

	<p>For more information on New York State's Freedom of Information Law, visit the website of the Committee on Open Government at http://www.dos.ny.gov/coog/index.html.</p> <p>This list was last updated on 12/15/16.</p> <p>Please note: Not all records described below are subject to disclosure under the Public Officer's Law. The Authority retains the right to deny access to any record pursuant to state or federal law or statute.</p>
	Common Records
Administrative Records	Records accumulated by individual departments that relate to the internal administration or "housekeeping" activities of each department rather than the program functions for which the department exists. The content may be of a transitory or casual nature making these records appropriate for almost immediate disposal; or they may have reference value for a short period.
Administrative Reports – Departmental	These are various reports used for internal administrative or operating purposes. The reports may give detailed accounts of or summarize information, identify issues, etc.; they may include working files and supporting documentation.
Committees / Meetings – Departmental	These are records related to meetings conducted by various departments and workgroups in the organization; they may include agendas, reports, minutes, promotional materials, and all supporting documentation.
Forms Management Records	These are records related to the management of corporate forms; they may include approvals, graphics, and all supporting documentation.
Policies and Procedures – Departmental	This is documentation that provides direction, instruction, training, or sets policy for the operation of various departments.
Presentations	These are internal and external presentations and speeches used at various meetings, etc.; they may consist of slides, flip charts, and PowerPoint records.
Project Files - Administrative	These are projects conducted by any and all departments throughout the organization; they typically include project plans, status reports, work papers, communications, analyses, financial analyses, research, studies, reports, etc.
Reports to Senior Management	These are reports by various departments and workgroups in the organization to senior management, including the Board of Trustees, Chief Executive Officer, Chief Operating Officer, Executive Vice Presidents, or Regional Managers.

Business Services - Budgets & Business Controls

Budget Books – Executive Review	These are budget books of the Authority, which are submitted for executive review / approval.
Budget Records	These are records used to estimate the projected expenditures of departments and other operational entities of the Authority, by fiscal year. They also include justifications of the proposed expenditures and other supporting documentation.
Capital Authorizations	Capital Expenditure Authorization Request (CEAR) forms and supporting documents.
Capital Budgets Records	These are Authority budgets for capital items, including facilities and equipment intended for use in offices, plants, and other facilities.
Overtime Reports - Monthly	These are reports detailing overtime taken by Authority employees each month, including exception reports for those charging overtime of twenty percent or greater. The data is generated from payroll reports.
Overtime Reports - Year-end	These are the year-end reports detailing overtime taken by Authority employees each month, including exception reports for those charging overtime of twenty percent or greater. The data is generated from payroll reports.
Position Control Reports	These reports are used to monitor the number of authorized positions.
Position Reports – Year-End	These reports are a summary of monthly listings of all authorized employees, by cost center. The positions are authorized by the Authority’s president and/or its trustees.
Project Review Committee Records	Records of the Project Review Committee (PRC), including meeting minutes. The PRC reviews all requests for capital projects with a total cost estimate of \$100,000 or greater.
Variance Analysis	These are records documenting the variance of actual expenditures as compared to approved organizational budgets. The reports are generated from data residing in SAP.
	Business Services - Controller
Accounts Payable - Employee Expense Statements	These records include employee expense statements, credit card documentation, and other related records.
Accounts Payable - O&M (non-capital) (P.O. and non-P.O.)	These records include voucher packages, credit card documentation, and other related records evidencing the Authority’s invoicing and payment transactions. Supporting documentation includes records of receipt of the items purchased and other evidence of the validity of the charges.
Accounts Payable – Capital Assets (P.O. and non-P.O.)	These are records documenting the acquisition of equipment and other capital items installed in plants and other Authority-owned operational facilities. The records include documentation justifying the purchases, as well as evidencing the payment transactions.
Accounts Receivable Records	These are records documenting the payment of invoices for monies owed the Authority. The records include supporting documentation detailing the validity of the charges, the payment terms, and other matters related

	to collection.
Auditor's Letters	These are annual letters from the General Counsel to the Authority's external auditor; the letters summarize the organization's total legal exposure and liabilities.
Bank Statements and Reconciliations - Construction Funds	These are statements from banks showing transactions against each account, plus reconciliations used to ascertain the accuracy of the account, by statement period for construction funds. The records consist of listings of checks drawn on the accounts and other supporting documentation.
Bank Statements and Reconciliations - Non-Construction Funds	These are statements from banks showing transactions against each account, plus reconciliations used to ascertain the accuracy of the account, by statement period. The records consist of listings of checks drawn on the accounts and other supporting documentation.
Customer Billing Records	These are records documenting the payment of customer invoices; billings for power supplied to wholesale and governmental customers.
Energy Efficiency HELP Program Loan Invoices	These are records documenting the payment of invoices; billings for Energy Efficiency HELP Program loans.
Facility Accounting Journal Entries – Monthly	These are records at the facilities showing adjustments to entries in the general ledger and other subsidiary books of account for non-capital goods and services purchased.
Facility Accounting Journal Entries – Year-end	These are records at the facilities showing adjustments to entries in the general ledger and other subsidiary books of account for non-capital goods and services purchased.
Financial Reports - Administrative	These records include various financial, operating and statistical reports used for internal administrative or operating purposes. Reports may give detailed accounts of or summarize information, identify issues, plans, etc.; includes working files and supporting documentation.
Fixed Assets – Power Plants	These are records documenting the acquisition, usage, and depreciation of capital assets of the Authority; that is, its plant, facilities, and equipment.
General Ledger – Trial Balance and Year-to-Date General Ledger – Monthly	These are annual (year-end) statements showing both the debit and credit general ledger balances.
General Ledger – Trial Balance and Year-to-Date General Ledger – Year-end	These are annual (year-end) statements showing both the debit and credit general ledger balances.
General Ledger – Year End	These are annual (year-end) statements detailing the financial condition of the Authority.
General Ledger Account Reconciliations - Monthly	These are records used to ascertain the accuracy of the debits, credits, and other transactions entered in the Authority's books of account.

General Ledger Account Reconciliations - Year-end	These are records used to ascertain the accuracy of the debits, credits, and other transactions entered in the Authority's books of account.
Headquarters Accounting Journal Entries - Monthly and Year-End	These are records at the Headquarters White Plains Office showing entries in the general ledger and other subsidiary books of account for non-capital goods and services purchased. These records include supporting documentation explaining the entries and other detailed information.
Internal Accountants Financial Reports and External Accountants Audit of Year-End Financial Statements	These are monthly financial reports and mid-year and year-end financial statements and supporting documents (e.g. workpapers, account analyses, schedules, etc.) in accordance with NYPA and audit requirements.
Internal Controls Documentation	These records consist of documentation of processes and the execution of these processes in finance and accounting areas. The records are for the accounting, payroll, and budgeting processes.
New York State Comptroller's Audits	Audits of the Authority performed by the Office of the State Comptroller.
Payroll Reconciliations	These are records used to make adjustments to employees' pay. The documentation serves as evidence of the validity of the adjustments.
Payroll Records	These are records used to process payroll transactions; they include payroll ledger cards, payroll registers, journals and reports. This field excludes Year-end Payroll Records / Periodic Payroll Records.
Payroll Timesheet Automated System (TESS)	This is the legacy automated payroll system.
Payroll Timesheets	These are records of hours worked by Authority employees.
Reports filed with External Agencies	These are reports filed with external agencies (federal, state, etc.) and include the following reports and supporting documents: Public Authorities Reporting Information System (PARIS) filed annually with the Office of the State Comptroller and Authorities Budget Office (ABO) pursuant to Section 2801(1) of the Public Authorities Law (PAL).
Rights-of-Way Accounting Records	These are records used to execute payments for rights-of-way between the Authority and the New York State Controller. The records consist of summary and detail reports of payment and supporting documentation.
Sales Tax Returns	Filings of sales tax returns to governmental jurisdictions.
Summaries of Customer Billing	These are summaries of Customer Billing Records for power supplied to wholesale and governmental customers.
W-2s and Other Payroll Tax Documents	These are employee annual W-2 records and other similar payroll tax documents, including correspondence with outside tax consultants on Payroll Tax Matters.

Year-end Payroll Records / Periodic Payroll Records	Year-end payroll records, with detailed information necessary for salary verification for retirement and social security purposes. Periodic payroll records can be substituted, including detailed information necessary for salary verification for retirement and social security purposes, when no year-end payroll is maintained or year-end payroll.
Business Services - Financial Planning	
Preference Hydro Rates	These records pertain to projections of revenues and expenses for the Niagara and St. Lawrence facilities, as well as the establishment of preference rates for this category of customer. The documentation is used to estimate the cost of service and the revenue requirements, generally over two-year cycles. Also includes analysis of annual rate stabilization reserves and reports and recommendations presented to senior management.
Revenue Requirements – Miscellaneous Customer Segments	These records are used to establish the revenue, expense, and rate requirements for various customer segments and revenue-generating facilities.
Revenue Requirements – SENY Customers	These records pertain to projections of revenues, expenses, and rates for governmental customers in Southeastern New York, including New York City and Westchester County. The records are used to determine the annual cost of service for these entities.
Revenue Requirements – Transmission Facilities	These records are used to establish the revenue requirements for transmission facilities. These studies are performed periodically, rather than on a contract or annual basis. The records include reports and recommendations to senior management.
Business Services - Insurance Management	
Certificates of Insurance	These records are evidence of insurance coverages provided by other parties performing work for the organization.
Certificates of Insurance - Tenants	These are certificates provided by contractors employed by tenants of Authority-owned space and facilities.
Group Medical Policies	These records pertain to group medical policies (hospital, long-term disability, or life policies); they include negotiation documentation and policy documents.
Insurance Claims	These are records related to claims filed under the Authority's insurance policies, including property or liability claims. The records include documentation supporting the claims and providing evidence of payment and other resolutions.
Insurance Inspection Reports – Non-Nuclear	These are inspections conducted at non-nuclear plants by insurance company representatives for the purpose of determining insurance coverage, premiums, or other related risk management issues.
Insurance Policies - Corporate	These records consist of contracts of insurance for corporate policies showing the terms and conditions of coverage; they include supporting documentation.

Insurance Policies – Nuclear Plants	These records are nuclear plant insurance policies and related insurance materials; including correspondence, inspections, incident reports, and claims.
Insurance Premiums	These records are documentation of insurance premium payments made by the Authority.
Workers’ Compensation Claims	These are records related to compensation for employees for on-the-job accidents; they include workers’ claims and all supporting documents and required filings.
	Business Services - Procurement
Annual Report of Procurement Contracts	The annual report of procurement contracts required by N.Y. Public Authorities Law, Section 2879. The report is submitted to various agencies including NYS Senate and the Assembly Ways and Means Committee. The report is also submitted to the Trustees at their annual meeting and is included as an exhibit in the minutes of that meeting.
Bidding Documents – Unsuccessful	These are requests for proposals issued by the Authority and responses received from vendors and suppliers that were not accepted / awarded. The category also includes evaluations of the responding proposals and other supporting documentation.
Credit Card Procurement System Administrator Records	This is documentation pertaining to the Authority’s credit card / check procurement system (CCPS); the records include reports from issuing banks and other supporting documentation.
Land Owners Issues / Complaints	These are records related to issues and / or complaints from landowners concerning Authority management of rights-of-way. The records consist of investigations and resolution documentation.
Land Survey Records	These are records of land surveys that track project boundaries.
Leasing Records	These are leases for land and other real property in which the Authority is a party. The leases are for the temporary use of land, offices, warehouses, or other facilities. The records consist of tenant negotiations documentation, draft and final lease agreements, and amendments thereto.
MWBE Compliance Reporting Records	These records include quarterly and annual MWBE reports submitted to the New York State Governor’s office. These reports document the degree of compliance achieved based on established MWBE goals. The documentation shows compliance with both prime contracts and subcontracts.
Other Post Employment Benefits (OPEB) Trust Fund Procurement	These records include original requisitions, purchase orders, bid documents, correspondence with bidders, award recommendations, the resulting contracts, and trustee approvals. Also includes change orders altering the terms and conditions, scope of work, delivery schedules, or other aspects of contracts as originally agreed (if applicable).
Permits	These are permits pertaining to Authority-owned lands and easements. The permits are granted to fee owners to ensure there is no interference with the utility’s infrastructure. The records consist of indemnity and insurance requirements, as well as documentation pertaining to other terms and conditions of the permits.
Procurement Cards – Applications	These are applications for company issued procurement cards, including applications for terminated cards or card replacement.

Procurement Cards – Monthly Statements	These records are monthly statements of procurement cards issued to employees, enabling them to purchase various commodities. The records include invoices, approvals, and other supporting documentation.
Procurement Contracts - Capital	These records include original requisitions, purchase orders, bid documents, correspondence with bidders, award recommendations, the resulting contracts, and trustee approvals. Also includes change orders altering the terms and conditions, scope of work, delivery schedules, or other aspects of contracts as originally agreed. Additional documentation includes MWBE contract compliance letters and correspondence, claims submitted in conjunction with disputed aspects of power plant procurement activities and associated evaluations and investigations, inspection reports, equipment warranty records, and shipping and receiving records.
Procurement Contracts - Deferred Assets	These records include original requisitions, purchase orders, bid documents, correspondence with bidders, award recommendations, the resulting contracts, and trustee approvals. Also includes change orders altering the terms and conditions, scope of work, delivery schedules, or other aspects of contracts as originally agreed. Additional documentation includes MWBE contract compliance letters and correspondence, claims submitted in conjunction with disputed aspects of power plant procurement activities and associated evaluations and investigations, inspection reports, equipment warranty records, and shipping and receiving records.
Procurement Contracts - Operations and Maintenance	These records include original requisitions, purchase orders, bid documents, correspondence with bidders, award recommendations, the resulting contracts, and trustee approvals. Also includes change orders altering the terms and conditions, scope of work, delivery schedules, or other aspects of contracts as originally agreed. Additional documentation includes MWBE contract compliance letters and correspondence, claims submitted in conjunction with disputed aspects of power plant procurement activities and associated evaluations and investigations, inspection reports, equipment warranty records, and shipping and receiving records.
Procurement Guidelines	These are guidelines for various procurement functions, including the issuance of procurement cards, processing of purchase requisitions, requests for proposals, and other activities.
Procurement Procedures	These are procedures for various procurement functions, including the issuance of procurement cards, processing of purchase requisitions, requests for proposals, and other activities.
Property Appraisal Reports	These are records detailing estimates of the valuation of real estate owned by the Authority, or of property in which the Authority has an interest. Supporting documentation consists of the basis for the appraisal valuations and the methods of estimation.
Real Estate Records – Operating Properties	These are records documenting the acquisition and ownership of land for plants and other operational facilities of the Authority. The records consist of maps and plats, property surveys, appraisals, deeds and related property conveyances, and other related records.
Rights-of-Way Records	These are records documenting the acquisition and appropriation of easements or rights-of-way held by the Authority, to include real estate used for transmission as well as operational facilities. Records are established for each landowner(s) from whom the rights-of-way are acquired; they consist of agreements, advances /

	adjustments, closing documents, and related records.
Shipping and Receiving Records	These are records of the receipt and shipment of goods, commodities, and stock items managed in the Authority's warehouse inventory.
Spare Parts Inventories	These are records documenting the Authority's inventory of spare parts for facilities, plant, and other operational uses.
Unawarded Contracts	These are records of procurement activity for contracts that were not awarded.
Vendor Information Documentation	Records necessary to document vendor information in SAP and changes thereto, including Form W-9, "Request for Taxpayer Identification Number and Certification."
Warehouse Inventory Data	These are official records of current warehouse stock items on-hand, to include item descriptions, volume / quantities, and value.
Warehouse Issue Slips	These are records of items removed from warehouse inventory for field use. The records consist of over-the-counter issue slips and related documentation.
	Business Services - Research & Technology Development
Electric Power Research Reports	These are Electric Power Research Institute (EPRI) reports. Also includes research reports of the Canadian Electricity Association (now CEATI Technologies Inc.), with which the Authority has a working relationship.
Research and Development Projects and Reports	These records include the final research reports and the supporting project documentation. They pertain to the tools and techniques for improving the efficiency and reliability of the system infrastructure.
Research and Technology Database Records	These are data records retained on a wide variety of research and technology initiatives. Examples include: end use load data; land areas; wind speeds.
Research and Technology Project Binders	These projects pertain to new technologies and renewal / clean energy initiatives. The documentation includes project planning and execution, on through to completion and final reports.
	Business Services - Risk Management
Counterparty Credit Reviews	These are reviews and assessments of the credit worthiness of the Authority's counterparties / customers.
Employee Compliance Acknowledgement - Appendix C	These are signed acknowledgements by employees of compliance with the NYPA Procedures Regarding Commodity Risk Management.
Executive Risk Management Meeting Agenda & Material	These records comprise agendas and presentation materials of official Executive Risk Management Committee (ERMC) meetings.
Executive Risk Management Meeting Minutes	These records comprise approved meeting minutes of official Executive Risk Management Committee (ERMC) meetings and the committee charter.

Quarterly Fair Value Reports	These reports attest to the “fair market” value of derivative positions held by the Authority.
Trade Tickets	These records show data pertaining to hedge transactions and include the name of the counterparty, terms and prices of the deals, transaction volumes, and other related data.
Trader Transaction Limits	These are records showing limits and authorizations for hedge transactions of traders used by the Authority.
Transaction Confirmations	These are data sheets from customers (counterparties) verifying the data residing in the Deal Capture System.
	Business Services - Strategic Management
Annual Strategic Plans	These records consist of annual strategic plans presented to the Board of Trustees. The strategic plans include mission, vision, and values statements as well as corporate performance measures, targets and prior year results.
Annual Strategy Planning Conference	These are records related to the preparation and execution of the annual strategic planning conference. The documents include conference materials.
Best Practice Reports	These are best practice surveys or benchmarking studies in which the Authority has participated or in which it is otherwise interested. The surveys and studies are created by external organizations.
Business Plans	These records are part of the annual business planning process and describe the responsibilities and functions carried out within the business unit, including the baseline work, strategic initiatives required to improve the effectiveness or efficiency of the core business and pursue strategic goals, and the required resources.
Measurement / Performance Reports	These are reports used to monitor departmental contributions / performance against the strategic plan initiatives; they may include scorecards and dashboard records.
	Business Services - Treasury
Annual Investment Reports	These are reports delineating the status of the Authority’s investment portfolio at year-end. The reports are submitted to trustees and government agencies for review and/or approval.
Bond Deal / Short Term Debt Records	These are records related to the issuance of bonds and short term debt to which the Authority is a party, including official statements for investors to review, risks to buy, counsel / legal opinions, and other related records.
Cash Management Records	These records include cash worksheets, cash in / out reports, daily investment reports, and daily banking reports.
International Swap Derivative Agreements	These records are agreements for interest rate swaps governed by the ISDA and Credit Support Annex (CSA).
Investment Reports – Internal	These are reports delineating the status of the Authority’s investment portfolio; the reports are submitted to internal managers and executives for review.

Letters of Credit / Parent Guarantees	These records are letters of credit or guarantees received from counterparties or parent organizations of parties doing business with the Authority.
Margin Transfers	Transfer of margin (funds) to/from counterparty to cover mark to market value.
Nuclear Decommissioning Trust Records	These records serve as documentation related to the nuclear decommissioning trust created for nuclear plants formerly owned by the Authority; they include monthly trustee reports.
Post-Employment Trust (OPED) Records	These are records related to the post-employment benefits trust created to pay employees benefits once they have retired. Included are all such records from the creation of the trust until the closure of the trust upon the final payment of benefits.
Wire Transfers	This is documentation of transfers of Authority funds via electronic means of transmission; the records also include supporting documentation, such as confirmations, of same.
Economic Development & Energy Efficiency - Economic Development	
Applications & Request for Power - Approved	These are approved applications/requests for power and related correspondence.
Applications & Request for Power - Not Approved	These are applications/requests for power that are not approved and related correspondence.
Contract Compliance Records	These records are correspondence with customers concerning customer compliance with contract terms and conditions and annual reports.
Contracts	These are executed contracts, agreements, amendments and supplements related to supply and other services and or delivery of power to customers. Customers groups: governmental, municipal electric utilities, rural electric cooperatives, business, Local Distribution Companies (LDC), out of state entities, Host communities and other customers.
Customer Correspondence – Routine Value	These records include correspondence and other documentation concerning the Authority’s governmental, municipal electric utilities, rural electric cooperatives, business, Local Distribution Companies (LDC), out of state entities, Host communities and other customers. These are records that are not material to the administration of the Authority’s contracts with customers.
Customer/NYPA Correspondence – Contract Value	These records include correspondence and other documentation concerning the Authority’s customer groups: governmental, municipal electric utilities, rural electric cooperatives, business, Local Distribution Companies (LDC), out of state entities, Host communities and other customers. Example: includes proposed modifications of rates and other matters that are material to the terms and conditions of contractual relationship.
FERC Electric Quarterly Report (EQR)	Electric Quarterly Report (EQR) filed in compliance with Order 768 and 768-A of the Federal Energy Regulatory Commission (FERC). The report includes contract data and transaction data providing information about all the power sales made during the reporting period.

Final Rates	These records are the final rates for different customer groups, including governmental, all business, LDC utilities and out of state entities. Where appropriate, the records consist of such technical documentation as preliminary and final staff reports, rates and tables, rate design studies, public processes, and other related records.
Final Tariffs	These are tariffs established for various customer groups. The tariffs describe the services provided and related charges. These records include current and superseded tariffs and supporting documentation where applicable.
Load Forecasting Data and Reports – Long Term	These records document the Authority’s Final annual 10 year master government and operating load forecast.
Load Research Data	Final annual government load study.
Power Allocation Reports	These are monthly internal reports pertaining to power allocation for the authority’s business customers.
Rate Cases	These records are of rates cases for various customer groups including analyses and approvals by the Board of Trustees. This includes requests submitted by the municipalities and coops customers for rate increases, analyses of the requests, and approvals by the Authority’s Trustees.
	Economic Development & Energy Efficiency - Energy Efficiency
Capital Projects – Cost Recovery	These are records used to recover the costs associated with capital projects of the Authority. The records consist of umbrella cost recovery agreements with customers and supporting documentation, to include information disclosed to customers, descriptions of the cost components, insurance requirements, and other related records.
Contracts and Agreements – Energy Efficiency	These are contracts with customers to construct various upgrades related to energy efficiencies that are designed to reduce consumption / load demand.
Customer Implementation Commitments (CICs)	These records consist of initial and final customer installation commitments (CICs) for energy savings initiatives of customers. They are used to estimate energy savings and reconcile the costs of projects prior to the initiation of customer billing. Includes certifications of installation, detailed scopes of work, punch lists of outstanding items, customer sign-offs, and internal memos closing out billing purchase requisitions. Also include Construction Documents (minutes of meetings, communications with customers, change orders, invoices, payment applications, inspection reports, permits, health and safety plans / documents, plans, drawings and specifications for Customer Systems and Equipment).
Petroleum Overcharge Restitution Project Files	These are records documenting energy efficiency projects administered under the Petroleum Overcharge Restitution (POCR) fund. Project documentation includes project planning and execution through to completion. The state government allocates a share of the funds. Examples include schools, office buildings, and other energy efficiency projects.
	Enterprise Shared Services - Corporate Support Services

Aircraft Flight Records	These are records generated in the operation of the Authority's aircraft. The records consist of aircraft maintenance logs, flight / passenger manifests, and other related records.
Building Contracts	These are contracts with vendors for building maintenance and services.
Building Permits	These are permits to occupy or otherwise use buildings and other facilities owned or leased by the Authority.
Business Continuity Plans	These are official business continuity plans covering any and all requirements for the continuance of critical business functions in the event of an interruption from any cause; includes disaster recovery plans, business resumption plans, and disaster recovery backup documentation.
Corporate Credit Card Issuance Form	The forms completed by employees requesting the issuance of a corporate card.
Employee Travel Records	These records include airline tickets; hotel, car, and other travel invoices; and other related trip documentation.
Equipment Records – Non-Plant	These are records pertaining to items of equipment installed in office facilities that are subject to continual maintenance. The records show preventative and billable maintenance performed.
Facility Drawings – Non-Plant	These are master files containing official copies of all non-plant facility plans and drawings.
Facility Inspections	These records include inspections performed by local agencies for elevators and fire systems; and state inspections.
Facility Work Orders – Non-Plant	These are work orders used to request routine maintenance of facilities or equipment. The work orders may be submitted by employees or tenants of Authority-owned space or facilities.
Mail Center Records	These are records generated by the mail center.
Tenant Invoicing for Rent, Parking and Other Services Including Sales Tax	Tenant invoicing for rent, parking and any other services provided to the tenant, including sales tax.
Vehicle and Parking Data	These include all applications for parking and other records pertaining to private vehicles.
	Enterprise Shared Services - Fleet Management
EZPass Information	This is information from each vehicle showing EZPass usage by unit number/serial number.
Fleet Equipment Records	These records include inspection records, original certified inspection reports for aerial equipment and cranes, New York State inspections, sales certificates, invoices and purchase order documentation covering the acquisition of vehicles, signed vehicle replacement forms and signed vehicle addition forms, and vehicle data sheets regarding maintenance. The Fleet Information System is used for tracking, maintenance, and repair history.
Fleet Information System Records	This system is used for preventive maintenance schedules for Authority-owned equipment, including aerial equipment and crane inspection schedules, and non-scheduled repairs. The system also tracks mechanics'

	repair time and other related aspects of preventive maintenance.
Fuel Usage Records	These records track onsite and offsite fuel purchases; they include records showing the amounts of fuel used, by vehicle and employee. Onsite fuel data is recorded from Fuel Master. Offsite fuel purchases are recorded from the Rite Express fuel card located in each vehicle.
Motor Pool Request Records	These records relate to the requesting of Authority-owned vehicles by employees; they show reservations and usage by the various departments and business units.
Odometer Readings	These are odometer readings from Authority-owned vehicles; they are generated at the time of fuel purchases.
Vehicle Disposal Records	These are records of disposal proceeds for Authority-owned vehicles received from auction companies upon vehicle disposition.
Vehicle Fleet Management Records	These records include vehicle registrations, titles, accident / incident reports, maintenance records, and related records.
	Enterprise Shared Services - Information Technology
Communications Engineering Project Files - Microwave Communications Systems	These are project files for various microwave communication systems.
Deleted Records Reports	These records document the disposition of records in the normal course of business according to Authority policies and procedures.
Enterprise Architecture Documentation	These records include documentation delineating technical components and the application portfolio of the Authority's computing and communications infrastructure. The records consist of current and future states, gap analyses, and work plan based on defined requirements.
FAA Registration	Federal Aviation Administration (FAA) Obstruction Advisories and Lighting / Marking Authorizations, including Applications, Aeronautical Study Numbers, Form 7460 Parts I and II, approved Determinations, Violations, and Studies.
FCC Licenses	Licenses issued by the Federal Communications Commission (FCC). May also include License Applications, Frequency Coordination Studies & FCC License Related Documents.
FCC Registration Packages	These are tower registration packages and licenses issued by the Federal Communications Commission (FCC) as part of the Antenna Site Registration (ASR) program, including Applications & Related Documents.
Information Systems Project Management	These are records related to the management of system development and system selection projects; may include project plans, vendor communications, status reports, and evaluations.
IT Applications Development Records	This is documentation created to develop new systems and components of the Authority's information technology infrastructure. The records consist of project documentation covering the various stages of the life

	cycle of systems development: project initiation, planning, execution / implementation, and retirement / closure.
IT Asset Inventory Data	These are documents used to account for and manage IT assets; they typically include product identification numbers and equipment location, inventory records of computer hardware, systems equipment, etc.
IT Business Case Documentation	These are records delineating the analysis and justification of proposed IT initiatives. They are reviewed and approved by the IT Advisory Committee.
IT Change Requests	These are requests submitted to IT for system upgrades and other changes to employee computers.
IT Service Desk	These are records related to end user IT issues and requests; the records include issue or request documentation and resolutions.
Licenses and Maintenance Agreements	These are hardware and network licenses, software licenses, and maintenance agreements.
Microwave Frequency Protection Reports	These are specific reports of microwave frequency protection.
Network Request Forms	These are requests for access to the NYPA network, NYPA network applications (including SAP), and acknowledgements.
Records Retention Schedule	This is the official document listing records by type and function, showing any applicable legal requirements and retention period.
Station Activity Detail Telephone Reports (Daily Call Reports)	These are reports of telephone usage.
Training Programs	These are IT provided training programs.
	Executive Offices
Corporate Policies and Procedures	These are master copies of official company policies, directives, procedures, and practices.
Corporate Reorganizations	These are records documenting organizational reorganizations of the company and its various entities.
Executive Correspondence	These are records of correspondence between the board of trustees, the president, chairman, CEO, and other executive personnel.
	Human Resources
Applicant Tracking Database	This database includes positions posted to the system and to open job boards. The applicants apply on this system; it houses resumes, correspondence with applications, position approvals, offer letters, and other related records.
Apprenticeship Records	These are records of certification and recertification for employees in apprenticeship, as governed by the Joint

	Apprenticeship Committee.
Audits of Benefit Plans by External Organizations	These are audits of the 457 Deferred Compensation Plan by outside auditor according to the New York State Deferred Compensation Board filed with New York State Department of Civil Service.
Benefit Change of Status Forms	These are forms used to document any change of status of employees participating in any of the different plan types.
Benefit Cost Analysis	These are historical data of benefit costs and analyses derived therefrom.
COBRA Enrollments	These are employee enrollment records submitted to the third party administrator, who manages the COBRA program for post-employment insurance health insurance coverage on behalf of the Authority and other health insurance records kept.
COBRA Information	These records include copies of deposits and payments, correspondence with employees / administrators, various reports, and COBRA notices.
Death Benefit Claim Forms	These are the original form filed to claim death benefits.
Deferred Compensation Plans (401K, 457) Initial Enrollment/Beneficiary Forms	These are forms completed upon enrollment, including designation of beneficiaries, in the Authority's 401k and 457 benefits programs. Changes in beneficiaries, distribution records and other supporting documentation are retained by the Plan record keeper.
Deferred Compensation Plans (401K, 457) Plan Trust Accounting Reports	These are reports of the 401K and 457 Deferred Compensation Plans trusts by outside accountants.
Development Plans	These are records documenting development plans for employees; these records are distinct from and do not include the "Development Plan" that is part of the Performance Plus documents.
Employee Award Records	These records include information related to employee recognition for years of service, or excellence in service; may include correspondence, tracking information, notices to employees, gift selections, etc.
Employee Background Investigations	Background investigations are conducted by a third party (CARCO) for all new hires. Summary information from the resulting reports is added to SAP. The reports are retained by the third party.
Employee Benefits Plans	These are the official copies of employee benefits plans and plan amendments. These plans may include health and dental insurance, deferred compensation plans, 401K and other saving plans, accidental death and dismemberment, retirement plans, etc.
Employee Complaints	These are affirmative actions, equal opportunity employment cases, harassment allegations, and other related employee complaints. The documentation consists of the complaints and investigative records.
Employee Medical Records	These are records documenting the condition / status of employees' health during their tenure with the company. Records typically include employee health status determined by medical personnel, medical and employment questionnaires / histories, results of medical exams and lab tests, medical opinions, diagnoses,

	descriptions of treatment and prescriptions, employee medical complaints / exposures.
Employee Personnel Files	These are the official personnel records of all Authority employees. The records consist of Employee Profile, Staffing Authorization, Promotions, Resignations, Exit Interviews, Any union Apprentice agreements, Employment Application, Resume, Written copy of employment history and Education verification, Offer Letter, Salary Exception (other than annual adjustment), Medical Leave Notices – a copy of an email notification from Employee Relations is kept in files (no medical documentation), Certificates of course completion, Degrees, Licenses, Retirement enrollment form, Retirement system communications (Tier change letters, etc.), Orientation Checklist, Applicant Assessment, Employee invention agreement, General safety rule declaration, Performance Plus Documents (with annual rating), Recognition letters, Performance award letters, Any union evaluations. Employee records do not include information such as immigration, benefits, medical or Employee Assistance Program information.
Employee Polygraph Test Records	These records consist of polygraph test results and the reasons for administering them to employees. Polygraph tests are administered to all applicants for security positions at Authority facilities, both applicants hired and applicants not hired.
Employee Separation Packages	These are terms of separation benefits packages offered to employees during NYPA job actions. These records do not include the details for specific employees.
Enrollment Elections	These are records documenting employee elections of benefits across the various plan types. They also include verifications of eligibility documentation.
Equal Employment Opportunity Records	These are plans, policies, reports, and related documentation used to document compliance with EEO laws.
Fair Credit Report Act Consumer Disclosure and Authorization Forms – NYPA Employee	The FCRA form authorizes the Authority to obtain consumer reports from credit bureau(s) as part of a background investigation.
Family Medical Leave Records	These are requests of individual employees who have exercised their rights to take extended leave from employment under the U.S. Family Medical Leave Act and correspondence.
Flexible Spending Plan Records	These are enrollment maintenance files showing enrollees in the Flexible Spending Plan; they are generated monthly. Also included in this series are program annual reports and non-discrimination testing information.
HIPAA Notifications	These are notifications to employees and other parties of their rights under the Health Insurance Portability and Accountability Act (HIPAA).
HIPAA Releases	This is documentation of authorized disclosures as provided by the Health Insurance Portability and Accountability Act (HIPAA) law and its implementing regulations.

HMO Rate Agreements	These are records of rate agreements with Health Maintenance Organizations (HMO) to provide benefits to NYPA employees.
I-9s	These are records used to document the eligibility for employment of employees, based on their citizenship or immigrant status.
Leave Records – Annual	These are records documenting the amount of annual sick and other leave available, requested, and taken for all employees.
Life Insurance Beneficiary Forms	These are applications for enrollment, designation of beneficiaries, claims, and related documentation pertaining to employees who participate in the life insurance program.
Long-term Disability Claims	These are claims and related documentation filed by employees for long-term disability.
Managers / Peers Assessments	These are records of assessments for candidates for management positions under the 360 Feedback methodology. The feedback is done by managers and peers of the candidates.
Medicare Part B Records	These are records evidencing reimbursements for retiree medical premium expenses.
NYPA Mentoring Program	These are records of the NYPA Mentoring Program.
Organization Charts	These are master copies of official organizational charts of the Authority, captured quarterly, showing its divisions, departments, and other subordinate units, as well as the managers and executives heading them.
Payroll Increases	These are records used to manage departmental pay increases. The records consist of spreadsheets showing payroll increase calculations and management reviews and approval signatures. They also include letters to employees advising of the increases.
Performance Evaluations	These are records used to evaluate the performance of Authority employees.
Position Assessments	These records are analyses of non-union positions in the Authority. They show how various jobs are valued against survey data as well as relevant FLSA exemption documentation, which serves as the basis for compensation.
Position Descriptions	These are records used to describe all classified positions in the Authority. The duties and responsibilities, reporting relationships, and other aspects of the positions are detailed.
Position Recruitment Records - Non-NYPA Applicants Not-Hired	These are applications for employment, resumes, interview notes, and other recruitment records for open positions that are filled.
Position Recruitment Records - NYPA Applicants - Hired and Not Hired	These are applications for employment, resumes, interview notes, and other recruitment records of NYPA applicants for open positions that are filled.
Profiles / Assessments – Management Positions	These records are the Hogan personality profile; these are assessments for candidates for management positions.

Relocation Records	These are records relating to the relocation of employees from one community of work to another; they may include relocation procedures, authorizations, records documenting expenses associated with moves, and reimbursement. Final reimbursement is documented in an Expense Statement maintained by Accounts Payable -- see Financial Management - Accounts Payable Records.
Restructure/Reorganization Requests	Form used for restructuring or reorganizing of a number of people and departments.
Retiree Benefits Exit Interview Checklist	These are records documenting information regarding retirement benefits received by retiring employees during exit interview.
Retirement Incentive Programs	These are records documenting NYPA participation in New York State retirement incentive programs; they may include resolutions, bills, financial information, and lists of eligible employees and those who retired.
Salary Survey Data	This is a database and associated records used to retain records and data related to salary / compensation data collected in salary surveys. Summary and raw data are included. The data are used in determining fair compensation levels for various positions.
Security Guard Tests for Applicants, Applicant Hired	Tests given to all applicants for security guard positions. Tests for applicants not hired are filed with Position Recruitment Records – Non-NYPA Applicants not Hired.
Simulated Role Playing Assessments – Management Positions	These are assessments of candidates for management positions under the Development Dimensions International (DDI) assessment methodology. The candidates act in simulated role playing scenarios, and the assessments are based on the effectiveness of their responses.
Staffing Authorizations	This is a copy of the Staffing Authorization & Status Change Form, completed for various employee actions. The record copy of the completed forms are maintained in the Employee Personnel Files.
Succession Planning Records	These are records documenting succession plans for key positions, including Knowledge Loss Risk Assessments.
Training Attendance Records	These are records of attendance and course completion for employee training courses.
Training Course Materials	These are records of the content of training courses, to include the material presented, accompanying instructor's scripts, and related documentation.
Training Records – HIPAA	These records pertain to training provided to employees concerning the HIPPA program and compliance with its requirements.
Transitchek Records	These are records documenting employee participation in the Transitchek program; they include initial acknowledgement form and monthly reports to Facility Management.
Tuition Reimbursement Records	These are applications and reimbursement documentation used to reimburse employees for educational courses of study under the Educational Assistance Program. Completed Educational Assistance Program Reimbursement Request form retained by Payroll.

Working Spouse Rule Certification Forms	These are Working Spouse Rule Certification forms completed by union employees during the annual periods of open enrollment, across the various plan types, maintained by the sites.
	Internal Audit
Final Audit Reports – Internal	These are audits conducted by the organization’s internal audit staff. The audit reports show evidence of business performance and compliance with mandatory policies and procedures, including any special audit reports. The audits consist of internal controls audits, IT audits, and operational audits.
Internal Audit Investigations	These are investigations of fraud, waste, abuse, or other allegations of employee misconduct.. These records consist of final investigation reports and working papers supporting the conclusions contained in the final report.
Internal Audit Work Papers	These records consist of supporting workpapers documenting the findings contained in internal audit reports.
	Law
Administrative / Judicial Proceedings – Facility Licensing and Permits	These are records related to litigation actions / proceedings in which the Authority is involved as a party. The administrative proceedings include applications to build transmission lines, power plants or other facilities, as well as applications, discovery documents, consent orders, and other records used to obtain licenses or certificates to build and operate the facilities.
Agreements - Non-Disclosure	These are confidentiality agreements signed by parties who have been granted access to proprietary or confidential company information.
Arbitration Cases Files	These are records documenting the adjudication of labor relations cases by arbitration in which the matters are heard and decided by arbitrators agreeable to both the union and the Authority. The decisions rendered by the arbitrators are binding.
Contracts and Agreements - General	These records are contracts and agreements executed between the organization and other parties for a wide variety of business purposes, specifying the terms and conditions and other obligations of the parties; may include supporting documents used to develop the agreements.
Contracts and Agreements – Operations and Maintenance	These records are contracts with customers or other developers for long-term operation and maintenance of their facilities, or for the operation and maintenance of the Authority’s plants and other operational facilities.
Copyrights and Trademarks	These are records related to the Authority’s rights to taglines or marketed services (i.e., energy saving tips and general interest pamphlets). The records consist of copyright applications, registrations, and related supporting documentation.
Corporate Compliance Documentation	These records consist of business conduct questionnaires, standards of integrity training, and other documentation demonstrating compliance with company policies regarding ethics and other business practices.
Corporate Meetings Webcast Recordings	Recordings of webcasts of meetings of the Board of Trustees, its Governance, Finance and Audit Committees, the Economic Development Power Allocation Board (EDPAB) and the Western New York Power Proceeds

	Allocation Board (WNYPPAB).
Corporate Minutes	These are master minute books of the Board of Trustees, the Economic Development Power Allocation Board (EDPAB), the Western New York Power Proceeds Allocation Board (WNYPPAB), the Audit Committee, and the Governance Committee.
Corporate Minutes Supporting Documentation	These records consist of all documentation related to the planning and conducting of the meetings, including agendas, financial information, etc.
Death Benefit Claims	Current employee unpaid sick, vacation days and wages of employees who die in service.
Employee Cases	These are affirmative actions, equal opportunity employment cases, harassment allegations, and other related employee complaints. The documentation consists of the adjudication records.
Freedom of Information Requests	These are Freedom of Information Law (FOIL) requests submitted by the public; the records include Authority responses and related supporting documentation.
Immigration Records	These are records of visa documentation, including but not limited to visas, applications, supporting documentation, public access files, and other related records. This category does not include I-9s or other permanent employee documentation.
Information Requests / Authorizations	These records include court-ordered subpoenas and employee authorizations for release of records, generally related to positions and wage matters.
Insurance Case Reports	These are quarterly reports showing the status of insurance of cases defended by counsel assigned by insurance companies.
Legal Holds	Litigation Hold records, including the Legal Hold Memorandum, Notices, and Releases/Terminations.
Legal Memos and Opinions	This is a database containing legal opinions / memos regarding a wide variety of legal issues of concern to the Authority. The records typically include legal research, attorney notes, and memos containing the legal opinions advice in matters of law.
Liens – Third Party	These records are related to third party liens filed against the company due to contractors who fail to compensate third parties. The records include notices of lien, letters, and lien books.
Litigation Cases – Long-term Value	These are judicial actions, mostly instituted by or against the Authority. They are adjudicated in state and federal courts. These actions include personal injuries, contract actions, labor/employment cases, Article 78 proceedings involving rates or other Authority decisions, and other proceedings. The records consist of briefs, pleadings, motions, pretrial discovery documents, judgments, and settlement documents.
Litigation Cases – Routine Proceedings	These are judicial actions, mostly instituted by or against the Authority. They are adjudicated in state and federal courts. These actions include personal injuries, contract actions, labor/employment cases, Article 78 proceedings involving rates or other Authority decisions, and other proceedings. The records consist of briefs,

	pleadings, motions, pretrial discovery documents, judgments, and settlement documents.
Litigation Reports	These reports are monthly summaries of the status of all pending litigation actions.
Outside Counsel Files	These are records pertaining to the use of counsel in outside law firms for assistance in various legal matters; they may include firm materials, surveys, bills, etc.
Public Hearing Records	These are records related to public hearings conducted by the Authority. The records consist of hearing notices, agendas, and records of the proceedings.
Record of Lobbying Contact	These are contemporaneous records of contacts by lobbyists, form Record of Lobbying Contact, completed Pursuant to Public Authorities Law 2987.
State Administrative Procedure Act Filings	These are filings submitted by the Authority under the State Administrative Procedure Act (SAPA).
Subpoenas	These are orders by courts or other judicial authorities to produce documents or other evidence as specified.
Transmission Employees - FERC Reporting	These records are used to comply with FERC reporting requirements pertaining to Authority employees assigned to positions in the transmission part of the organization.
Union Contracts	These are collective bargaining agreements executed between the Authority and labor unions representing its employees. The records consist of documentation related to negotiation of the terms and conditions, as well as the agreements themselves.
Union Grievance Records	These records consist of formal complaints of unions or their membership relative to alleged violations of the terms of collective bargaining agreements.
	Operations - Energy Resource Management
After-the-fact Energy, Meter and Water Data	These are energy scheduling data records showing hourly, daily, and monthly usage totals. Also includes summary reports comparing meter data to data from the energy management system.
Billing Dispute Resolution Records	These are records related to billing appeals, repealed fines, and settlements.
Congestion Reimbursement Records	These are records used to administer an agreement with Con Edison, related to transmission congestion costs for customers in the prescribed service territory.
Dispatch Records	These records include dispatcher sheets, as well as the dispatcher logbooks, including Hourly Account of Control Room Activities and Events, Energy Status, Normal and Abnormal Occurrences.
Energy Accounting Records	These are Energy Scheduling & Accounting (ESA) Records includes Midnight Logs (Energy Dispositions, Bookkeeps, IE Log, Watersharing, Water Transfer, Water Surface Elevation, NYPA In Load, HQ Accounting

	Summary, Out of State Wheeling Log).
Energy Billing Records	These are invoices and supporting documentation for energy bills. The bills include purchases of energy to and from customers (including municipalities), as well as billings for generation projects and contract billing. May also include summary billing reports.
Energy Price Bid Curve Data	These records contain data relating to bids submitted to New York ISO, including bid curve data and other data showing pricing and energy levels. The data is retained on all generators owned by the Authority.
Energy Resource and Market Analysis Documentation	These are records used in electric and gas forecasting, generator dispatch forecasting, hedging analysis, capacity markets, demand side management, and direct energy and performance measures for generators. The records consist of forward and forecast documents, historical documents, and performance documents. This series also includes IOU Rate Comparisons and related records.
Energy Resource Management Trading Portal Data	These are records relating to energy trades retained on the Authority's ERM Trading Portal. The portal is the primary tool used as a bidding portal giving data on trends. The portal contains pricing for energy, load forecasts, plant commitments for energy, traders logs, fuel pricing data, market performance data, and plant outage schedules.
Energy Scheduling & Accounting (ESA) Backcast	These are Energy Scheduling & Accounting (ESA) Backcast records.
Energy Scheduling & Accounting (ESA) Preschedules	These are Energy Scheduling & Accounting (ESA) records of Preschedules, Schedules of Energy Deliveries to Utilities – Daily.
Energy Scheduling & Accounting (ESA) Transaction & Load Bid Reports	These are Energy Scheduling & Accounting (ESA) reports of Transaction and load bids.
Fuel / Gas Files	These records include fuel depletion reports, purchase reports, supply related files, gas burn reports, nomination reports, gas schedules, replacement costs, and all related records.
Fuel / Gas Files - Flynn Capacity Supply Agreements	These records include fuel depletion reports, purchase reports, supply related files, gas burn reports, nomination reports, gas schedules, replacement costs, and all related records for the Flynn Capacity Supply Agreements.
Hedging Contracts and Agreements	These are master hedging agreements of three types: financial, energy, and gas. They may also include evergreen contracts and supporting documentation. The agreements are executed with various parties (i.e. ISDA, EEI, NASB).
Integrated Resource Plan	The Authority Integrated Resource Plan.

Integrated Resource Plan Consultant Data and Reports	Consultant data and reports supporting the Integrated Resource Plan.
Integrated Resource Plan Internal Modeling Data	Internal modeling data supporting the Integrated Resource Plan.
Interruption Reports & Logs	These are reports showing interruptions of energy services. The reports detail the nature and duration of the service interruptions.
ISO Billing and Settlement Records	These are records related to in ISO-related billing and settlement activities. The records consist of generation and load bid data, hourly settlement data, transmission owner data submissions, invoices, and reconciliation sheets.
Load Forecasting Data and Reports – Short Term	These records document the Authority’s peak load forecasting; the source is transmission owner load data and weather data.
Non-NYPA Scheduling Agent Records	These are original schedules created by Non-NYPA Scheduling agents such as the Out of State Customers, Munis (Municipal Customers)
Power Product Procurement Agreements	These are agreements resulting from the Authority’s Power Product Procurements, including Long-term Supply of Energy (LTS), Renewable Energy Attributes, and Recharge New York (RNY), and (formerly) Power for Jobs (PFJ).
Power Product Procurement Solicitations	These records document the Authority’s process for procuring power products, including Long-term Supply of Energy (LTS), Renewable Energy Attributes, and Recharge New York (RNY), and (formerly) Power for Jobs (PFJ). The records include solicitation documents, bid related correspondence, and unsuccessful bids.
Power Product Procurement Solicitations - Successful Bids and Analysis	These are records documenting the successful bids resulting from the Authority’s Power Product Procurements, including Long-term Supply of Energy (LTS), Renewable Energy Attributes, and Recharge New York (RNY), and (formerly) Power for Jobs (PFJ).
Project Billing	These are Energy Scheduling & Accounting (ESA) Records for all Projects. Monthly - Basis for Customer Billing by Billing.
Verification Procedures	These records provide evidence of the Authority’s compliance with regulations and standards related to the procurement of power products. These records include Conversion Transaction (CT) Submissions to the New York State Public Service Commission (PSC), Voluntary Renewable Energy Program (VREP) submissions to the New York State Department of Environmental Conservation (DEC), and Green-e Audits conducted by the Center for Resource Solutions, and supporting documents.
	Operations - Environment, Health & Safety
Above Ground Storage Tanks	These are records related to the facilities and equipment for the storage of listed hazardous substances, oil and other fuel products in above ground storage tanks; they include design and installation records, modifications, maintenance, inspections and monitoring of the tanks, reports and testing, and records related to their closure

	or removal from service.
Air Monitoring Records	These are records showing data collected from environmental testing monitoring devices from any air pollution source. They include: logs, measurements, calculations, performance tests, calibration / maintenance records, and all strip chart recordings for continuous monitoring instrumentation, emissions monitoring, and fugitive emissions. Also includes Greenhouse Gas Program records.
Cultural Impact Investigations	These are assessments of the impact of facility relicensing on cultural assets that may be associated with the sites in cases where the projects involve ground disturbance. The records consist of FERC historical plan compliance, SHAPA and Native American tribe requirements, and other related records.
Emergency Response Plans	These are plans, policies, and procedures detailing the requirements for proper emergency responses to various health, safety, and/or environmental incidents and disasters.
Environmental Assessments	These are assessments of the actual or potential environmental ramifications of NYPA projects and existing or planned facilities. The assessments may include plans and strategies for remediation or mitigation of environmental risks and hazards.
Environmental Audits – Internal	These are records of internal audits and inspections of power plants, transmission facilities, and selected ancillary facilities or other matters related to compliance with environmental policies and procedures.
Environmental Audits – Waste Disposal Facilities	These are audits of external treatment, storage, and disposal facilities (TSDF). The records include audit reports and supporting workpapers.
Environmental Building Inspections	These are records of inspections, testing, and monitoring of buildings for the presence of asbestos, lead-based paint, solvents, and air quality.
Environmental Certificates	These are certificates of waste reduction, recycling and disposal.
Environmental Compliance Records	These are compliance records consisting of warning notices, notices of violations, consent orders, consent decrees, consent final judgments, administrative orders, and citizen complaints. They generally include agency correspondence, correction reports, status and completion reports, monitoring reports related to enforcement actions, agency inspections and audits, and self-reporting of issues of concern.
Environmental Health & Safety – External Organizations	This category of records includes correspondence and related records with outside organizations (tenants, other utilities, or customers), other than records related to permits.
Environmental Management / Construction Plans	These are plans describing the environmental management of various Authority projects during construction, as well as the requirements during a project’s existence related to transmission lines and substations. These plans exclude hydro projects, which are regulated by FERC license.
Environmental Management Information System Records	This is the database used to monitor environmental management activities; it includes permits, notices of violations, and other related environmental actions. This is the Environmental Management Information

	System.
Environmental Monitoring Records	These are records showing data collected from environmental testing and monitoring devices from any pollution source other than discharge into air (discharge into water, etc.), or the presence of potentially harmful substances in the workplace. They include: logs, measurements, calculations, performance tests, calibration / maintenance records, and all strip chart recordings for continuous monitoring instrumentation; environmental excursion times collected from periodic and continuous monitoring devices and systems covering any permitted pollution source; records of occurrences and duration of any start-up, shutdown, or malfunction in the operations of any source, etc.; and copies of required reports.
Environmental Permits	These are permits issued by environmental regulatory bodies permitting the discharge of wastes, pollutants, or other regulated substances into the environment; may include the permit application, amendments and standard exemptions, calculation data used to prepare levels of emissions allowed for the duration of the permit, working papers, and correspondence. Also includes petroleum bulk storage (PBS), chemical bulk storage (CBS), major facility license records, and pesticide business/agency registrations.
Environmental Photographs	These are photographs of environmental-related projects and facilities.
Environmental Plans and Policies	These records consist of documentation of the organization's plans and policies relating to environmental management and compliance; they may include manuals, corporate compliance plan, corporate environmental compliance plan, spill prevention, control, and countermeasure (SPCC), OPA 90 facility response plan, hazardous communications, etc.
Environmental Remediation	These are records related to environmental / waste clean-up and other remediation projects performed at single or multiple sites; they typically include judgments imposed by regulatory bodies concerning clean-up goals and objectives and targets for meeting them, as well as records showing analytical laboratory results of environmental monitoring and sampling.
Environmental Studies	These are studies assessing the impact of utility facilities on the environment; these records may include habitation improvement projects (HIP), engineering design, construction and operating / monitoring reports, soil contaminant reports, Phase 1 or Phase 2 reports, and reports of environmental impacts on wetlands, plants, fisheries, etc.
Environmental Waste Permits	These are permits issued by governmental regulatory authorities specific to the discharge of environmental wastes (hazardous and nonhazardous).
Ground Water Monitoring Records	These are ground water monitoring records of analyses, evaluations, and discharges.
Hazardous Substance Abatement Records	These are records related to the abatement of lead, asbestos, and other hazardous substances at plants and facilities. The records consist of licenses, monitoring and inspection records, and records evidencing the

	removal or other abatement of the substances.
Hazardous Waste Disposal & Transportation Services Agreements	These are copies of Procurement contracts for hazardous waste disposal and transportation services needed for reference.
Hazardous Waste Management Records	These records are related to the company's compliance with environmental regulations pertaining to the discharge or other handling and disposal of hazardous wastes. The records may include manifests, inspection logs, test results, waste analyses, disposal passes, drum and solid waste disposal, waste location records, third party agreements, certifications, and exceptions granted by regulatory authorities, as well as other reports, monitoring and compliance records.
High-Efficiency Lighting Program (HELP) Records	These records are related to replacing the lighting in office facilities, boiler replacement, and contaminated soils.
Instrument Maintenance and Calibration	These are records of maintenance and calibration of monitoring devices, stack testing equipment, and lab equipment.
Material Safety Data Sheets	These are material safety data sheets showing the presence and use of substances that may be related to employee health and safety. The category also includes chemical lists and chemical handling records.
Noise Exposure Records - Audio-Dosimetry Records	These records are related to employee audio noise test results and related records.
OSHA Compliance / Audits	These are records documenting compliance with OSHA safety rules and regulations; they typically include safety audits, OSHA citation files, company responses, and other supporting documentation.
PCB Records	These are annual records and document logs related to the management of poly chlorinated biphenyls (PCBs). The records consist of manifests, certificates of disposal, and records of inspections / cleanups. The records contain identification information and manifest numbers.
Safety Committee Records	These are records of the Safety Administrative Working Committee (SAWC), which manages safety related initiatives and programs at plant facilities. These records consist of safety plans and procedures, minutes of committee meetings, regular and periodic safety inspections / incident reports, and other related records.
SHAPA Documentation	These records include SHAPA management plans as well as correspondence relative to the required SHAPA reviews, approvals, modifications, or renovations.
Toxic Chemical Release Reports	These records include toxic chemical release reports, compliance determination, and all supporting documentation generated in response to the Community Right to Know Act and Superfund Amendments and Reauthorization Act (SARA). The reports may include NYSA Tier 2 Inventories and Toxic Release Inventories (TRI).

Training Records – Environmental Health & Safety	These are records documenting the training received by employees in issues related to environmental health and safety. The training includes emergency response, noise, hazardous wastes, blood borne pathogens, hazardous chemicals, and other related areas.
Underground Storage Tanks	This is documentation of underground storage tanks. It includes: testing, monitoring, calibration, maintenance, and repair; release detection performance claims to calibration and maintenance schedules; and operation and inspection records of cathodic protection.
Underground Storage Tanks – Closure Records	These are records of underground storage tank permanent closure / change-in-service compliance, including closure site investigations.
Vegetation Inventories	These are inventories of vegetation existing around and/or under transmission lines; they show the species, heights, and other characteristics. These inventories may be used for bidding purposes and herbicide treatments.
Waste – Non-Hazardous	These are records related to company compliance with environmental regulations pertaining to the discharge or other handling and disposal of non-hazardous wastes. The records may consist of service agreements with third parties, reports showing the status of discharge, handling or disposal, landfill records, and other related records.
Water Quality Certificates	These are certificates of water quality issued by the New York State Department of Environmental Quality. The records consist of applications, regulatory reviews, and documentation evidencing compliance.
	Operations - Support Services - Asset & Maintenance Management
Disturbance Reports	These are records pertaining to equipment installed at plant facilities and subsequently removed from service and analyzed for disturbances that may have contributed to the removal actions.
Equipment Records	This is a master file of technical documentation pertaining to equipment installed at plants and facilities. The records consist of test procedures, lease records, failure reports equipment drawings, technical manuals and procedures, and related records.
Preventive Maintenance Records	These are records of regular / scheduled and special or periodic preventive maintenance work performed on plant equipment, systems, and facilities.
Turnover Packages	These are records consisting of documentation that is turned over to plants upon completion of engineering projects. The records include operations manuals, equipment manuals, test reports, quality control records, and instruction manuals.
	Operations - Support Services - Engineering
Bids – Plant Construction	This is the master set of documentation for all issued bids for the construction and maintenance of the Authority's plants and other operational facilities. The documentation consists of technical specifications and other descriptive material used in the construction bidding process.

Canadian Treaty / Agreement Records	These are records documenting the Authority's management of its boundary treaty with Canada and its Ontario power generation agreement. The records consist of stream gauge and weekly monitoring records documenting the water flow above and below Niagara Falls, and records of the International Joint Commission.
Computer System Testing Manuals / Methods	These are test methodology manuals used as protocols for testing new systems under development or modifications to existing systems under controlled conditions.
Dam Safety Reports	These are annual dam safety reports and related documentation concerning the condition and integrity of dams owned by the Authority. The records include emergency action plans for mitigating dam failures, periodic dam / plant inspection and stability reports, instrumentation records, strip charts of river / water levels, and other related records.
Drawings - Metering	These records include drawings of electrical one-line simplified substations, wire connections, diagrams, and photographs used for installation throughout the Authority's infrastructure.
Energy Management System Records	These are records created by the Energy Management System (EMS) showing the status of devices on the electric grid. The records consist of incident reports documenting hardware failures or loss of functionality, data pertaining to megawatt hours, and other real-time information related to grid management.
Engineering Design Calculations	These records show calculations (stamped and signed) supporting the design of various components of facilities and equipment installed for use in Authority-owned plants. The calculations are critical to code compliance and adherence to other engineering standards and guidelines.
Engineering Design Packages	These are final design packages for modifications to plant/site structures, components and systems. Records consist of surveys, specifications, calculations, code certification forms, plans and design drawings approved by the Engineer of Record. Designs are developed and executed in accordance with New York State requirements.
Engineering Drawings of Record	These plans and drawings reflect the current configuration or revised as-built arrangement of plant/site structures, components and systems. Information is reviewed by the Engineer of Record and approved with a PE seal. Configuration management policies and procedures are used to maintain document control.
Engineering Plans and Drawings – Working Copies	Working copies consist of drawings issued as new or under revision which indicate proposed changes to the current configuration of the plant/site. Information represented may include structures, components and systems. Records consist of surveys, specifications, calculations, code certification forms, design drawings and approved design field changes.
Engineering Specifications	These are technical specifications (stamped and signed) detailing the design and construction of various components of facilities and equipment installed for use in Authority owned plants.
FERC Correspondence	These are letters received from the Federal Energy Regulatory Commission (FERC) concerning any and all aspects of regulatory compliance, as well as Authority responses and background documentation.
FERC Dam Safety Records	These are records showing potential dam failure modes analyses as required by FERC. The records consist of photographs, drawings, chronological construction files, concrete test reports, and other related records.

FERC Database Records	This is a database containing records used to track the status of FERC operating licenses and projects; to include original conditions of the licensed facilities, the status of commitments, or other matters affecting the Authority regulation by FERC.
FERC Logbooks	These are logbooks maintained in compliance with FERC requirements and containing the following: generation and output logs, closing of breakers, unit starts / stops, anomalies and outputs, diversions, volumes of water, megawatts, river flows, pump and generator data, breaker opening / closing, switch yard data, and other related records.
Firewall Documentation	These records are firewall configurations showing the installation and functionality of firewalls designed to safeguard the integrity of the Authority's computing infrastructure.
Instrumentation Records and Data	These records consist of instrumentation test data meters, control devices, breakers, generators, and other related equipment installed in plant facilities. The records consist of prescribed calibrations and equipment settings, test reports (as found / as left), and other related records.
International Niagara Committee Records	These are records pertaining to the Authority's management of the International Niagara Committee (INC) requirements for water sharing and diversion, river flows, ice booms, and other matters. The records consist of correspondence, reports, and other records evidencing Authority compliance with committee policies, procedures, and directives.
Marine Vessels / Barge Records	These are records related to the various marine vessels (i.e., ice breakers, tug boats, and barges) owned by the Authority. The records consist of licenses and certifications, operational cost data, and related records.
Meter Agreements	These records consist of agreements and related correspondence with other utilities and customers concerning interconnections, design of stations, drawing submittals, and installation data. They contain calculations.
Meter Calibration / Configuration Data	These records include calibration data sheets on meters installed throughout the Authority's operational infrastructure, to include standards, instruments and instrument transformers, test devices, and test standards.
Meter Equipment Inventory	These records consist of a master inventory of meters installed throughout the operational infrastructure.
Niagara Joint Works Committee Records	These are records related to projects administered jointly by the Authority and OPG. The records consist of memorandums of agreement and budget and expenditure workbooks, and they include cost sharing calculations for Niagara joint operations and maintenance.
NYS DOT Compliance and Bridge Management Records	These records document Authority compliance with NYS DOT Bridge Management regulations and consist of Biennial Bridge Inspection Reports, flags, engineering reports, submittals, and related correspondence.
Plant Operations Reports	These are reports of plant operations and status including the Operation Summary (Net MWH Out, Net MWH In, Fuel Consumption), Significant Events, and Scheduled Activities. Record types include Daily Reports, Plant Daily Status Reports and Monthly Project Summary.

Relay Setting Calculations	These are protection relay settings—a set of parameters used for generation and transmission protection. These records document the official distribution of relay settings for each operational facility for the purpose of isolating faults and preventing cascading faults.
River / Ice Logbooks	These are logbooks used to record ice management and other activities and incidents occurring on rivers / waterways used or otherwise associated with the Authority.
SCADA - Archival Records and Data	This is data showing the operation in real time of the Authority's power plants and the critical systems supporting them. The graphic and textual data includes water screen and river flow levels, gauging station operations, water unit efficiency, temperature data, and other related records and data. The SCADA archival data is retained in the Historian iFIX repository.
SCADA Source Code	This is the computer source code created to modify the SCADA application programs, which are used to manage the operational aspects of plant facilities.
Shift Supervisor Logbooks	These are daily logs showing activities occurring during each shift at plant facilities. The logs are used to record any and all reportable incidents, to include regular and exceptional / anomalies.
Short Circuit Analysis Programs	These are records consisting of Aspen short circuit data models (Aspen one-liners), which are based on models of independent system operators (ISO) and New York state. The revisions are based on the New York ISO short circuit models for Aspen one-liners.
Startup Testing Records	These are testing and inspection records of generators, electronic equipment, and other systems and equipment upon unit startup or modification. The records consist of test procedures and resulting test data.
Submarine Conduit Inspection Records	These are inspection reports of down intakes (conduits) created underwater via submarine photographs and videos.
Testing and Calibration Records	These are records of tests performed on various equipment installed in the Authority's system infrastructure. The records consist of numerous data sheets (i.e., test sheets, commissioning sheets, calibration sheets, and relay sheets) and related documentation.
Trip Reports	These are reports documenting the resolution of issues and problems with systems and equipment installed at plants and field sites. The reports detail readings and event chronologies, corrective actions, and related data.
Turbine Testing Records	These are records of testing of turbines, as required by the Authority's hydro sharing arrangement with Canada. The records consist of turbine testing reports and river flow splits to ensure equitable allocation of water.
Vendor Manuals	These records consist of operating instructions and procedures manuals on equipment and systems installed at plant facilities.
Water Logbooks	These logs show the flows of water in the St. Lawrence and Niagara Rivers; they record hourly and daily flows.

Work Clearances	Work Clearances are a formal statement from the Operations Department that the specified equipment or system has been isolated from all necessary sources of potential energy and that it is as safe to work on as it is feasible to make it. Work Clearances are sequentially numbered computer generated documents in two copies, a white and a yellow. The yellow copy is to be retained in the Shift Supervisor's office and is the official record of the clearance. Also includes associated Operating Orders.
Work Orders – Completed	These are master copies of work orders, generally for plant / facility maintenance, which have been completed. The records and data consist of corrective maintenance actions taken, job safety issues, data used for trend analysis and maintenance planning, and other related purposes. The work orders are reviewed by supervisors, who may add any relevant input / feedback. The records are scanned for ongoing retention.
	Operations - Support Services - Operational Performance
Cyber Awareness Training	This is the record of annual Cyber Awareness Training provided to employees concerning the Authority's cyber-security policies and procedures, and how to comply with them.
Employee Training Records	These records document training provided to Authority employees in operational and maintenance areas. The records show course completions and training history by employee. This category excludes safety training.
Employee Training Records – Safety	These records include training provided to Authority employees in areas related to safety, including emergency response, hazardous materials and other areas. The records show course completions and training history by employee.
Operations Work Plans Database	This is a conceptual planning request (CPR) database used for power supply project work plans. The records concern asset and investment planning for power supply projects, to include long-term forecasts and related financial investments and business justifications. The data consists of project descriptions, specifications, and financial and labor data.
	Operations - Support Services - Project Management
Accident Reports	These are reports of accidents or incidents at occurring at Authority-owned plants and facilities.
Engineering Cost Estimates	These are cost estimates of proposed engineering projects or studies of the Authority. Also includes supporting information and data used to create the estimates. The historical estimates are used to analyze costs of current studies or projects. The records also contain drawings with notes, the methodology used to develop the estimates, photographs, vendor information, and final cost estimates.
Engineering Project Records	These are records generated during the various phases of engineering projects. The engineering phase includes technical specifications and proposed design documentation. The bidding phase includes procurement records, proposals, and award documentation. The pre-construction phase includes submittals from vendors, coordination meetings, and construction planning records. The construction phase includes permits, contractor documentation, vendor drawing submittals, and test documents. The close-out phase includes compliance documentation, turnover records, and documentation related to any changes made during construction

	(design change notices or field change notices). Other records may include: contracts, submittals, shop drawings/submittals, equipment components, reviewed and approved drawings, requests for information from contractors, change orders, notices of completion, inspection reports, quality control and materials testing reports, drawings (shop, repair and alteration, and other types), project specifications, lighting plans, maps and plats, photographs and project plans, status reports and budgets, work papers, communications, financial analyses, research studies and reports, permits, and other supporting documents.
Engineering Schedules and Cost Reports	These are working files of schedules and cost reports pertaining to estimates of various proposed and ongoing engineering projects. The cost reports become part of the monthly progress reports.
Facility Construction Records	These records include design documents, contracts with firms, contractual information which is maintained through procurement, design drawings, and construction permits associated with construction. Code compliance keeps permits and follow-up inspections, field reports, design changes, construction drawings issued, and filed changes captured in record drawings. This series also includes blasting records.
	Operations - Technical Compliance
Affiliate Organizations / Committees Records	These are records created in the course of the Authority's relationships with various external organizations, commissions, and committees. Examples include the Northeast Power Coordination Council, the Reliability Coordination Council, and other public and private bodies whose mission is related to electric power or public utilities. The records consist of minutes of meetings, correspondence, reports, and other working documents.
Annual Fire Inspection	Fire & Safety Inspections pursuant to the Uniform Fire Prevention & Building Code. Includes: inspection reports, documentation of complaint or violation & resolution.
Annual Report to the State	The Uniform Fire Protection and Building Code annual Part 1204 report to the New York State Department of State (NYS DOS).
Badge Records	These are records documenting and tracking badge numbers issued to employees and non-employees, including vendors and contract personnel.
Bulk Power Reports	Documentation includes Notice of Violations and Certificates of Compliance issued by the Office of Fire Prevention and Control.
CIP Portal Records	These are records documenting the critical infrastructure assets of NERC CIP. The records consist of network security drawings, task lists, access control lists, and other related records.
Code Compliance Training Certificates	Certificates issued by the New York State Department of State (NYS DOS) to individuals completing training related to the Uniform Fire Prevention & Building Code.
Compliance Monitoring and Enforcement Program (CMEP) Records	These are records of NYPA's compliance with the NPCC Compliance Monitoring and Enforcement Program (CMEP). These records include audit schedules, compliance inquiries, self reports, self certifications, spot audits, FERC Order 693 Audits, Critical Infrastructure Protection (CIP) Audits, Notices of Alleged Violations, and Technical Feasibility Exceptions (TFE).

Compliance Registration Records	These are records documenting NYPA's status as a registered Entity with NPCC responsible for compliance with the NERC Reliability Standards Program.
Crane Inspections Program Records	These are reports of crane inspections and other related records. Includes Annual OSHA Crane Inspections.
Cyber Awareness Records	These records consist of communications (emails, intranet postings, posters, brochures, presentations) provided to employees concerning the Authority's cyber-security policies and procedures, and how to comply with them.
Cyber Security Compliance Audits	These are annual CIP audits (required by NERC) to ensure employees are following cyber security policies and procedures.
Delegation Agreements	These are agreements delegating responsibility for compliance with NERC Reliability Standards for certain power system assets managed by third parties. Records include O&M Agreements and Compliance Agreements.
Employee Access Requests	These are records documenting employee requests for access to sites.
Employee Security Access Requests	These are requests by employees for access cards for buildings and other secure facilities or equipment.
Finger Print Records	These are copies of fingerprints taken by NYPA for various security purposes.
Fraud Investigations	This is documentation of investigations of individuals for fraud; the records may include investigations, reports, resolutions, and all supporting documentation.
Internal Compliance Assessments	These are records of NYPA assessments of compliance with NERC Reliability Standards. Records include annual self certifications, potential violation concerns, and new facilities.
NERC Alerts and Recommendations to Industry – Transmission Facility Ratings	Those NERC Alerts and Recommendations to Industry regarding Transmission Facility Ratings.
NPCC Audit Preparation and Management	These are records documenting NYPA preparation for NPCC audits. Records include plans (including Project Plans and Action Item Lists) and Significant Objectives.
Patrol Logs	Written logs of patrols conducted by security guards at NYPA facilities.
Possible Compliance Violations	These are records documenting possible compliance violations (of NERC Reliability Standards) and their resolution. Records include settlement discussions and agreements and legal holds.
Post-Permit Documentation	Code Compliance Post-Permit Construction Activity during the Construction Phase subsequent to issuance of the Construction Permit. Post-Permit documentation including, but not limited to, inspection reports, photographs, special inspection reports, code compliance certificates, construction submittals, test result reports, emails and other correspondence.

Pre-Permit Documentation	Code Compliance Pre-Permit Activity during the Plan Review Phase, prior to issuance of the Construction Permit. Includes: applications, construction permits, inspections, insurance co. reviews, stop work orders, notice of violations, temporary approvals for occupancy, specifications, drawings, calculations, correspondence & reviews prior to issue of construction permits.
Quality Assurance Program Life Extension Modernization (LEM) Plans	Plans developed to cover all the various work items of a project to be completed by vendor, contractors, and by NYPA PM/Craft.
Quality Assurance Surveillance Reports	These are reports documenting quality assurance contract surveillance activities for components fabricated for NYPA facilities.
Reliability Standards Audit Worksheets	These are worksheets used to document implementation and compliance with reliability standards with which the Authority is obligated to comply.
Security Access Logs	These are log books used to grant access to Authority property and facilities by third party contractors, daily logs showing visitors who register to enter the organization's premises for meetings and other business purposes, and other logs such as cardkey logs, console logs, escort log books, gatehouse logbooks, and key logs.
Security and Protective Program Records	These are records related to all security and protective programs in place at an organization; they include planning documentation, risk analysis records, security guard records, recommendations for new or upgraded security / protective systems, and security / protective systems equipment records.
Security Clearances	These are security clearances granting rights of access to property, equipment, records and information, and other assets of the organization.
Security Investigations	These are reports and detailed records summarizing all reportable incidents handled by the Security Department.
Security Surveillance Videos - No Reportable Incidents	These records are video tapes produced from the organization's surveillance cameras.
Operations - Transmission	
Daily Lineman Activities	These records include the daily work activities of linemen who are engaged in maintenance and inspection activities of the Authority's transmission lines.
Danger Trees Permits	These are permits for the cutting or trimming of trees on Authority-managed rights-of-way.
ECC Voice Recordings	These are recordings which can be used as evidence for compliance with NERC standards.
Hot Line Work Records	These are records providing clearance for work on hot power lines. The records document the position of equipment, notices as to line faults, clearances to remove lines from service, and guarantees providing assurances for such lines.
Outage Coordination Records	These are Planned Outage Coordination records providing evidence that scheduled generator and transmission outages were planned and coordinated.

Transmission Availability Data Reports	These are reports generated by the Transmission Availability Data System (TADS) showing transmission availability of the Authority. The reports are required by NERC.
Vegetation Inventories	These are inventories created during the course of patrolling right-of-way lines, to include descriptions of the vegetation observed and its densities.
Vegetation Management Compliance Records	These are records documenting Authority compliance with NERC, PSC, DEC, and other regulatory requirements pertaining to vegetation management. The records consist of FAC-003 requirements and guidelines, regulatory filings, and other documentation evidencing compliance with same.
Vegetation Management Work Records	These are records of vegetation maintenance and other work performed on substations, rights-of-ways, and other properties managed by the Authority. The records include documentation related to cutting and trimming, application of herbicides (bare ground treatments), and related vegetation management activities.
Vegetation Permits	These are state-issued permits associated with vegetation management activities, including wetland permits for herbicide applications and temporary revocable permits for work on state lands.
Public & Regulatory Affairs - Community & Government Relations	
Charitable Contributions Records	These are grants and donations records awarded to tax exempt charitable organizations. The records include applications, reviews, and funding determinations.
Community Events Records	These are records related to Authority sponsorship of, or participation in, various community events. The records consist of correspondence and proposals for funding or other sponsorship, 501 c(3) documentation, and other related records.
Community Grant Applications	These are applications for allocations of Authority funds for community related events and initiatives. These are posted to the intranet; they are manually reviewed, and then letters are dispatched as to whether they are approved or denied.
Annual Reports	These are master copies of the official annual reports of the Authority.
Annual Reports Supporting Information	These are records containing all supporting documentation used in the annual reports, including statistical information and photos.
Briefing Papers	These records are briefings or fact sheets created on a variety of issues of interest or concern to the Authority. They also include background research conducted to create the briefing papers.
Employee Communications	These records are materials associated with formal communications to employees. The records consist of internal newsletters and other official issuances distributed to Authority employees.
Employee Communications – Videos	These records are videos of employee briefings in face-to-face or “brown bag” formats.
External Outreach Communications	These are outreach communications released to the public, to include regional newsletters, fact sheets, brochures, pamphlets, flyers, and similar materials.

General Public Inquiries	These are general inquiries received from the public via the Authority's website. After responses have been dispatched, the records are retained as a basis for evaluating public communications methods, strategies, and content.
Historical Records	Records identified as collective data on the development and background of the corporation, as well as copies of articles, publications, etc. of historical value concerning the company.
Logos – Corporate	These are master copies of official Authority logos and related organizational representations; for example, tag lines. The records consist of graphics materials, records related to permissible uses, and other related supporting documentation.
Media Inquiries	These are inquiries made from outside organizations or media requests.
News Articles / Clippings	These are articles concerning the Authority, the electric power industry, and related political stories or news items.
Press Kits	These records are press kits created to provide publicity for various Authority events; they include press releases and photographs.
Press Releases	These records are the master set of the Authority's news or press releases, in which significant announcements are disclosed to the public or news media outlets.
Public Internet Site Content Data	These records consist of the content of the company's public internet sites; they show data concerning the company's identity, product offerings, investor relations, news releases or employment opportunities, etc.
Speeches Books	These are speech books containing speeches and background materials created for senior managers and executives for presentation to various groups.
Talking Points	These are bulletin points of the main points created for presentations on various topics.
Website Content	These are master copies of the content posted to the Authority's external (public) and internal (intranet) Web sites. The records include content edits and updates.
Associations and Interest Groups	These are records pertaining to the Authority's relationships with various associations and interest groups.
Legislative Committees Files	These records include agendas, meeting notes, proposed bills, correspondence, and other records documenting the Authority's official position on a legislative matter. They also include notices of public hearings and public input on proposed legislation.
Legislative Contacts Database	This is a database of Senate contacts and Assembly contacts by districts; it also shows key staff members.
Legislative Monitoring Records	These records include federal and state bills containing provisions that have a possible impact on the Authority's business. They include internal analyses of these provisions and the Authority's position on them if one is taken.

Regulatory Licensing Proceedings	These records are generated to obtain facility operating licenses and relicensing; they include approvals from regulatory agencies to build facilities or other business operations. The records document the negotiation of terms and conditions. They include federal FERC licenses, EPA, and state licensing (New York Public Service Commission), as well as Department of Environmental Conservation and other regulatory agencies.
State Policy Initiatives	These are records pertaining to the Authority's participation in various state government initiatives relating to electric power or other energy matters.
Cancelled Projects Licensing Records	These records are generated to obtain facility operating licenses for projects that were cancelled after licensing, were unlicensed, or where the license was surrendered or transferred.
Competitive Bid Documents For Projects not Awarded	These are records documenting Authority bids to construct plant facilities for other utilities.
Permits – Army Corps of Engineers	These are applications for permits granted by the U.S. Army Corps of Engineers necessitated by plant / facility relicensing activities. The records consist of permit applications and supporting justification documentations, regulatory reviews and approvals, and documentation evidencing permit compliance.
Relicensing Implementation Records	These are records documenting the commitments incorporated into newly issued FERC licenses and records evidencing the implementation of these commitments. Examples include: recreation plans, historical properties plans, and funds associated with different projects. The records also include progress reports filed with FERC on an annual basis, report approvals, feasibility studies, and follow-up studies, to include study plans and results of studies. Finally, there are records of meetings with advisory groups.
Relicensing Records	These are records used to effect the relicensing of the Authority's plant facilities. The records document the regulatory and operational basis for the new licenses and consist of internal planning documents generated prior to the official relicensing process, to include the issues and goals of the process; minutes of public and internal meetings; copies of relicensing studies and reports; FERC and other regulatory documents to include scoping documents, draft license applications, final applications, and associated filings; settlement agreements; and finally the newly issued FERC licenses.