

**GUIDE TO RECORDS
OF THE
GOVERNOR'S OFFICE**

in the

New York State Archives

**The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Office of Cultural Education
State Archives and Records Administration
Albany, New York 12230
1994**

On the Cover

Signatures of 22 governors of New York State are reproduced on the cover of this guide, in the following order:

Martin H. Glynn		[W.] Averell Harriman
George Clinton		Horatio Seymour
Nathan L. Miller	Thomas E. Dewey	David B. Hill
L[evi] P. Morton	Theodore Roosevelt	W[illia]m Sulzer
Alfred E. Smith		Franklin D. Roosevelt
B[enjamin] B. Odell		Frank S. Black
Herbert H. Lehman	Nelson A. Rockefeller	Charles E[vans] Hughes
Roswell P. Flower	John A. Dix (1911-1912)	Daniel D. Tompkins
Charles S. Whitman		Horace White

FOREWORD

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1. Legislation

Records in this category contain information compiled by the governor's staff to monitor bills sent to the governor for signature. The Legislative Bill and Veto Jackets series contains memoranda and correspondence to the governor supporting or opposing every bill passed by the legislature and sent to the governor for approval. This is the Archives' primary source for research on legislative intent.

12590. Legislative Bill and Veto Jackets, 1883, 1884, 1897, 1905, 1921-1993 (bulk 1921-1993)	9
A0595. Registers of Titles of Bills Received by the Governor, 1864-1913	11
A0596. Index to Registers of Titles of Bills Received by the Governor, 1872-1912	11
A0602. Registers of Titles of Bills Signed by the Governor, 1857-1870	11
A3350. Index to Bills Vetoed, 1901, 1905-1912	12
A3351. Register of Actions Requested on Legislative Bills, 1879	12

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These records were created pursuant to an 1859 law requiring the governor to keep a record of "daily transactions." The blotters are a preliminary record relating to requests and applications for appointments, nominations, pardons, commutations, restoration of citizenship rights, and other gubernatorial actions. The journals are the chronological "permanent" record, containing information extracted and transcribed from the blotters. The ledgers, compiled from the journals, are another central record of appointments and actions organized by type of appointment made or action taken. These records also contain messages to the legislature, including veto messages and, less frequently, approval messages for legislation. The messages are particularly important in the years preceding 1921, the first year of the complete set of Legislative Bill and Veto Jackets.

A0608. Blotters of Governors' Actions and Decisions, 1859-1938	12
A0607. Journals of Governors' Actions and Decisions, 1859-1916	13
A0622. Ledgers of Governors' Actions and Decisions, 1856-1906	13

3. Correspondence

Most of these records comprise the voluminous central files of the Executive Chamber (governor and immediate staff) containing incoming and outgoing official correspondence arranged by subject or name of correspondent. The Archives holds a comprehensive series of correspondence files dating primarily from the twentieth century. Earlier

files occur sporadically and offer an incomplete picture of the range of official activities and concerns of the executive. The very earliest records in this group (Clinton and Tompkins) are not exclusively correspondence files, or even gubernatorial records, but contain a range of materials interspersed with records related to public matters. Early record-keeping practices did not separate public from private material.

13682.	Central Subject and Correspondence Files, 1919-1954, 1959-1983.	15
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13687.	Addresses, 1975-1986.	27
A0114.	Messages to the Legislature, 1957-1969.	28
13685.	Executive Orders, 1972-1982.	29
13684.	Proclamations, 1976-1986.	29
A3286.	Thanksgiving Proclamations by the Governor, 1874-1925.	30

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B0294.	Printed Reports and Studies, 1975-1982.	30
A0706.	Transcripts of Minutes and Public Hearings of Public Authorities, 1951-1974.	31
A0616.	Inter-Government Activity Report Transmittal and Acknowledgment Files, 1949-1954.	32
A0187.	Annual and Final Reports of State Agencies and Commissions, 1950-1954.	33
A0615.	Proceedings, Recommendations, and Background Files of the Governor's Conference on Crime, the Criminal and Society, 1935-1936.	33
A3215.	Board of Estimate and Control Report Files, 1921-1922.	34
A0283.	Monthly Reports and Minutes of Meetings of Boards of Managers of State Institutions, 1902-1914.	35
A3357.	Minutes of the Panama-Pacific Exposition Commission, 1912-1914.	36

A0580. Annual Reports to the Governor and Legislature, ca. 1882-1907.	37
6. Appointments	37

Records in this category document appointments made by the executive to various offices. The most recent records held by the State Archives include press releases announcing appointments of the Carey administration. Earlier records include over 90 years of files documenting applications for and actions on appointments to positions at both the State and local levels of government, including notaries public, commissioners, superintendents, inspectors, managers of State institutions, and delegates to conferences.

13686. Press Releases Announcing Appointments, 1976-1984.	37
A0540. Alphabetic Card Index to Governors' Appointment Correspondence Files and Other Matters, 1905-1930.	38
A0006. Registers of Appointments, 1823-1910.	39
A3328. County Clerks' Monthly Reports of Notary Appointments and Fees, 1914-1916.	40
A0600. Notary Public Appointment Registers and Correspondence, 1870-1912.	40
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8. Reprieves, Commutations, and Pardons 50

A traditional function of the executive is the granting of clemency and pardons to those remanded to prison or sentenced to death (except in cases of treason or impeachment). The State Archives holds records documenting this function that date from the nineteenth and early twentieth centuries. An associated group of records documents prison commitments, reduction or commutation of sentences, and extraditions over the last half of the nineteenth and early twentieth centuries.

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A0531. Investigation Case Files of Charges and Complaints Against Public Officials and Agencies, 1857-1919 (bulk 1872-1919).	58
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<i>Deputy Secretary to the Governor</i>	65
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B1219. National Governors' Conference and Related Federal Issues Policy Development Files, 1972-1974.	66
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INTRODUCTION

From George Clinton to George Pataki, there have been 53 New York State governors. This guide describes the historical records of the Governor's Office that are preserved in the State Archives. The records date from 1777 to 1992 and document the official activities of New York's governors and their executive staff. Despite some missing and dispersed records, the State Archives preserves a large and important body of gubernatorial records which, due to the governor's role, document nearly every aspect of State government operations. The State Archives also holds many more records documenting the functions and operations of all the agencies under the governor's leadership. A comprehensive online catalog of all records in the State Archives is accessible via the Internet.

Most gubernatorial records from the nineteenth and early twentieth centuries were not retained in State custody. Many of the estrayed records are presumed lost or destroyed. Fortunately, some made their way to other repositories, where they were preserved in the absence of a State Archives which was not established until 1978. Appendix E contains a list of gubernatorial records housed in repositories other than the State Archives. Researchers might also consult the published *Public Papers of the Governor*, a compendium of selected announcements, proclamations, reports, speeches, and other materials begun in 1869 and continuing today. Appendix F contains a summary description of the published *Public Papers*.

Functions of the Governor

As chief executive officer of New York State, the governor is responsible for ensuring that the laws of the State are carried out. The governor exercises executive power over the administrative machinery of State government, including all departments, divisions, offices, bureaus, and commissions established by constitutional provision or by statute.

The governor acts as commander-in-chief of the State's military and naval forces; directs to the legislature an annual message concerning the condition of the State; recommends actions to the legislature and approves or vetoes actions proposed by the legislature; convenes extraordinary sessions of the legislature, or of the senate only, when necessary; appoints, and may remove, heads of most State departments; prepares for the legislature a comprehensive annual State budget; and may grant reprieves, commutations, and pardons to persons convicted of crimes (except in treason or impeachment cases).

Governor's Records in the State Archives

The State Archives, part of the Office of Cultural Education in the State Education Department, preserves and makes available for research State government records of enduring value. The official State Archives was established by law in 1971. Its preservation and research services facility opened in 1978. Prior to 1978, many State government archival records, including some governor's records, were preserved in the State Library. Since 1978, over 57,000 cubic feet of records have been transferred to the State Archives and additional records are accessioned continually.

The New York State Archives holds State gubernatorial records spanning the years 1777-1992 and totalling over 4,300 cubic feet. Most governors' records in the Archives date from the 20th century. Over one third of all gubernatorial records, by volume, are Legislative Bill and Veto Jackets (1905, 1921-1993), which contain information on legislation sent to the governor for signature. Another third are Central Subject and Correspondence Files and Name Files (1919-1982) containing most of the correspondence files of the Governor's Office. Other records include governors' addresses, proclamations, press releases, audio and video tapes, and photographs; executive clemency records; appointment records; and records of special advisory and investigatory commissions that reported to the governor. The Archives' holdings include records from the administration of George Clinton, the State's first governor,

and of Mario Cuomo, the 52nd governor.

The law that authorizes the Archives -- Arts and Cultural Affairs Law Section 57.05 -- does not expressly place Governor's Office records under the Archives' jurisdiction. Pursuant to Executive Law Section 5 (the language of which dates back to 1858), governors exercise discretion regarding the disposition and preservation of most of their records. Since the 1920s, most governors took measures to ensure that their records were preserved and available for research. Since 1978, the State Archives has worked closely with the Governor's Office to identify and preserve their archival records. In its 1991 final report, the Governor's Conference on Libraries and Information Services recommended that the antiquated "Governor's Records Law" be revised and updated to further ensure that gubernatorial records are available for future research, but this proposal has not yet been implemented.

Organization of the Guide

This guide begins with a brief essay on the history of the office of the governor. Following this essay are summary descriptions of all the State gubernatorial records in the State Archives. (Not included are descriptions of records from the administrations of colonial governors.) The descriptions are organized into eleven topical categories, plus a category for governors' commissions and committees, and a separate category for the Office of Lieutenant Governor. Under each category, each entry describes a group of records called a "series." A series is a group of related records created to accomplish or document a particular function. Most series described in this guide span multiple administrations, because the mandated functions of the Governor's Office continue from one administration to the next.

Each series description entry contains the following information about the records:

- E series title
- E dates (span dates identify the earliest and latest dates of records in the series; if most of the records are from a more limited time period, the entry will also include the "bulk dates")
- E quantity expressed in cubic feet of storage space required to house the records and/or number of microfilm reels/microfiche
- E a statement of restrictions, if any, on use of the records
- E the organization or arrangement of the files, volumes, documents, or other items in the series
- E one or more paragraphs summarizing the contents of the records
- E names of any existing indexes or finding aids that facilitate research use
- E availability of microform copies

Appendices provide a list of series in numerical order and a list of series available on microform; lists of executive clemency and appointment records from the Department of State in the State Archives; an annotated list of governors' records and related papers in other repositories; and information about the *Public Papers* and the Governor's Records Law.

Research Use of Records in the State Archives

All records in the Archives are available for research use, unless the Archives has designated a series as "restricted". Access to restricted records may be withheld or subject to special conditions of use pursuant to provisions of the Freedom of Information Law (Public Officers Law, Article 6, Sections 84-90), the Personal Privacy Protection Law (Public Officers Law, Article 6-A, Sections 91-99), or other laws or regulations relating to particular records. Under Regulations of the Commissioner of Education (8 NYCRR Parts 187 and 188), the Director of the State Archives and Records Administration serves as Public Records Access Officer for records transferred to the custody of the State Archives. Access considerations are indicated in the series description. Researchers interested in using

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records subject to access restrictions should contact the State Archives for more information.

The State Archives research services facility is open weekdays from 9:00 a.m. to 5:00 p.m. Further information about the State Archives and its holdings is available from:

Research Services
New York State Archives and Records Administration
Cultural Education Center, Room 11D40
Albany, New York 12230
(518) 474-8955
jfolts%sedofis@sed.bitnet
jfolts%sedofis@vm1.nysed.gov

Information about State Archives holdings and services is also available from the Archives gopher at unix6.nysed.gov.

This finding aid was written by Senior Archivist Elisabeth A. Golding.

INTRODUCTION

HISTORY OF THE OFFICE OF THE GOVERNOR AND LIST OF NEW YORK STATE GOVERNORS

New York's first constitution in 1777, and subsequent constitutions of 1821, 1846, and 1894, vested supreme executive power and authority in a governor. Colonial precedents for a governor as executive officer were the director general, who administered New Netherland under the Dutch from 1624 to 1664; and the British colonial governor, who administered the colony under the British until 1776. In April 1777, the Convention of Representatives of the State of New York (renamed the Fourth Provincial Congress) adopted the first State constitution, and two months later George Clinton was elected first governor of New York State.

New York's constitution of 1777 created the office of governor "to take care that the laws are faithfully executed" and "to transact all necessary business with the officers of government." The governor was required to report on the condition of the State at each legislative session, could convene the legislature in special session, prorogue it, and recommend matters for legislative consideration. The governor was designated commander-in-chief of the armed forces and could grant reprieves and pardons to persons convicted of crimes other than treason and murder. The constitution provided for the election of the governor by freeholders for a three-year term, with no limit placed on the number of terms an individual might serve.

Executive power was restricted by means of a systems of checks and balances, including the legislature, a Council of Appointment, and a Council of Revision. The Council of Appointment, consisting of the governor and four senators elected annually by the assembly, selected nonelective public officials except those otherwise provided for in the constitution. The Council of Revision was comprised of the governor; the chancellor, head of the State's equity courts; and the justices of the supreme court. This council exercised a veto power over bills passed by the legislature, but a two-thirds vote of both houses of the legislature could override a veto.

Both councils were abolished by the second State constitution of 1821. The legislature now confirmed the appointment of major government officials (the comptroller, attorney general, secretary of state, state engineer, and treasurer), but the governor retained the power to appoint other State officials with the consent of the senate. Veto power was now vested in the governor alone. The governor could no longer prorogue the legislature, and his term of office was reduced from three to two years. The power to grant pardons and reprieves was amended to exclude only treason and impeachment cases. The other powers and duties of the governor were retained as they were under the first constitution.

The third (1846) State constitution continued the governor's powers and duties as defined in the second constitution. Constitutional amendments in 1874 increased the term of office to three years, allowed the governor to veto individual items in appropriation bills, and provided that extraordinary sessions of the legislature could consider only matters recommended by the governor.

The fourth State constitution was approved by the voters in 1894 and remains today as the basic legal document of New York government. It continued previous constitutional definitions of the governor's powers and duties, but reduced the term of office to two years.

By the early twentieth century the executive branch of State government had grown to include nearly 200 administrative departments, boards, and commissions. Constitutional amendments in 1925 and 1927 significantly consolidated these administrative offices and expanded the power of the executive office. A 1925 amendment reduced the number of elective officials to four -- governor, lieutenant governor, comptroller, and attorney general (the latter two were first made elective posts by the 1846 constitution) -- and provided for the consolidation of all administrative agencies into not more than twenty State departments.

One of the authorized departments was the Executive Department. Two laws (1926, Chapter 546, and 1928, Chapter 676) defined the organization and duties of the Executive Department. The department serves as the administrative department of the governor, and through it the governor supervises the activities of all other constitutional departments. The governor was authorized to establish, consolidate, or abolish additional executive department divisions and bureaus, and many such offices have been created or eliminated by executive order or statute since 1928.

In 1927 a constitutional amendment specified that the heads of all departments other than Audit and Control, Law, Education, and Agriculture and Markets be appointed by the governor with the consent of the senate, and that department heads may be removed by the governor as prescribed by law. Another amendment in 1927 required all departments to submit annually to the governor itemized estimates of necessary appropriations and required the governor then to submit to the legislature an executive budget containing a complete plan of proposed expenditures and estimated revenues. In 1937 a constitutional amendment increased the governor's term of office to four years.

The governor and immediate executive office staff, consisting of the secretary to the governor, counsel to the governor, press secretary, appointments officer, and other administrative advisors and assistants, have been generally referred to (both before and after the reorganization of State government in 1925-26) as the Executive Chamber.

Governors of New York State, 1777 to Present

(Unless otherwise noted, beginning date in office is January 1 of the year indicated, and ending date is December 31.)

<u>Name</u>	<u>Dates in Office</u>
George Clinton	July 1777-April 1795; April 1801-April 1804
John Jay	April 1795-April 1801
Morgan Lewis	April, 1804-April 1807
Daniel D. Tompkins ¹	April, 1807-February 1817
John Taylor ²	February 24-July 1, 1817
DeWitt Clinton	July 1, 1817-1822; 1825-February 11, 1828
Joseph C. Yates	1823-1824
Nathaniel Pitcher ²	February 11-December 31, 1828
Martin Van Buren	January 1-March 12, 1829
Enos T. Throop ³	March 12, 1829-1832
William L. Marcy	1833-1838
William H. Seward	1839-1842
William C. Bouck	1843-1844
Silas Wright	1845-1846
John Young	1847-1848
Hamilton Fish	1849-1850
Washington Hunt	1851-1852

¹Resigned February 24, 1817 to assume the office of vice president of the United States.

²Lieutenant governor and acting governor.

³Lieutenant governor, became governor upon resignation of Martin Van Buren, then elected to full term.

<u>Name</u>	<u>Dates in Office</u>
Horatio Seymour	1853-1854; 1863-1864
Myron H. Clark	1855-1856
John A. King	1857-1858
Edwin D. Morgan	1859-1862
Reuben E. Fenton	1865-1868
John T. Hoffman	1869-1872
John A. Dix	1873-1874
Samuel J. Tilden	1875-1876
Lucius Robinson	1877-1879
Alonzo B. Cornell	1880-1882
Grover Cleveland ⁴	1883-1884
David B. Hill ⁵	1885-1891
Roswell P. Flower	1892-1894
Levi P. Morton	1895-1896
Frank S. Black	1897-1898
Theodore Roosevelt	1899-1900
Benjamin B. Odell, Jr.	1901-1904
Frank W. Higgins	1905-1906
Charles Evans Hughes ⁶	1907-October 6, 1910
Horace White ⁷	October 6-December 31, 1910
John A. Dix	1911-1912
William Sulzer	January 1-October 17, 1913
Martin H. Glynn ⁸	October 17, 1913-1914
Charles S. Whitman	1915-1918
Alfred E. Smith	1919-1920; 1923-1928
Nathan L. Miller	1921-1922
Franklin D. Roosevelt	1929-1932
Herbert H. Lehman ⁹	1933-December 3, 1942
Charles Poletti ¹⁰	December 3-31, 1942
Thomas E. Dewey	1943-1954
W. Averell Harriman	1955-1958
Nelson A. Rockefeller ¹¹	1959-December 18, 1973
Malcolm Wilson ¹²	December 18, 1973-1974
Hugh L. Carey	1975-1982
Mario M. Cuomo	1983-1994
George Pataki	1995-

⁴Elected president of the United States in 1884 and resigned as governor on January 6, 1885.

⁵Lieutenant governor, became governor upon resignation of Grover Cleveland, then elected to full term.

⁶Resigned October 6, 1910 to be associate justice of United States Supreme Court.

⁷Lieutenant governor, became governor upon resignation of Charles Evans Hughes.

⁸Succeeded William Sulzer, who was impeached and removed from office October 17, 1913.

⁹Resigned December 4, 1942 to become federal Director of Foreign Relief and Rehabilitation Operations.

¹⁰Lieutenant governor, became governor upon resignation of Herbert H. Lehman.

¹¹Resigned December 18, 1973 to serve as chairman of National Commission on Water Quality and National Commission on Critical Choices for America.

¹²Lieutenant governor, became governor upon resignation of Nelson A. Rockefeller.

Source: *Manual for the Use of the Legislature of the State of New York ("Legislative Manual")* (various years), Department of State, Albany, New York.

HISTORY

RECORDS OF THE OFFICE OF THE GOVERNOR

1. Legislation

12590. **Legislative Bill and Veto Jackets, 1883, 1884, 1897, 1905, 1921-1993 (bulk 1921-1993).**
1,500 cu. ft. (also available on microfilm or microfiche)

Arrangement: 1905-1978: by approved or vetoed, then chronological by year, then numerical by chapter number if approved or by introductory number (through 1958) or veto number (beginning 1959) if vetoed. 1905 vetoes have senate and assembly introductory numbers interfiled; 1926-1958 vetoes are arranged by house, then by introductory number. 1979 to present: chronological by year, then by approved or vetoed, then numerical by chapter number or veto number.

"Jackets" or files documenting the governor's legislative decision-making process are compiled by the counsel to the governor and include records relating to each bill passed by the legislature and sent to the governor for approval. The jackets are comprised mainly of memoranda and correspondence to the governor from State agencies, legislators, legislative committees, commissions, legal associations, lobbyists, private firms, and citizens, expressing approval of or opposition to particular legislation. This series is the State Archives' main source for research into legislative intent, or the reasons for and purpose of enacting a law. Where the actual wording of a statute is vague or ambiguous, the legislative intent, or "spirit and purpose" of the law, is considered in its interpretation.

When a bill passes both the senate and assembly, it is sent to the governor to be signed into law or vetoed. The Governor's Counsel's Office compiles correspondence from interested parties stating their reasons for recommending approval or veto of the legislation and often indicating the purpose of the bill. When a bill is approved or vetoed, the correspondence and other related records, such as a copy of the governor's approval or veto memorandum and the tally of legislators' votes on the bill, are collected in individual files or "jackets" and arranged by chapter number if signed into law, veto number if vetoed, or introductory number if recalled (i.e. returned to the legislature by the governor to correct a technical defect, or for some other reason, and never sent back to the governor).

Although bill jackets can be a useful source for research into legislative intent, they are not the only source and are often not the best source for several reasons:

- 1) Bill jackets do not contain committee reports, hearings, or debates, which are often very useful for determining legislative intent. A committee report, for instance, might contain a detailed analysis of a law which would not be included in the bill jacket.
- 2) The content of bill jackets is very uneven. Bill jackets may not contain all of the memoranda sent to the governor regarding particular legislation. Certain memoranda may have been removed by Counsel's Office and never returned to the jacket. Some jackets may contain only a printed copy of the bill or no documentation at all. Even those with some documentation may contain little or nothing of use in determining legislative intent. In a few cases, entire jackets were removed from the file and never returned. These materials are therefore not available at the State Archives.
- 3) A statement of legislative intent in a memorandum, even one by a sponsor of the bill, may not accurately reflect the intent of the legislators who passed the bill.

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4) Memoranda in bill jackets were generally written after the law was passed by both houses and thus were not available to the legislature during consideration of the bill; these may therefore be less valuable a source for determining legislative intent than memoranda written before passage of the bill.

Despite these weaknesses, bill jackets are important sources for research into legislative intent, often containing the only material available on particular legislation. They can be particularly useful when only one or two sections of a law are amended or added and may be essential in determining who were the prime movers behind the legislation.

Three types of jackets comprise this series. Bill jackets contain records relating to bills signed into law by the governor. Veto jackets contain records relating to bills vetoed by the governor. Recall jackets contain records relating to bills returned by the governor to the legislature at either's request to correct a technical defect and never sent back to the governor.

Although the content and format of the jackets changed over time, each may include any or all of the following: printed version(s) of the bill; tally of legislators' votes on the bill in each house, providing name, senate district number (for senate tally), party, aye or nay, and total ayes and nays in the house (beginning in 1973); checklist of actions taken on the bill, such as engrossing, amendments, date approved, vetoed, or recalled, and compared by (initials or name) (less frequent by mid-1920s, little used by 1950s); certificate of approval of bill by senate and assembly; governor's veto memorandum or (beginning about 1960, and rarely) approval memorandum stating reasons for veto or approval; if recalled, certification by the governor that the bill was returned for amendment; folios or folio covers for vetoes providing house, introductory number, by whom introduced, print number, dates passed by each house, date vetoed, and veto number (1926-1974); memorandum of counsel to the governor summarizing the bill, stating any legal or constitutional objections to it, and sometimes stating reasons for a law or a clause in a law, who supports it and objects to it, what the law would do, and advice as to whether the governor should approve or veto the bill; checklist of State agencies, municipal officials and groups, and legal groups from whom recommendations were solicited or received; and correspondence, memoranda, and telegrams from interested persons, businesses, organizations, State agencies, and local government officials expressing reasons for their approval or disapproval of the bill, discussing the purpose of the bill and its possible impact on the State or on State agencies, or requesting a hearing on the bill; beginning in 1960, State agency recommendations were made in a uniform format providing recommendation (approval or disapproval), statutes involved, effective date, purpose of the bill, summary of its provisions, prior legislative history of the bill and similar proposals, known position of others respecting the bill, budget implications, arguments in support of the bill, arguments in opposition to the bill, and reasons for recommendation.

The published *Public Papers* of governors contain all approval and veto messages.

Finding aids: Container list.

Also available on microfilm or microfiche; consult Research Services for details on location and availability of microform.

A0595. **Registers of Titles of Bills Received by the Governor, 1864-1913.**

28 cu. ft. (42 volumes)

Arrangement: Chronological by date received.

This series consists of registers used to track legislative bills sent to the governor from the legislature for approval. For each bill received by the governor, the volumes provide date received; from senate or assembly; bill number (usually the printed bill number); chapter number (if approved); title of bill (beginning in volume 4, 1868); and date approved, vetoed, or became law without governor's signature upon expiration of ten day veto limitation.

Beginning in 1901 (volume 32), pasted into the volumes for each bill is the portion of the first page of the printed bill which provides the house (senate or assembly), introductory number, by whom introduced, to which committee referred, and title of the bill. Also included in these later volumes is the ten day expiration date for each bill.

Finding aids: Preliminary volume list.

Indexes: Series A0596, **Index to Registers of Titles of Bills Received by the Governor** (see next entry), is an alphabetical subject index to this series for the years 1872-1912.

A0596. **Index to Registers of Titles of Bills Received by the Governor, 1872-1912.**

12 cu. ft. (40 volumes)

Arrangement: Volumes are arranged chronologically by year; information within volumes is alphabetical by subject of bill.

Staff of the governor's office maintained these volumes to facilitate access to information about legislative bills recorded in **Registers of Titles of Bills Received by the Governor** (series A0595 above). For each bill indexed, the index volumes provide subject of the bill (a one- or two-word subject term); short phrase very briefly explaining subject of the bill; page (in volume from series A0595 covering the year indexed) on which bill is listed; senate or assembly printed bill number (beginning 1897); date signed (if applicable) (beginning 1897; not included in 1905-1906 volumes); chapter number (if applicable) (beginning 1898); if vetoed or recalled, and date (beginning 1900) (not included in 1905-1906 volumes); and name of legislator who introduced the bill (beginning 1909).

Finding aids: Volume list.

A0602. **Registers of Titles of Bills Signed by the Governor, 1857-1870.**

3 cu. ft. (4 volumes)

Arrangement: Chronological by date signed.

This series consists of registers used to track legislative bills signed by the governor. For each entry, the volumes provide date signed; senate or assembly printed bill number or introductory number; and title of bill. A few entries from 1869-1870 indicate the governor's veto or "disapproval" of the bill and the date vetoed.

Finding aids: Volume list.

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A3350. **Index to Bills Vetoed, 1901, 1905-1912.**

.2 cu. ft. (1 volume)

Arrangement: Rough alphabetical order by name of introducer (1901) or subject of bill (1905-1912).

Staff of the governor's office maintained this volume to facilitate access to information about legislative bills vetoed by the governor recorded in ledgers which are apparently no longer extant. For each vetoed bill, the volume provides house (A for assembly, S for senate); printed bill number; page in ledger (not extant); name of legislator who introduced the bill; title of bill; and date (usually only the year appears; sometimes the month and date are also given).

A3351. **Register of Actions Requested on Legislative Bills, 1879.**

.1 cu. ft. (1 volume)

Arrangement: Arranged by type of action requested, then rough chronological order by date.

Staff of the governor's office maintained this volume to monitor actions the governor was requested to take on legislative bills. The volume is divided into four sections, one for each of the types of action requested: 1) veto is requested; 2) signature is requested; 3) parties wish to be advised upon passage of the bill; and 4) hearing is requested or scheduled.

For each bill on which some action is requested, the volume provides the following information: house and printed bill number (occasionally); subject of bill; name and residence of person making request ("applicant"); date of request ("application"); and date and time of hearing (last section only).

2. Actions and Decisions

A0608. **Blotters of Governors' Actions and Decisions, 1859-1938.**

49 cu.ft. (79 volumes)

Arrangement: Chronological by date of action or decision.

These blotters served as a preliminary record of actions and decisions as they were made by the governor. Information was transcribed from this preliminary record into the journals comprising series A0607, **Journals of Governors' Actions and Decisions** (see next entry), which served as the permanent record of these activities. These records were kept pursuant to Laws of 1858, Chapter 64, which required the governor to record in books all applications made to him for appointments, pardons, commutations of sentences, or other gubernatorial actions, and to keep on file the original documentation relating to each application.

The blotters generally provide information on the following: appointments and nominations of civil, judicial, and military officers; names of applicants for appointments, pardons, commutations of sentences, or restoration of citizenship rights; resignations accepted by the governor; grants or refusals of extradition requests ("requisitions") from governors of other states; titles or introductory numbers of legislative bills received, signed, or vetoed, often accompanied (for vetoes) by transcriptions of the governor's veto message to the legislature; and expenditures approved.

The first few blotters contain handwritten entries similar to those in the journals. However, most of the

volumes contain pasted-in copies of original documents recording the actions and decisions. For instance, many volumes are comprised of certificates of appointment or veto messages. Also found less frequently in these blotters are documents such as approval messages for legislation; special messages to the legislature; incoming correspondence; reports; and determinations after special investigations. Information from these documents was later extracted for entry into the journals, and the blotter documents were then crossed out or checked off. For this reason, the blotters often contain more complete information than do the journals (in addition to covering a broader time span). However, the blotters often lack entries which are present in the journals (e.g. transcriptions of the governors' annual messages to the legislature).

A0607. Journals of Governors' Actions and Decisions, 1859-1916.

58 c.f. (58 volumes)

Arrangement: Chronological by date of action or decision.

These volumes provide a chronological record tracking actions taken and decisions made by the governor. These records were kept pursuant to Laws of 1858, Chapter 64, which required the governor to record in books all applications made to him for appointments, pardons, commutations of sentences, or other gubernatorial actions, and to keep on file the original documentation relating to each application.

Each volume covers one calendar year and begins with a statement indicating that the governor was sworn in to office (when applicable), followed by a transcription of the governor's annual message to the legislature. The volumes then list other actions and decisions of the governor as they occurred, including appointments and nominations of civil, judicial, and military officers; names of applicants for appointments, pardons, commutations of sentences, or restoration of citizenship rights; resignations accepted by the governor; messages (transcribed or abstracted) to the senate or assembly, often sent as transmittal messages accompanying reports to the legislature (reports not included in these volumes); grants or refusals of extradition requests ("requisitions") from governors of other states; titles or introductory numbers of legislative bills received, signed, or vetoed, often accompanied (for vetoes) by transcriptions of the governor's veto message to the legislature (approval messages are found infrequently); and expenditures approved.

Entries in volumes covering 1859-1906 are handwritten. Beginning in 1907, entries are typewritten.

Finding aids: Volume list.

Indexes: Series A0625, **Index to Notary Appointments and Ledger of Applications for Office** (see below, page 41), serves as a partial index to this series.

A0622. Ledgers of Governors' Actions and Decisions, 1856-1906.

5 cu. ft. (5 volumes)

Arrangement: Arranged by type of appointment or action, then chronological by date of appointment or action. Notary public and loan commissioner appointments are alphabetical by county, then chronological by date of commission.

These volumes provide a central record of appointments made and other actions taken by the governor. The volumes were compiled from the chronologically-arranged information in series A0607, **Journals of Governors' Actions and Decisions** (see previous entry), to provide the governor's staff with more organized access to this information. These records were kept pursuant to Laws of 1858, Chapter 64, which required the governor to record in

ACTIONS AND DECISIONS

books all applications made to him for appointments, pardons, commutations of sentences, or other gubernatorial actions, and to keep on file the original documentation relating to each application.

Each volume is divided into a number of sections, each recording different types of appointments, decisions, and other actions taken during the time span covered by the volume. The sections included and the order in which they are presented vary somewhat between volumes, but they generally include the following:

- X "Civil appointments" to positions such as governor's secretary or clerk; superintendent of the Banking Department; auditor of the Canal Department; commissary general; canal appraiser; superintendent of the Onondaga Salt Springs; Indian agents or attorneys; military offices; managers or trustees of State institutions; railway policemen; harbor master or port warden of the Port of New York; commissioners established under various laws; judgeships; notary public (volumes 1-3); and loan commissioner.

These sections provide the following information about each appointment: office; citation to the law establishing the office or institution; page (in volume from series A0607 covering year of appointment to that office); how vacated (e.g. deceased, reappointment, etc.); by whom succeeded and when (date); page (in unidentified volumes); name of appointee; residence; appointed in place of (name); date of commission; and date commission expires.

- X Discharges and resignations from office, providing date; page (in volume from series A0607 covering year of discharge or resignation); name of appointee; residence; office; date of commission; and date commission expires.
- X Applications granted or denied for pardons, restoration of citizenship rights, and commutation of sentences, providing date; page (in volume from series A0607 covering year of granting or denial of application); name of convict; date of sentence; county; crime; term of sentence; and prison.
- X Mandates granted or denied on requisitions (extradition requests) by governors of other states, and requisitions on governors of other states granted or denied, providing date; page (in volume from series A0607 covering year of granting or denial of requisition); name of alleged fugitive; state from which or on which requisition was made; papers filed (e.g. copy of indictment, copy of sentence of court, etc.); crime; county in which crime committed; mandate to (name of state official; for requisitions from other states); warrant to (name of state official; for requisitions on other states granted); and at expense of (e.g. county, complainant, prosecutor; for requisitions on other states granted).
- X Messages to the legislature, providing date; page (in volume from series A0607 covering year of message); house (senate or assembly); and type or topic of message (e.g. annual message, veto or approval message, messages regarding issues of concern).
- X Proclamations, providing date; page (in volume from series A0607 covering year of proclamation); and subject.
- X Incidental expenses of government, providing date; name of account; reason for or type of expenditure; and amount.
- X Additional sections listing miscellaneous appointments, actions, visits, etc.

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Finding aids: Volume list.

Indexes: Alphabetical subject/office index in volume 1.

3. Correspondence

13682. **Central Subject and Correspondence Files, 1919-1954, 1959-1983.**

1,230 cu. ft. and 1,672 microfilm reels

Arrangement: Numerical by file code number for Governors Smith and Miller (1919-1928). Alphabetical by subject within administration starting 1929 (Roosevelt).

This series includes records of the following gubernatorial administrations:

13682-53A	Alfred E. Smith, 1919-1920, 1923-1928	101 cu. ft. (169 microfilm reels)
13682-78B	Nathan L. Miller, 1921-1922	17 cu. ft.
13682-82A	Franklin D. Roosevelt, 1929-1932	91 cu. ft. (219 microfilm reels)
13682-53	Herbert H. Lehman, 1933-1942	106 cu. ft. (106 microfilm reels)
13682-55	Thomas E. Dewey, 1943-1954	275 microfilm reels
13682-78	Nelson A. Rockefeller, 1959-1973	520 microfilm reels
13682-78A	Malcolm Wilson, 1973-1974	57 microfilm reels
13682-82, -83	Hugh L. Carey, 1975-1982	915 cu. ft. (326 microfilm reels)

(Microfilm copies of the central correspondence files of the Mario Cuomo administration will be transferred to the State Archives when Governor Cuomo leaves office.)

The central correspondence files of the governor's office contain incoming and outgoing letters, memoranda, State agency reports, and printed material documenting State government policies and operations and issues of public concern. The records reflect the diverse functions of State government and the governor's broad administrative responsibility in supervising these functions. As such, they are among the most important of the records of the governor's office.

Correspondence with citizens, public officials, businesses and organizations, and State agencies includes reports, suggestions, questions, petitions, and criticism or praise for the governor's policies. However, the correspondence provides little or no information on the policy-making process itself.

The correspondence covers numerous broad subject areas such as:

- X taxation, State finance, and the economy
- X concerns of labor in both the public and private sector
- X public utilities and services
- X crime, prisons, and the death penalty
- X environmental pollution and conservation
- X public health and safety
- X education
- X social problems and issues such as discrimination
- X Indian affairs and claims
- X war, civil defense, and international issues

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Major subject areas covered by the correspondence files of each governor include:

Smith

- X prohibition
- X industrial and labor conditions, labor strikes (e.g. actors, railroad workers, printers, etc.), and discussion of the minimum wage
- X rent laws and housing
- X reorganization of State government (Laws of 1926, Chapter 606)
- X milk prices and milk strike
- X Bonus Commission and payment of World War I soldiers' bonus
- X Reconstruction Commission to investigate post-war problems and solutions, e.g. housing costs and conditions, unemployment, and Bolshevism influence on workers
- X reactions of citizens, investigations, and dangers of Bolshevism and socialism
- X activities of the Joint Legislative Committee to Investigate Seditious Activities (Lusk Committee), and laws resulting from or recommended by the committee
- X Indian legislation and affairs, including Cayuga Indian claims
- X Barge Canal construction, maintenance, and administration
- X development and administration of State parks
- X pollution
- X workers' compensation legislation

Miller

- X prohibition enforcement by State troopers and municipal police
- X motion picture censorship legislation
- X financial and land claims of Seneca, Cayuga, and Oneida Indians
- X Washington Conference on the Limitation of Armament
- X strikes and strike threats by various unions (teamsters, railroad, milk, etc.)
- X United Traction Company strike (1921) and activities of State troopers called in to preserve order in Albany and environs
- X mass transit in New York City
- X legislation to develop Port of New York facilities according to Port Authority plans
- X investigation into the government and finances of New York City

Roosevelt

- X efforts to deal with the economic depression, including such topics as bank failures and banking investigations; farm relief; Temporary Emergency Relief Administration (TERA); Emergency Employment Committee; Emergency Work Bureau; and Governor's Interstate Commission on Unemployment

CORRESPONDENCE

- X City Trust Company investigation preliminary and public hearings
- X Joint Legislative Committee to Investigate the Affairs of the City of New York (Seabury Committee) investigations into corruption and misconduct charges against New York City Mayor Jimmy Walker and Manhattan Borough President John F. Ahearn
- X Bonus Commission and payment of World War I soldiers' bonus
- X environmental conservation
- X prison administration and reform, prison labor, and prison riots
- X prohibition and repeal of the 18th Amendment
- X public health issues
- X workers' compensation cases
- X pension/security legislation for the aged

CORRESPONDENCE

- X milk industry conference, investigation, and issues
- X narcotic drug control
- X taxation

Lehman

- X efforts to deal with the depression-era economy, including such topics as emergency relief and work bureaus; federal Social Security Act and State old age pension legislation; low-cost housing and slum clearance; mortgage moratorium and need for State policy on mortgage financing; and investigation of Insurance Department's supervision of mortgage guarantee corporations
- X labor issues, including such topics as minimum wage law of 1933 and need for new legislation after U.S. Supreme Court declared law unconstitutional (1936); federal and State child labor legislation; strikes such as Bethlehem Steel (1941) and others; and milk industry strikes, prices, and hearings
- X New York's part in the war effort, including such topics as administration of Selective Service Act; establishment of State Council of Defense (later renamed State War Council) to advise agencies in carrying out defense program activities; and programs such as Bundles for Britain, Defense Bonds and Stamps, and others
- X New York World's Fair, including racial and religious discrimination in employment (1940)
- X planning of and resistance to St. Lawrence Seaway project
- X charges of inefficiency and illegality against New York City Mayor Fiorello H. LaGuardia concerning his property tax assessment practices
- X Crime Conference of 1935 and crime prevention and legislation
- X issues heard by the Constitutional Convention of 1938
- X highway safety and establishment of the State Traffic Commission
- X floods, especially those of 1935 and 1936, and agricultural losses
- X reapportionment of congressional districts

Dewey

- X economic conditions during World War II and conversion to a peacetime economy, including continuation of mortgage moratorium; post-war rebuilding of State highways, buildings, and institutions; and post-war inflation
- X agricultural problems, including wartime labor shortage putting farms out of production; and food crisis of late 1940s brought on by high costs of farming and of food
- X housing crisis, including post-war emergency and permanent housing; commercial and residential rent control; and establishment of State building construction code (1951)
- X social welfare programs, including investigation of Department of Mental Hygiene facilities and administration; and coordination/integration of different social welfare programs
- X revisions in income tax collection and deductions
- X social problems and issues, including racism and racial and religious discrimination in employment and elsewhere; fear of Communist threat; and programs to fight the significant increase in alcoholism and drug abuse
- X transportation, including planning and development of new State highway and arterial system, including construction of the New York State Thruway; and automobile accidents and the need for mandatory automobile insurance and inspection
- X education, including establishment of the State University of New York (1948); and increase in State aid to education and in teachers' salaries

CORRESPONDENCE

X St. Lawrence River hydro-electric power project (federal license issued 1953)

CORRESPONDENCE

- X crime, including State Youth Commission (established 1945) and efforts to deal with increased juvenile delinquency; and New York State Crime Commission and crime on the New York City Waterfront
- X environmental issues, including reforestation and expansion of State parks
- X veterans' affairs, assistance to veterans, and establishment of permanent Division of Veterans' Affairs (1945)
- X international and defense issues, including Korean conflict; Soviet expansionism; and civil defense efforts including Civil Defense Commission and re-establishment of State Defense Council (1951)
- X completion of reapportionment of congressional districts
- X civil service issues, including State employee compensation and pensions

Rockefeller

- X Vietnam War, including widespread citizen opposition to American involvement; protests, including flag and draft card burnings and the 1969 "Moratorium"; bombing of North Vietnam; peace negotiations; returning prisoners of war and efforts to locate additional prisoners of war and those missing in action; and employment of and assistance to veterans
- X other international and defense issues, including Soviet Party Chairman Khrushchev's visit to the United States and reaction to the U-2 incident; Soviet troops and weapons in Cuba, requests from Cuban exiles for help in overthrowing the Communist government, and resettlement of Cuban refugees; and reactivation of State Defense Council in 1959, proposed program for mandatory fallout shelters, and general civil protection against the effects of nuclear attack
- X Attica Correctional Facility inmate uprising (1971), including causes; governor's response of storming the prison to end the uprising; deaths of inmates and guards held hostage by them; and demands of hostages or their families for compensation
- X social problems and issues, including employment, pensions, social security, insurance, and tax exemptions for the aged; racial and religious discrimination in employment and housing, civil rights and anti-discriminatory legislation, and racial unrest and riots; college campus demonstrations, violence, and vandalism; juvenile delinquency and debate over minimum drinking age; and drug addiction and establishment of drug rehabilitation centers
- X economic issues, including State and national efforts to control inflation such as national wage and price freezes; labor benefits such as unemployment insurance and workers' compensation, and labor strikes (teachers, New York City transit and subway, etc.); and housing projects, repairs, rent control, and tenant problems
- X recommendations of the Temporary State Commission on Revision and Simplification of the Constitution ("Peck Commission", established 1959), and issues and amendments debated in the Constitutional Convention of 1967
- X education issues, including school taxes, State aid to education, and general finance; scholarships; and problems and concerns of individual schools and colleges (e.g. name changes; appearance of "extremist" guest speakers)

Wilson

- X "Watergate" scandal aftermath, including debate over whether to impeach President Nixon; Nixon's resignation and his pardon by President Ford; and Ford's selection of former governor Nelson A. Rockefeller as vice president

CORRESPONDENCE

- X social problems and issues, including race relations and unrest, employment, affirmative action, and appeals to the State Human Rights Appeals Board; Education Commissioner Ewald Nyquist's plan to integrate schools through forced busing; Indian relations, especially the armed occupation of State land at Moss Lake by Mohawks claiming title to the land; debate over abortion legislation; and drug addiction and prevention, treatment centers, and rehabilitation programs, including methadone maintenance
- X economic issues, including the energy crisis, fuel conservation efforts, and gasoline rationing; debate over Sunday store closing legislation ("Blue Laws"); housing projects, rent control, low and middle income housing, landlord and tenant problems, and urban renewal; and labor strikes and strike threats (New York City police, State workers, truckers), unemployment, and other labor issues
- X international issues, including Middle East tensions and terrorism surrounding the 1973 Yom Kippur War; return of some prisoners of war from Vietnam and concern about remaining prisoners of war and those missing in action; plans for observance of the American Revolution Bicentennial; debate over restoration of capital punishment; and environmental pollution and recycling

Carey

- X post-Vietnam War era issues, including President Carter's amnesty for draft evaders; regulations, assistance, and resettlement of Vietnamese refugees in the United States; and veterans' service agencies, counseling, education, employment, and legislation
- X crime, including debate over the death penalty and Carey's refusal to sign capital punishment legislation; and Carey's pardon of inmates involved in the 1971 Attica Correctional Facility inmate uprising, dropping of charges against law enforcement officers, and the murder of two police officers by a pardoned inmate
- X social problems and issues, including continued Mohawk Indian occupation of State land at Moss Lake, and Carey's 1977 settlement with the Indians; child welfare, including child abuse, neglect, and pornography, and adoption of Vietnamese orphans; compliance with abortion laws following U.S. Supreme Court decision on abortion (1973), and parental consent legislation regarding abortions for minors; drug prevention, treatment, and rehabilitation programs, and debate over decriminalization of marijuana; racial, sex, age, and religious discrimination, charges of reverse discrimination, and debate over the proposed Equal Rights Amendment; and nuclear power and calls for a moratorium on building nuclear power plants
- X economic issues, including efforts to deal with the economic recession and high unemployment; inconsistent enforcement of Sunday store closing laws ("Blue Laws") and court decisions reversing closing laws; housing projects, rent control, low and middle income housing, slum clearance, and urban renewal; and energy conservation and the need for a national energy policy
- X education, including statewide master plan for post-secondary education; and debate over school prayer
- X environmental issues, including pollution; acid rain; and chemical, radioactive, and other hazardous waste
- X plans to convert to the metric system of weights and measures and the expected impact of conversion on the State
- X national politics in the wake of the "Watergate" cover-up
- X plans for the 1980 Lake Placid Winter Olympics, and New York City's bid for the 1984 Summer Olympics

CORRESPONDENCE

X plans for observance of the American Revolution Bicentennial

Finding aids: Subject or folder lists to Smith records, 1919-1920 and 1923-1928; Lehman records, 1933-1942; Rockefeller records, 1959-1973 only; and Carey records, 1975-1982. Container list to Miller administration records (1921-1922). Reel lists to microfilmed records.

Indexes: Series A3218, **Alphabetic Card Index to Governor's Correspondence Files** (see below, page 22), indexes some records of the Smith and Miller administrations. Series 13681, **Names Files** (see next entry), is a personal name index to this series beginning 1959 and contains copies of documents in this series.

Also available on microfilm: Subject files of Governors Smith, Roosevelt, Lehman, and Carey (some omissions in Carey film). Dewey and Rockefeller administration records are available on microfilm only.

13681. **Name Files, 1959-1982.**
546 microfilm reels

Arrangement: Arranged by administration, then alphabetical by name of correspondent.

Name files consist of copies of correspondence from the **Central Subject and Correspondence Files** (series 13682 above) filed alphabetically by name. This series serves as a name index to the Subject Files, and files are cross-referenced, either on the documents themselves or with separate cross-reference sheets, to the Subject Files. The series includes records of the following gubernatorial administrations:

13681-78	Nelson A. Rockefeller, 1959-1973	342 microfilm reels
13681-78A	Malcolm Wilson, 1973-1974	32 microfilm reels
13681-83	Hugh L. Carey, 1975-1982	172 microfilm reels

Finding aids: Reel list to Carey administration records, 1975-1982.

Available on microfilm only.

A0404. **Invitation Correspondence File, 1932-1935 (bulk 1933-1935).**
8 cu. ft.

Arrangement: Reverse chronological by year, then chronological by date of event.

This series consists of invitations to Governor Herbert Lehman to attend various public and private functions and the governor's replies, usually expressing his regrets at being unable to accept the invitation. The series also includes Governor Lehman's daily appointment calendars for 1933, 1934, and 1935.

Invitations take the form of letters, telegrams, and formal printed announcements from business and professional organizations; private clubs and associations; military units; political organizations; law enforcement organizations; religious organizations; educational institutions; and private individuals. The invitations ask the governor to speak at or attend events such as conferences, banquets, and receptions; charity performances and dinners; military exhibitions; commencement exercises; and weddings. Most of the invitations are for events scheduled for

1933, 1934, and 1935. There are also a very few invitations for events scheduled for December, 1932, before Lehman was actually inaugurated as governor.

The governor's replies take the form of letters or, in some instances, telegrams, usually expressing appreciation for the invitation and regret at being unable to accept due to the press of business, previous commitments, or personal affairs.

Finding aids: Container list.

A0612. Appointment Correspondence Files, 1883-1936.

248.9 cu. ft.

Arrangement: Numerical by file code number; this usually relates to type of position.

This series includes records of the following gubernatorial administrations:

A0612-78	Various administrations, 1883-1906	72.3 cubic feet (1883-1906)
A0612-78A	Frank W. Higgins, 1905-1906	1.3 cubic feet (1905-1906)
A0612-78B	Charles Evans Hughes, 1907-1910	21 cubic feet (1901-1930)
A0612-78C	John A. Dix, 1911-1912	13.3 cubic feet (1906-1930)
A0612-78D	William Sulzer, 1913	12 cubic feet (1905-1923)
A0612-78E	Martin H. Glynn, 1913-1914	16 cubic feet (1891-1929)
A0612-78F	Charles S. Whitman, 1915-1918	27 cubic feet (1906-1923)
A0612-78G	Nathan L. Miller, 1921-1922	12 cubic feet (1915-1927)
A0612-78H	Alfred E. Smith, 1919-1920, 1923-1928	47 cubic feet (1919-1928)
A0612-78I	Franklin D. Roosevelt, 1929-1932	7 cubic feet (1906-1931)
A0612-53	Herbert H. Lehman, 1933-1942	20 cubic feet (1933-1936)

This series documents the governor's power to nominate and appoint certain officials as authorized by the State constitution and numerous legislative acts. The correspondence consists mainly of letters from persons requesting appointment; letters and petitions recommending persons for appointment; and copies of letters from the governor or his staff acknowledging receipt of application or recommendation letters.

The incoming letters generally provide name of applicant or nominee; position for which applying or recommended; qualifications; and political leanings. The outgoing letters are generally routine. They usually state that the governor will consider the writer's opinion carefully; that an appointment has been made; or that no appointment will be made.

People applied for such positions as judge; county coroner; county clerk; county treasurer; county sheriff; tax commissioner; county loan commissioner; manager of a State institution; delegate to a professional, political, or trade conference; commissioner on an ad hoc or standing State commission; port warden; State architect; State historian; Executive Department clerk or messenger; superintendent of prisons; superintendent of standards and purchases; commissioner of deeds; boxing or athletic commissioner; and health council member. Judges, county coroners, county clerks, county treasurers, and sheriffs were elective offices to which the governor would make appointments in the event a vacancy occurred.

In addition to correspondence directly related to appointments, these files routinely contain certain other types

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of records including requests from New Yorkers planning to travel abroad for letters of introduction to foreign officials; printed proclamations from governors of other states concerning Thanksgiving Day, Labor Day, Fire Prevention Day, Arbor Day, and other special "Days"; requests to the governor to issue proclamations to celebrate special events or occasions such as Rural Life Sunday, National Music Week, etc.; annual reports from various State agencies, institutions, and commissions, often with transmittal letters; complaints from citizens against public officials or agencies; correspondence and transcripts relating to pending court cases; vacancy files containing notifications of vacancies (e.g. after death of incumbent), letters of resignation, and reminders to the governor's office that an opening exists and needs to be filled; and invitations to speak at or attend conferences, ceremonies, or other events.

Finding aids: Rough container lists to files of several governors.

Indexes: Series A3218, **Alphabetic Card Index to Governors' Correspondence Files** (see next entry), indexes correspondence in this series for Governors Hughes, White, Dix, Glynn, Whitman, and Miller. Series A0540, **Alphabetic Card Index to Governors' Appointment Correspondence Files and Other Matters** (see below, page 38), also indexes portions of this series, but apparently does not duplicate information in series A3218.

A3218. Alphabetic Card Index to Governors' Correspondence Files, 1907-1928.

7.8 cu. ft.

Arrangement: Alphabetical by subject or name.

Staff of the governor's office maintained this index to facilitate access to governors' correspondence files. The series indexes portions of two series:

- 1) **Appointment Correspondence Files** (series A0612; see previous entry), indexing files of Governors Charles Evans Hughes (1907-1910), Horace White (1910), John A. Dix (1911-1912), Martin H. Glynn (1913-1914), Charles S. Whitman (1915-1918), and Nathan L. Miller (1921-1922).
- 2) **Central Subject and Correspondence Files** (series 13682; see above, page 15), indexing files of Governor Alfred E. Smith (1919-1920, 1923-1928).

Each index card provides name of the correspondent and/or the subject of the correspondence; name of the governor and/or the years of his administration; and file code number of the file in which the indexed item is located.

A0623. Registers and Index to Incoming Correspondence, 1861-1862.

1 cu. ft. (3 volumes)

Arrangement: Registers are chronological by date correspondence received. Index is alphabetical by first letter of correspondent's last name, then chronological by date correspondence received.

This series consists of two registers of Governor Edwin D. Morgan's incoming correspondence and an index to the registers. Most of the correspondence is addressed to the governor. The letters were either answered by the governor or referred to other officials for response. The registers, with the running title "Diary of Letters Received at the Executive Department" at the top of the pages, provide the following for each letter received: date; from whom received; to whom addressed (usually the governor); to be answered by (e.g. governor, comptroller, initials of an individual); date answered; and phrase indicating topic of the letter, often so brief as to give little indication of the

actual contents of the letter.

Topics of letters received vary widely. Many concern supplies or appointment of officers for Civil War regiments. Others concern requests for pardons for convicted criminals, applications for appointment to civil offices, invitations to meetings, and other generally routine matters.

The index covers both registers. For each letter of the alphabet, all of the correspondence in volume 1 (register 1) is indexed first, followed by the correspondence in volume 2 (register 2). The index provides the following information for each item of correspondence: page; name; date; disposition (to whom referred); and remarks (a brief phrase indicating the topic of the letter).

Finding aids: Volume list.

A0084. **Gubernatorial and Personal Records, 1792-1823.** (Daniel D. Tompkins)
15.6 cu. ft.

Restrictions: Because of fire damage to the records, most documents are fragmentary and all are extremely fragile. Access may be withheld to prevent further damage. Researchers should first consult the *Public Papers of Daniel D. Tompkins*.

Arrangement: Original chronological arrangement needs to be restored.

This series contains mostly correspondence but also some accounts, essays, and related records documenting Governor Daniel D. Tompkins' public and private life from his college years through his term as vice president under James Monroe. The papers, including non-State documents, were purchased by the State from the Tompkins family in 1885. The bulk of the records is incoming correspondence and copies and drafts of outgoing correspondence generated by Tompkins as governor of New York from 1808-1817. The series includes letters from Thomas Jefferson; James Monroe; Martin Van Buren; DeWitt Clinton; Eli Whitney; John Jacob Astor; Henry Dearborn; and William Eustis. The records were bound into volumes by the State Library in the 1880s and disbound after suffering extensive burn damage in the State Capitol fire of 1911.

The records cover a variety of topics as outlined below.

- X Military matters, especially relating to the approach and conduct of the War of 1812: from President Thomas Jefferson (1809) expressing determination to uphold American rights; offers to serve in the military; recruiting troops and ordering them into active service; payment and supply of militia troops; movement of troops; requests from various towns to aid in their defense; recommendations for appointments of military officers; disputes over appointments and promotions; resignations of officers; notification of declaration of war (1812) from Secretary of War William Eustis, President James Madison and Secretary of State James Monroe (printed proclamation), and U.S. Congressmen from New York State; assignment of officers to command after declaration of war; delivery of arms and ammunition to troops; relations with and the role of Indians (e.g. some Indians receiving arms from the British); from Eli Whitney concerning his delivery of muskets; and from Secretary of War James Monroe informing Tompkins of the peace treaty (1815).
- X Other administrative matters: recommendations for and appointments to government offices; Governor Morgan Lewis' dispute with Tompkins, who had just defeated him in the 1807 gubernatorial election, over Lewis' failure to account for money taken from the Treasury; objections to and support for Tompkins' proroguing the legislature to prevent passage of a bill to incorporate the

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Bank of America; relations and discussions with Indians (e.g. purchase of land from St. Regis Indians); Tompkins' accounts with New York State; overcrowding of the State prison and the possibility of building a new State prison and a prison for young criminals; compensation to citizens who had suffered losses in the War of 1812; from Society of Friends pleading with Tompkins to end slavery in New York State (1816); request for tax and military service exemptions for manufacturers; from John Jacob Astor concerning his arrest on treason charges (1812) and settling with the State (1817); official notification of Tompkins' reelection as governor (1816), signed by Attorney General Martin Van Buren and the secretary of state, comptroller, and treasurer; acknowledgments from several persons who received appointment notifications as presidential and vice presidential electors (1816) (including one from Nathaniel Rochester, founder of Rochester, N.Y.); proposal from Reverend Samuel Miller for a U.S. constitutional amendment acknowledging God (1817); official notification from Henry Clay of Tompkins' election as vice president (February 22, 1817); and arguments to John C. Calhoun against charges that Tompkins owes the U.S. money from War of 1812 loans, and related records (1821, 1822).

X Personal matters: draft and completed essays and orations (1792-1795) from Tompkins' years at Columbia College concerning such topics as the criteria for electing a man to office, the Greek and Roman languages, the need to "civilize" and ally with the Indians instead of warring against them, the need to free and "civilize" the slaves, and the need to prohibit plays because they are "replete with lewdness and debauchery"; record of deposits into or payments from Tompkins' account; letters from friends and acquaintances concerning banks, war, and other issues; appraisal of and offers to sell part of Tompkins' real property on Staten Island; and letter to his wife Hannah Minthorne, January 24, 1820, in Castleton, New York ("shall be home soon").

Indexes: Remaining index pages from letter books provide name of correspondent and date, but only some portions of the letter books survived the 1911 fire. *Public Papers of Daniel D. Tompkins* (3 volumes, Albany and New York (1898-1902), contains an alphabetical name and subject index to correspondence concerning military affairs.

A3189. **Letterbook of Official Correspondence and Proclamations, 1787-1795, 1802-1804.**
.2 cu. ft. (1 volume)

Arrangement: Chronological.

This volume contains official correspondence between Governor George Clinton and the legislature as well as gubernatorial proclamations and annual messages. Most of the volume consists of transcripts of letters to the legislature. These are written and signed by George Clinton or, in a few cases, by DeWitt Clinton, his nephew and secretary from 1790-1795. Many are transmittal letters giving little information on the items being transmitted. Also included in some cases are the original replies of the senate and assembly to the governor's annual message to the legislature.

The correspondence concerns such matters as bounty lands for Revolutionary War troops; organization of the militia and other military matters; treaties and relations with Indians; appointments to State offices; and land purchases and settlement.

The volume also contains the governor's annual messages to the legislature, proclamations concerning the legislature, and proclamations delaying the execution of convicts.

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Governor Clinton apparently used this book to record his official gubernatorial correspondence concerning legislative and judicial matters; the volume breaks off after Clinton retired from the office in 1795 and resumes in 1802 following his return to office.

Finding aids: Calendar.

A0142. **Gubernatorial and Personal Records, 1725-1854 (bulk 1755-1817).** (George Clinton)
21.3 cu. ft.

Restrictions: Because of fire damage, these records are fragile. Access may be withheld to prevent further damage. Researchers should first consult the *Public Papers of George Clinton* and the descriptive calendar available at the State Archives.

Arrangement: Organized into 14 subseries: 1. Correspondence as Military Commander and Governor, 1763-1791; 2. Personal Correspondence, 1802-1812; 3. Correspondence Regarding Administration of Clinton's Estate, 1812-1817; 4. Miscellaneous Business Records, 1755-1804; 5. Governor's Messages to and Other Correspondence with the Legislature, 1777-1795; 6. Miscellaneous Records Filed Separately, Some as Duplicates, 1725-1854; 7. Broad-sides, 1777-1787; 8. Circular Letters from the Secretary of Congress, 1786-1788; 9. Miscellaneous Court, Political, and Personal Records, ca. 1779-1804; 10. Memorandum and Account Books, 1758-1806; 11. Ulster County Judicial and Legal Records, 1771-1784; 12. Miscellaneous Business and Personal Records, 1757-1813; 13. Accounts and Related Documentation Concerning Administration of Clinton's Estate, ca. 1812-1820; and 14. Lists of Clinton Papers, ca. 1729-1800.

Arrangement is chronological within each subseries.

This series contains correspondence, accounts, and related records concerning Governor George Clinton's political, business, and personal life during his years as a public figure. In 1853, the State purchased for permanent deposit in the State Library those George Clinton papers which had been on deposit with the secretary of state. The State purchased additional Clinton papers in 1882. The papers purchased by the State included gubernatorial records as well as non-State documents. The series, still in the arrangement imposed upon it in the second half of the nineteenth century, when the papers were bound into volumes, is now divided into 14 subseries. The records were disbound after suffering extensive burn damage in the State Capitol fire of 1911.

Subseries 1: Correspondence as Military Commander and Governor, 1763-1791. These records document Clinton's public service during the Revolutionary War and early statehood period. The correspondence, and occasional resolutions of the Convention of the Representatives of the State of New York or the Committee of Safety, concern recruitment, supply, and compensation of military troops; military engagements, maneuvers, and fortifications; activities of and actions taken against loyalists and spies; treatment and exchanges of prisoners; relations with Indians and Indian military activities; Clinton's election as first State governor; courts martial and punishments of deserters and traitors; consideration and ratification of the Articles of Confederation; Vermont border controversy; finances and taxation; establishment of State and national offices (e.g. U.S. Treasury, 1778); selection of a capital city for New York State; evacuation of British troops from New York City; land surveys, grants, and claims, including sales of land forfeited by loyalists; the U.S. Constitution; and continued British occupation of military posts after the war.

The correspondence is often from State or national officials and military officers including George Washington; Alexander Hamilton; John Jay; James Monroe; Henry Knox; and Joseph Brant. Clinton, or his nephew and secretary DeWitt Clinton, drafted replies to some of the incoming correspondence, often writing on the original document.

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This subseries also contains a few documents related to Clinton's private business or family matters such as land transactions; family health and other news; payment of debts; and condition of Clinton's farm.

Subseries 2: Personal Correspondence, 1802-1812. These letters concern mostly business, legal, and family matters such as leases or sales of land; payment of bonds or debts; relations with tenants and payment of rents; health of Clinton and his relatives and friends; law suits and other legal matters; and establishment of banks. Some of the correspondence concerns official matters during Clinton's last term as governor and during and after his term as vice president under Thomas Jefferson. These matters include appointments and resignations; French activities in Louisiana; presidential and vice presidential nominations; and trade embargoes prior to the War of 1812, and the foreign policy of the Jefferson administration. Correspondents include DeWitt Clinton, John Jacob Astor, and Edmond Charles Genet (who married Clinton's daughter Cornelia Tappen Clinton).

Subseries 3: Correspondence Regarding Administration of Clinton's Estate, 1812-1817. This is correspondence of Matthias B. Tallmadge, executor of Clinton's estate. Most of the records concern settlement of the estate, but some deal with other Clinton and Tallmadge family and business matters. The letters discuss partition of the estate and distribution of assets; surveys and sales of land from the estate; payment of debts to or by the estate; disagreements between Tallmadge and Edmond C. Genet over the share of the estate due to Genet's children; plans for Clinton's headstone and biography; general economic conditions and prices of goods; and division of the State's judicial districts and other political matters. Correspondents include Edmond C. Genet, John Jacob Astor, and George Clinton Genet (E.C. Genet's son and Clinton's grandson).

Subseries 4: Miscellaneous Business Records, 1755-1804. Accounts, bonds, receipts, correspondence, and related records document many of Clinton's financial dealings. The records include bonds executed by Clinton or by others to Clinton; orders to pay; accounts of Clinton with others and accounts of others with Clinton; receipts for money received from Clinton for goods or services; accounts of travel expenses; and inventory of household items.

Subseries 5: Governor's Messages to and Other Correspondence with the Legislature, 1777-1795. This subseries consists of official communications between Clinton and the legislature. It includes copies or drafts of Clinton's addresses at the opening of various legislative sessions; the legislature's responses to Clinton's messages; Clinton's replies to senate and assembly addresses; Congressional resolutions, letters from individuals, and other items submitted for the legislature's consideration; petitions and memorials to the legislature; and reports of legislative committees. The records concern conduct of the Revolutionary War and relief for those affected by it; taxes, expenditures, and other financial matters; regulations on trade, commerce; compensation for war veterans or their families; State boundary settlements; relations with Indians; and violations of U.S.-claimed neutrality rights by Britain and France.

Subseries 6: Miscellaneous Records Filed Separately, Some as Duplicates, 1725-1854. These are accounts, bonds, correspondence, and other records which were not filed with records in previous subseries. Some are copies or drafts of documents in previous subseries, but many are not duplicates and thus fill some gaps in those subseries. The records concern personal financial transactions and settlement of accounts; progress of the Revolutionary War effort; petitions for pardon of convicts or exchange of prisoners of war; law suits against or involving Clinton; Vermont border controversy; and speeches and notes concerning ratification of the Constitution of the United States at the New York State Convention held at Poughkeepsie, 1788.

Subseries 7: Broadside, 1777-1787. These consist mainly of printed resolves or reports of Congress. Topics include treatment of prisoners of war; Vermont border controversy; the public debt and budget matters; and disposal of lands in the Western Territory.

Subseries 8: Circular Letters from the Secretary of Congress, 1786-1788. These are transmittal letters from

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Charles Thompson, Secretary of Congress, to Governor Clinton enclosing Congressional acts or other information (enclosures not included). Items mentioned in the transmittal letters include acts of Congress concerning the military, commerce, etc. and the "state of the representation in Congress" for various months.

Subseries 9: Miscellaneous Court, Political, and Personal Records, ca. 1779-1804. Fragments of court documents include writs, depositions, and judgments. Other records concern official or personal business matters; some pertain to the State legislature and bear the signature of Abraham Bancker, clerk of the senate. These records concern business matters, land transactions, and political appointments.

Subseries 10: Memorandum and Account Books, 1758-1806. Five small notebooks contain notes and accounts of receipts and expenditures, including rents from tenants on leased lands.

Subseries 11: Ulster County Judicial and Legal Records, 1771-1784. Five registers list cases in the Ulster County Court of Common Pleas, including names of litigants, dates, and other information varying between and within the volumes. (Clinton served as attorney in some cases heard by this court.) Also included is a list of accounts of the Sheriff of Ulster County against Clinton.

Subseries 12: Miscellaneous Business and Personal Records, 1757-1813. Accounts, bonds, receipts, and correspondence document business and other activities of Clinton. The records concern various court cases with Clinton involved as attorney or litigant; land transactions; payments for goods or services; and accounts with individuals.

Subseries 13: Accounts and Related Documentation Concerning Administration of Clinton's Estate, ca. 1812-1820. These are apparently records of Matthias B. Tallmadge as administrator of Clinton's estate. They include accounts, deeds, contracts, and other records relevant to the settlement of the estate. The severe damage suffered in the 1911 fire makes it impossible to identify these documents fully.

Subseries 14: Lists of Clinton Papers, ca. 1729-1800. These are lists of some of the Clinton papers before they were reorganized into their current manuscript volume arrangement. They include a large list (over 400 pages) of George Clinton's correspondence as military leader and governor of New York from about 1773 to the 1790s; a 19-page list of mostly official George Clinton correspondence from 1790-1800; a list of 36 documents purchased by the State Library in 1882 -- most are correspondence of Charles Clinton, George's father, dating from 1729-1779, with some correspondence of James and Charles Clinton, George's brothers; and a list of the George Washington letters contained in *Public Papers of George Clinton* (10 volumes, 1899-1914).

Finding aids: Calendar.

Indexes: *Public Papers of George Clinton* (10 volumes, Albany, 1899-1914) contains an alphabetical name and subject index to records in old manuscript volumes 1-18 (1775-1785, Subseries 1).

4. Messages, Proclamations, Orders, and Addresses

13687. **Addresses, 1975-1986.**
8.2 cu. ft.

Arrangement: Chronological by date of address.

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The governor is required by the State constitution to address the legislature annually concerning conditions in the State. He also frequently addresses other organizations to communicate, publicize, and gain support for his policies in support of his function to ensure that the State's laws are executed and its policies carried out.

Executive Chamber staff maintained these records as a central file of transcripts or printed copies of the governor's addresses. In addition to inaugural and "State-of-the-State" addresses, the series contains speeches or remarks addressed to Congressional and committee hearings; civic organizations; trade conferences; meetings of local officials; labor organizations; agricultural organizations; business/commercial organizations; professional organizations (e.g. teachers); media organizations; political conferences/dinners; news conferences; high school and college commencements; groundbreaking and dedication ceremonies; awards ceremonies; and anniversary and memorial events.

The speeches cover a wide variety of issues from varying angles, depending on the organization addressed. Among the topics addressed by the governor are the economy and unemployment; assistance to the elderly; tax reduction; health care; institutional care of the mentally handicapped; crime; education; housing; and maintenance and repair of the State's infrastructure.

Major gubernatorial addresses are printed in the *Public Papers* of the governors, which began publication in the 1860s.

Finding aids: Container list.

Indexes: Series B1205, **Index to Governor Carey's Proclamations, Press Releases, and Addresses** (see below, page 49), indexes this series alphabetically by subject and name.

A0114. Messages to the Legislature, 1957-1969.

1 cu. ft.

Arrangement: Chronological.

This series is comprised mainly of original, signed messages to the legislature from Governors W. Averell Harriman and Nelson A. Rockefeller. The messages were intended to garner support for legislative bills recommended by the governor by providing details about issues relating to the legislation. Most of the messages are from Governor Rockefeller and are dated 1961, 1963, 1965, and 1967-1969. Governor Harriman's messages are dated 1957. There is also one message from Lieutenant Governor Malcolm Wilson, dated 1968.

Messages concern the following issues:

- X automobile insurance (1957)
- X natural gas price regulation (1957)
- X survey and preservation of State historic sites (1957)
- X financing school construction (1957)
- X increasing assistance to servicemen on active duty and their families (1961)
- X nuclear fallout shelters and protection (1961)
- X State fire prevention code (1963)
- X local government reapportionment to conform with United States Supreme Court's "one-man-one-vote" decision (1965)
- X health insurance and medical finance programs (1965, 1967, 1968)

MESSAGES

- X railroad "full-crew" legislation (1965)
- X traffic safety (1965, 1967, 1968)
- X State parks (1965)
- X sex discrimination in employment and pay (1965)
- X minimum wage increase (1965)
- X crime and law enforcement (1967-1969)

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- X urban housing problems (1967)
- X human rights legislation (with reference to assassination of Martin Luther King, Jr.) (1968)
- X energy needs and development (1968)
- X urban development programs (1968)
- X New York City municipal sanitation workers' strike (1968)
- X status of South Mall (Empire State Plaza) construction project (1968)
- X prohibiting firearms on college campuses (with reference to unrest and violence on college campuses (1969)
- X development of transportation infrastructure (1969)
- X lowering voting age from 21 to 18 (1969)
- X hospital regulation (1969)
- X traffic court reform (1969)
- X job benefits and protection for agricultural workers (1969)
- X abortion law reform (1969)
- X expansion of day care facilities and programs (1969)
- X insurance and banking regulation (1969)

The series includes the signed full text of Governor Rockefeller's January 8, 1969 annual message to the legislature. There are also carbon typescripts accompanying a few of the messages in the series.

13685. **Executive Orders, 1972-1982.**

2.3 cu. ft.

Arrangement: Numerical by executive order number corresponding to county (55 - New York; 56 - Bronx; 57 - Queens; 58 - Kings; 59 - Richmond), then by decimal amendment number corresponding to date of issue.

Executive Chamber staff maintained these records as a central file of photocopies of the governor's executive orders directing the Attorney General to carry out special prosecutions in New York City. The main orders, numbered 55-59, order special prosecutions in New York, Bronx, Queens, Kings, and Richmond counties (respectively) in cases of corruption by public servants.

Following the main orders are amendments, comprising the bulk of the series. The amendments generally cite specific cases to be prosecuted in each county and are numbered using decimals (e.g. 55.01, 55.02, etc.).

Additional executive orders can be found in two Department of State series: A1851, **Executive Orders for Commissions to Public Offices**, 1839-1926; and 13082, **Executive Orders**, 1955-1990.

13684. **Proclamations, 1976-1986.**

15 cu. ft.

Arrangement: Chronological by year, then numerical by consecutively assigned proclamation number corresponding to date of issue.

Executive Chamber staff maintained these records as a central file of photocopies of gubernatorial proclamations. The original proclamations were filed with the secretary of state in accordance with legislation of 1892 and 1951 requiring all documents issued under the great seal of New York State to be filed with the secretary (Department of State series 13035, **Proclamations by the Governor**).

Usually ceremonial in nature, the proclamations recognize important events, issues, or personal achievements by proclaiming a day, week, or month in their honor. Occasionally, proclamations do serve a functional purpose such as calling for a general election to fill an assembly or senate seat vacated before expiration of the term. Examples of the types of proclamations issued are those recognizing Fair Housing Month; Warsaw Ghetto Day; Food Week; Norwegian Constitution Day; Puerto Rican Women Week; Charles A. Lindbergh Day; Environmental Enhancement Week; Noise Abatement Week; Disaster Survival Day; Music Week; Handicapped Awareness Week; and Armed Forces Day.

Finding Aids: Container list.

Indexes: Series B1205, **Index to Governor Carey's Proclamations, Press Releases, and Addresses** (see below, page 49), indexes this series alphabetically by subject and name.

A3286. **Thanksgiving Proclamations by the Governor, 1874-1925.**
.6 cu. ft.

Arrangement: Chronological.

These are printed gubernatorial proclamations designating a specified Thursday in November as Thanksgiving Day. A few bear the actual signature of the governor and the secretary to the governor at the bottom, but most contain only printed names. All but the earliest proclamation (1874) were date stamped by the Massachusetts State Library as having been received between 1890 and 1925, indicating that the governor's office might have sent these proclamations to the government of Massachusetts as a courtesy.

5. Reports and Minutes

B0294. **Printed Reports and Studies, 1975-1982.**
12 cu. ft.

Arrangement: Chronological by date of report.

Executive Chamber staff maintained this report file to track the status of current policies and issues. The series includes published reports, prepublication drafts, and typescripts of governor's annual messages to the legislature; agency annual reports and program plans; reports of State commissions, task forces, agencies, advisory boards, councils, panels, and private firms hired by the State; State budget summaries and governor's budget messages; and statistical reports.

The reports cover numerous subjects, such as nursing home care; care of the mentally ill; child welfare; juvenile violence; domestic violence; drug and alcohol abuse; crime; prison overcrowding; casino gambling; medical malpractice; abortion; educational finance; economic conditions; tourism in New York State; energy resources; hazardous wastes; Love Canal toxic waste site; Attica riot investigation; utilization of Fort Drum by the U.S. Army; and Union Station (Albany, N.Y.) renovation.

The series also includes policy review papers submitted to the Council on State Priorities by a number of State agencies in 1982.

Finding aids: Container list.

REPORTS AND MINUTES

Indexes: A card file indexes this series alphabetically by title of report (index is incomplete).

A0706. Transcripts of Minutes and Public Hearings of Public Authorities, 1951-1974.

11 cu. ft.

Arrangement: Arranged by authority, then in rough chronological order.

The Port of New York Authority was established in 1921 (Chapter 154) by means of a compact between the states of New York and New Jersey to provide and maintain transportation, terminal, and other facilities within the Port of New York district. A 1927 law (Chapter 700) stipulated that no action taken at any Port Authority meeting by any commissioner appointed from New York State could take effect until the governor had the opportunity to approve or veto such action. The authority was required to send copies of minutes of meetings to the governor for review of all such actions. The authority was renamed the Port Authority of New York and New Jersey by legislation of 1972 (Chapter 154).

A law of 1962 (Chapter 210) amending the Public Authorities Law established the New York State Atomic and Space Development Authority to encourage the maximum development and use of atomic energy for peaceful and productive purposes within the State. New section 1853 of the Public Authorities Law gave the governor approval or veto power over all actions taken at meetings of the authority, which was required to send the governor minutes of meetings for review. In 1975 (Chapter 864) the authority was restructured and renamed the New York State Energy Research and Development Authority, with its primary purpose being the development of new energy technologies and the promotion of energy conservation.

The Power Authority of the State of New York was created in 1931 (Chapter 772) to develop hydroelectric power along the St. Lawrence River. In 1951 the Power Authority was authorized to develop additional power resources of the Niagara River and to preserve and enhance the scenic beauty of Niagara Falls. The Federal Power Commission licensed the Power Authority to construct, maintain, and operate the St. Lawrence River Power Project in 1953 and the Niagara Power Project in 1958.

This series contains minutes of the Port Authority of New York and New Jersey and the Atomic and Space Development Authority. Also included are transcripts of hearings of the Power Authority of New York State and some printed proposed contracts between the Power Authority and potential customers. The governor's office maintained these files to monitor activities of public authorities and to exercise the governor's power to approve or veto decisions made at meetings of public authorities.

Port Authority records in this series consist of minutes of meetings of the authority and its committees (construction, finance, operations, and port planning). Minutes are from meetings held between 1959 and 1974 and concern such issues as construction status and needs of Kennedy and LaGuardia airports, Lincoln Tunnel, Port Authority Bus Terminal, George Washington Bridge, and other Port District airports, marine terminals, and facilities; construction of the World Trade Center; construction budget details; contracting for construction work; federal aid for construction; acquisition of commuter railroad cars; settlement and status of legal claims against the Port Authority, e.g. for injuries sustained in Port Authority facilities; issuance and retirement of Port Authority bonds; investment activities; recommendations for improvements to facilities; leases or agreements with Port Authority facility tenants, equipment rental companies, etc.; and personnel transactions.

Atomic and Space Development Authority records in this series consist of minutes of meetings held in 1974 concerning such issues as identification and development of sites for nuclear power plants; issuing of bonds to finance

construction of facilities, installation of pollution control devices, etc.; operation of the authority's Western New York Nuclear Service Center, including plutonium storage and storage of high level liquid wastes; power plant site inventory program; electrical power supply and related environmental research; and change in focus of the authority from nuclear development to environmental protection issues relating to supply of electrical energy, and the need for changes in the enabling legislation to reflect changes in the authority's activities.

Power Authority of the State of New York records in this series date from 1951-1964 and include transcripts of hearings before the Federal Power Commission regarding a proposed Power Authority hydroelectric project on the Niagara River (1957); transcripts of hearings regarding proposed contracts with power companies, power cooperatives, corporations, municipalities, and the United States Air Force for sale, transmission, and distribution of power by the Power Authority (1955-1964); transcripts of congressional hearings regarding development of Niagara River power facilities (1951-1957); proposed contracts for sale, transmission, and distribution of Niagara Project power (contracts NS-1 to NS-29) and St. Lawrence Power Project power (contracts S-1 to S-22) (1955-1964); memorandum (report) to Governor Nelson A. Rockefeller regarding proposed contract NS-1 between the Power Authority and Niagara Mohawk Power Corporation (1960); and report on transmission of St. Lawrence Power Project power to the Vermont Public Service Commission, the City of Plattsburgh (N.Y.), and the United States Air Force Base at Plattsburgh (1955).

Finding aids: Preliminary container list.

A0616. Inter-Government Activity Report Transmittal and Acknowledgment Files, 1949-1954.

1 cu. ft.

Arrangement: Alphabetical by name of agency.

These files consist mainly of correspondence transmitting reports to the governor's office or acknowledging receipt of reports by the governor's office. A few files also include the reports themselves. Most files document New York State agencies' interactions with other government jurisdictions, including federal, state, and local. Some files include small amounts of correspondence and other materials relating to agency activities. A few files contain only these other materials and no transmittal or acknowledgment correspondence.

Agencies represented in the series are:

- X Temporary Commission on Agriculture
- X Bridge Authority
- X Central New York Regional Market Authority
- X Interstate Civil Defense Compact (materials regarding civil defense legislation)
- X Civil Service Commission (resolutions)
- X New York State Crime Commission
- X Dormitory Authority
- X Commission on the Fiscal Affairs of State Government
- X Genesee Valley Regional Market Authority
- X Interstate Commission on the Delaware River Basin
- X Interstate Compact for the Supervision of Parolees and Probationers
- X Interstate Oil Compact Commission (correspondence regarding agreements to extend the compact, membership of states and individuals, and other matters)
- X Interstate Sanitation Commission
- X Department of Labor, Division of Placement and Unemployment Insurance (two unrelated,

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- miscellaneous items)
- X Lake Champlain Bridge Commission
 - X Lower Hudson Regional Market Authority

- X Division of Military and Naval Affairs (armory leases to the federal government, and correspondence regarding the Interstate Compact for Mutual Military Aid)
- X New England Interstate Water Pollution Control Commission
- X Niagara Frontier Authority
- X Northeastern New York Water Authority
- X Ogdensburg Bridge Authority
- X Ohio River Valley Water Sanitation Commission
- X Port of New York Authority
- X Thousand Island Bridge Authority
- X Triborough Bridge and Terminal Act
- X Youth Commission

A0187. Annual and Final Reports of State Agencies and Commissions, 1950-1954.

1 cu. ft.

This fragmentary series consists mainly of typescript annual or final reports of State agencies and commissions required to submit such reports to the governor. There is no indication of why these materials were filed together. It is possible that the materials were removed from other series for reference by the governor's office and were never refiled.

Agencies represented in this series include the Division of Military and Naval Affairs (1952); Temporary Commission on the Fiscal Affairs of State Government (1954); Workmen's Compensation Board (1950-1953); Department of Labor/Industrial Commissioner (1951, 1952); Temporary State Commission to Study the Organizational Structure of the Government of the City of New York (1954); Public Service Commission -- Investigation of Long Island Rail Road wreck at Kew Gardens, Queens, November 22, 1950 (1951); Niagara Frontier Authority (1952); and New York State Commission to Study, Examine and Investigate State Agencies in Relation to Pari-Mutuel Harness Racing (1954).

Also filed with these records are copies of attorney general's opinions and court decisions regarding jurisdiction, powers, duties, and rights of fire districts and fire fighters (1954); transmittal letters for reports not found in this series; and a few pieces of unrelated correspondence.

A0615. Proceedings, Recommendations, and Background Files of the Governor's Conference on Crime, the Criminal and Society, 1935-1936.

3 cu. ft.

Arrangement: Arranged by subject.

Governor Herbert H. Lehman called this crime conference on July 23, 1935 in response to the U. S. attorney general's National Crime Conference held in Washington in 1934. The national conference stressed the need for a coordinated law enforcement program throughout the nation. The New York conference, held September 30 to October 3, 1935 in Albany, was a forum for discussion of crime and crime prevention by attorneys, judges, law enforcement administrators, government officials, and others with law enforcement responsibilities or interests. The conference was conducted in four general sessions with reports from five round table (subcommittee) discussion groups.

The recommendations generated by this conference led to Governor Lehman's anti-crime program, presented

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to the legislature in 1936. The legislature made substantial revisions to the Code of Criminal Procedure and the County, Executive, Judiciary, Correction, and Penal Laws.

This series documents the activities and recommendations of the 1935 crime conference which served as the basis for Governor Lehman's anti-crime program of 1936. The series includes transcripts of proceedings of General Sessions 1-4; transcripts of proceedings of Round Tables 1-5 concerning 1) crime prevention, 2) detection and apprehension, 3) prosecution and the courts, 4) institutional care, and 5) probation, parole and rehabilitation; conference planning and organization materials, including invitation, conference, and subcommittee (round table) membership lists, and conference planning committee proceedings, August 5; recommended and proposed legislation and roll call vote tallies on proposed legislation; subcommittee reports; recommendations for administrative and legislative changes for anti-crime program; proposals and recommendations for a Department of Justice headed by the attorney general or a Bureau of Justice in the Department of Correction; addresses on crime by Governor Lehman and Lieutenant Governor Charles Poletti; and news clippings on crime and the crime conference.

Finding aids: Folder list.

A3215. Board of Estimate and Control Report Files, 1921-1922.

1 cu. ft.

Legislation of 1921 (Chapter 336, Sections 50 and 51) established a Board of Estimate and Control and directed it to conduct a survey of all State departments, offices, and institutions to determine where waste and duplication of effort existed. The board was then to recommend improvements to each agency or recommend to the legislature that agencies or functions be consolidated or discontinued. The legislation also directed that agency budget requests be submitted to the board for examination and revision; the board was to file with the legislature annually a recommended budget. Further 1921 legislation (Chapter 337) abolished the State Printing Board and assigned all of its functions and duties to the Board of Estimate and Control.

This series consists mainly of typescript studies or "surveys" made by board employees concerning particular State agencies or institutions. These were copies directed to the governor, who was a member of the board. This series includes surveys of the Motion Picture Commission, Banking Department, treasurer, state engineer and surveyor, Education Department, Department of State, Department of Public Works, Department of Health, State Museum, State Library, industries at various State prisons, Department of Highways, and Department of Farms and Markets.

The surveys generally provide a general description of the agency including legal provisions, functions, and operation; products or services; receipts and expenditures for past year and appropriations for following year; recommendations for improvements and reorganization; and description of each division and bureau, providing legal provisions, details on functions and methods of operation, titles and salaries of employees, and receipts and expenditures. The amount of detail in each section varies greatly from one survey to another.

The series also includes four other related reports: 1) report on study of State land holdings; 2) summary and recommendations for 1922 appropriations bill; 3) memoranda concerning surveys of several agencies and functions, printing costs and laws, and related matters; and 4) partial transcript of hearings of 1922 investigation into the management and operations of the State Institute of Applied Agriculture on Long Island.

A0283. **Monthly Reports and Minutes of Meetings of Boards of Managers of State Institutions, 1902-1914.**
9.2 cu. ft. (129 volumes)

Arrangement: Alphabetical by name of institution, then chronological.

The 1896 Insanity Law (Chapter 545) and State Charities Law (Chapter 546), as amended in 1902 (Chapter 26), 1903 (Chapter 473), 1905 (Chapter 490), 1906 (Chapter 685), and 1907 (Chapter 283), required boards of managers of State institutions under the jurisdiction of either the State Commission in Lunacy or the State Board of Charities to visit, inspect, and make written reports concerning their institutions at least once a month. Managers of institutions under the Commission in Lunacy were to send copies of these reports and copies of minutes of their monthly meetings to the governor as well as to the commission. State Board of Charities institution managers were to send copies of their reports and minutes to the governor and the fiscal supervisor of state charities as well as to the State Board of Charities.

This series consists primarily of copies of reports and minutes of meetings submitted to the governor by boards of managers as required by the Insanity Law and the State Charities Law of 1896 and subsequent amendments. Reports and minutes are filed together in 117 volumes covering specific years or spans of years.

The reports detail conditions at the institutions for which the managers were responsible. Some are in narrative format while others are on report forms. The reports provide such information as condition and needs of physical facilities; appropriation requests; new construction or improvements to facilities; capacity and population of institution; operation and management of dormitories, food services, farms, and gardens; general health of population; accidents; suicides and suicide attempts; complaints of abuse or neglect; and entertainment provided. Reports concerning State hospitals also provide information on changes in treatment of new inmates; scientific work/research by hospital/medical staff; and number of nurses and nursing students.

Minutes of monthly meetings provide information such as organization of the board and election of officers; reports from institution superintendents on population, health, deaths, new construction, and general operations of the institution; conditions and needs of physical facilities; and appropriations made and needed.

The series includes reports and minutes of boards of managers of the following institutions:

- X Binghamton State Hospital
- X Buffalo State Hospital
- X Central Islip State Hospital
- X Craig Colony for Epileptics, Sonyea
- X Gowanda State Homeopathic Hospital
- X Hudson River State Hospital, Poughkeepsie
- X Kings Park State Hospital
- X Letchworth Village, Thiells
- X Long Island State Hospital, Brooklyn
- X Manhattan State Hospital, Ward's Island, N.Y.C.
- X Middletown State Homeopathic Hospital
- X Mohansic State Hospital, Yorktown
- X New York House of Refuge, Randall's Island, N.Y.C.
- X New York State Custodial Asylum for Feeble-Minded Women, Newark
- X New York State Hospital for the Care of Crippled and Deformed Children, West Haverstraw
- X New York State Hospital for the Treatment of Incipient Pulmonary Tuberculosis, Ray

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Brook

- X New York State Reformatory, Elmira
- X Eastern New York Reformatory, Napanoch

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- X New York State Reformatory for Women, Bedford
- X New York State School for the Blind, Batavia
- X New York State Soldiers' and Sailors' Home, Bath
- X New York State Training School for Boys, Yorktown Heights
- X New York State Training School for Girls, Hudson (formerly New York House of Refuge for Women)
- X New York State Women's Relief Corps Home, Oxford
- X Rochester State Hospital
- X Rome State Custodial Asylum
- X St. Lawrence State Hospital, Watertown
- X State Agricultural and Industrial School, Industry (and predecessor State Industrial School, Rochester)
- X State Industrial Farm Colony
- X Syracuse State Institution for Feeble-Minded Children
- X Thomas Indian School, Iroquois
- X Utica State Hospital
- X Western House of Refuge for Women, Albion
- X Willard State Hospital

The series also includes five volumes (1907, 1908, 1909, 1911, and 1912) of attendance records of managers of these institutions. These records were kept beginning in 1907, when a law was passed (Chapter 283) stipulating, in part, that any manager who missed three consecutive meetings would be deemed to have vacated his or her position unless the governor excused the absences. In each volume, a table for each institution shows names of managers listed on the left and the presence (P) or absence (A) of each in a column for each month.

The series also includes two volumes of reports (1902-1905 and 1911) of the fiscal supervisor of state charities. This office was created in 1902 (Chapter 252) to supervise and make reports and recommendations to the governor concerning fiscal matters at all State Board of Charities institutions. The fiscal supervisor visited each institution at least twice each year and reported on such matters as expenditure practices; wastefulness and ways to economize; salaries and salary classifications; employment of inmates; and costs and necessity of construction or improvements.

Also included in this series are five unrelated volumes. Two volumes contain minutes of meetings of the Board of Control of the New York State Agricultural Experiment Station at Geneva (1911, 1913). Two volumes contain copies of correspondence (1908 and 1913) relating to appointments and resignations of judges, State agency officials, and various others. (These volumes are *not* part of series A0606, **Appointment Letter Books**, below, page 42.) Finally, one slim volume contains "Receipts of Secretary of State" (1908) acknowledging receipt by that office of documents sent by the governor's office (e.g. designations of supreme court justices; notices of charges). There is no indication of why these five volumes were filed with this series.

Finding aids: Volume list indicating volume number, institution, and year(s) for each volume.

A3357. **Minutes of the Panama-Pacific Exposition Commission, 1912-1914.**
.2 cu. ft. (1 volume)

Arrangement: Chronological by date of meeting.

Legislation of 1912 (Chapter 541) created a Panama-Pacific Exposition Commission to organize and promote

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exhibits of "commercial, educational, industrial, artistic, military, naval and other interests" of New York State. The exhibits were to be displayed at the 1915 Panama-Pacific International Exposition in San

Francisco to "celebrate the completion and commercial use of the Panama canal." The commission was comprised of 15 members: five appointed by the governor, five appointed by the lieutenant governor, and five members of the assembly appointed by the speaker of the assembly.

This series consists of a binder of typed minutes which served as the official record of the meetings held by the Panama-Pacific Exposition Commission to plan and promote the New York State exhibits at this exposition. It appears that minutes from many of the meetings are copies, indicating that this binder contains the copies of the minutes sent to the governor for his information. The minutes summarize discussions of such matters as exhibit site selection; architectural plans for the exhibit building; solicitation of exhibitions; exhibit proposals and progress; and contract bids. Also included at the beginning of the volume is a copy of the legislation establishing the commission.

A0580. Annual Reports to the Governor and Legislature, ca. 1882-1907.

2 cu. ft.

This series contains reports from a wide variety of State agencies, offices, commissions, schools, hospitals, and other institutions as well as private organizations required to submit such reports to the governor. From annotations written on some reports (e.g. "has been sent to legislature"; "need not be transmitted"), some items of correspondence found in the series, and the fact that some reports are addressed to the legislature, it appears that these are the governor's copies of reports that were intended to be seen by both the governor and the legislature. The haphazard manner of filing of these reports indicates that the governor's office made no serious attempt to organize and utilize these reports. It is possible that these materials were removed from other series for reference by the governor's office and were never refiled.

6. Appointments

NOTE: In addition to records from the governor's office documenting executive appointments, the State Archives holds a number of series of Department of State records documenting this function. See **Appendix D, Appointment Records Filed with the Department of State**, for a list of those series. The State Archives also holds a related series from the Adjutant General's Office: series 13728, **Abstract of Military Commissions Issued, 1823-1909**, 4 cu. ft. (15 volumes).

13686. Press Releases Announcing Appointments, 1976-1984.

7.3 cu. ft.

Arrangement: Chronological by year, then by consecutively assigned number corresponding to date of issue.

Executive Chamber staff maintained these records as a central file of photocopies of press releases announcing the governor's appointment or nomination of persons to various councils, committees, task forces, commissions, boards, panels, and other State positions.

Each press release provides name of appointee or nominee; reason for establishment of commission, board, position, etc.; length of term; expiration date; name of person replaced (if applicable); brief summary of appointee's background; date; and name of governor's press secretary.

Appointments and nominations are for such positions as State University of New York Board of Trustees; Public Employment Relations Board; Executive Director, Council on the Arts; Temporary State Commission on

Restoration of the Capitol; special advisor for economic affairs; and New York State Law Revision Commission.

Finding aids: Container list.

Indexes: Series B1205, **Index to Governor Carey's Proclamations, Press Releases, and Addresses** (see below, page 49), indexes this series alphabetically by subject and name.

A0540. **Alphabetic Card Index to Governors' Appointment Correspondence Files and Other Matters, 1905-1930.**
50 cu. ft.

Arrangement: Arranged by type or topic of card (e.g. titles, applicants, etc.), then chronological by year or gubernatorial administration, then alphabetical by last name, position title, or event.

The bulk of this series is comprised of several sets of cards indexing names and positions appearing in portions of series A0612, **Appointment Correspondence Files** (see above, page 21). Additional sets of cards index individuals invited to annual legislative receptions; scheduled engagements; "delegates" (no further information provided); and "military secretary file" (no further information provided). The card indexes were compiled by successive gubernatorial administrations to facilitate access to information relating to the increasing amounts of correspondence and other responsibilities of governors and their staff. In particular, they provide access to names of individuals applying for appointment to various positions and individuals recommending others for such positions.

Four sets of cards partially index **Appointment Correspondence Files** of Governors Frank W. Higgins (1905-1906), Charles Evans Hughes (1907-1910), Horace White (1910), John A. Dix (1911-1912), William Sulzer (1913), Martin H. Glynn (1913-1914), Charles S. Whitman (1915-1918), Alfred E. Smith (1919-1920 and 1923-1928), Nathan L. Miller (1921-1922), and Franklin D. Roosevelt (1929-1932). These four sets are:

- X **Titles**, 1905-1906, 1910-1913, 1915-1920: Title of office or position appears at the top of each card, followed by name of applicant, file code number indicating where in Appointment Correspondence Files the letter was filed, and date (sometimes).
- X **Applicants/Appointments**, 1905-1930: Name of applicant for appointment appears at the top of each card, followed by title/position, name(s) of person(s) endorsing or opposing application, actions taken (e.g. nominated; confirmed; appointed), and dates.
- X **Endorsements**, 1905-1922: Name of individual endorsing an applicant appears at the top of each card, followed by date, name of applicant, title/position, and file code number indicating where in Appointment Correspondence Files the letter was filed. Starting in 1911, the cards only provide name of endorser, date, and file code number.
- X **Notary public letters**, 1907-1910: Name of applicant for appointment as notary public appears at the top of each card, followed by date.

(Series A3218, **Alphabetic Card Index to Governors' Correspondence Files** (see above, page 22), also indexes portions of the **Appointment Correspondence Files** but apparently does not duplicate information in this series.)

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A set of cards labeled "delegates" apparently indexes delegates appointed in 1914 under Governor Martin H. Glynn. Each card provides only name of delegate and address or city of residence. No information is provided on either the specific conference or other event to which these individuals were appointed as delegates, or on which correspondence or other files the cards index.

A set of unlabeled cards apparently indexes engagements (speeches, meetings, etc.) for which Governor Charles S. Whitman was scheduled during 1916-1918. The place or name of the event appears at the top of each card, followed by one or more dates. Occasionally, instead of a second date appearing, there is a brief notation such as "date not fixed," "pending," or "miscellaneous."

A set of cards labeled "legislative reception" apparently indexes individuals invited to attend annual legislative receptions hosted by Governor Whitman from 1915-1918. According to fragments of an invitation found among the cards, State legislators, members of their families, other State officials, and other individuals were invited to these receptions. Each card provides name of individual invited and address or city of residence.

The last set of cards, labeled "military secretary file," apparently indexes individuals applying for or appointed to military positions under Governor Whitman in 1916. The individual's name appears at the top of each card, followed by one or more dates. Occasionally, instead of a second date appearing, there is a brief notation such as "miscellaneous," "mil. misc.," "date not fixed," or "March not fixed." It is unclear from the records what these notations mean, although it is possible that "not fixed" refers to the appointment date. No information is provided on which correspondence or other files the cards index.

Many sets of cards are incomplete, with either entire years or sections of the alphabet for certain years missing.

Finding aids: Two container lists: one by box number and one by year.

A0006. Registers of Appointments, 1823-1910.

21 cu. ft. (85 volumes)

Arrangement: Arranged roughly by type of volume (civil appointments, notaries, etc.), then chronological by year(s) covered by each volume; internal arrangement of volumes varies.

This series is comprised of volumes maintained in the governor's office, mostly to track gubernatorial appointments. The volumes apparently originated in several different series and were brought together at an unknown date. The series also includes a few miscellaneous volumes, such as one recording charges made against public officials (1904-1909) and one recording gubernatorial actions such as approving legislation or issuing proclamations (1857-1858).

The volumes take a variety of forms, but in general they provide information about appointees to various offices, including commissary general; state engineer and surveyor; attorney general; judge; canal appraiser; state prison inspector; superintendent of Onondaga Salt Springs; commissioner of deeds; Indian agent or attorney; manager or trustee of a State institution; Banking Department superintendent; notary public; county coroner; loan commissioner; commissioners appointed under various laws; wreck master; harbor master; port warden; Hell Gate pilot; health officer; commissioner of emigration; police commissioner; street commissioner; and railroad inspector. Liber A (the first volume in the series) also contains names of justices of the peace appointed by the governor between 1823 and 1827 under provisions of the second State constitution, and names of justices of the peace elected in each town in November 1827.

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The extent of information provided about each appointee varies. Volumes generally provide some or all of the following types of information about each appointee: name; town and county of residence; date of appointment or commission; date term or commission expires; name of person appointee replaced, and reason (e.g. resigned, deceased); indication if a reappointment; name of prominent individual endorsing candidate's appointment (e.g. mayor, senator); and authorizing legislation.

Finding aids: Detailed volume list.

A3328. County Clerks' Monthly Reports of Notary Appointments and Fees, 1914-1916.

2 cu. ft.

Arrangement: Alphabetical by county, then chronological by month.

These monthly reports were submitted to the governor's office in accordance with legislation of 1908 (Chapter 246) and 1909 (Consolidated Laws, Chapter 18) amending sections of the Executive Law (Laws of 1892, Chapter 683) which specified fees to be collected and information to be reported by county clerks. The reports provide the following categories of information: date (sometimes); appointments revoked by failure to qualify (names and addresses); qualified as a notary for the county during the month (names and addresses); amount paid upon qualifying; amount retained by county clerk; open appointments (names and addresses of persons appointed as notaries who had not yet qualified but whose time to qualify did not expire during the month); certificate filed (names and addresses of notaries holding an appointment in another county who filed a certificate indicating such from the clerk of that county, along with a certified copy of the appointment, allowing them to act as a notaries in this county as well); and amount paid upon filing certificate.

A0600. Notary Public Appointment Registers and Correspondence, 1870-1912.

17.5 cu. ft. (53 volumes)

Arrangement: Arranged by type of volume, then either alphabetical by county and/or name, or chronological by appointment or expiration date, then alphabetical by name.

The bulk of this series consists of registers tracking individuals applying for or appointed to the position of notary public. Also included in the series are letter copybooks regarding notary appointments.

The first ten volumes, mostly entitled "Notaries Public" on the bindings, appear to be the central registers for information regarding notaries. These volumes are arranged chronologically by expiration date of commission, then alphabetically by last name. They generally provide page (it is not known what volumes these page numbers refer to); how vacated (e.g. "failed to qualify;" "removed;" "dead"); when vacated (rarely); by whom succeeded (rarely); name; if "new"; appointed in place of (rarely); date of commission; and date commission expires.

Five volumes list "recess appointments," apparently referring to those appointed as notaries while the senate, which generally confirmed notary nominations, was in recess. Two of the volumes, entitled "Expirations and Recess Appointments," list only names in rough alphabetical order. Three volumes entitled "Recess Appointments" provide name, address, date of appointment, and "by whom requested" (usually remarks such as "resigned;" "failed to qualify;" whom replaced).

Four "blotters," arranged chronologically by date of appointment, contain typed sheets glued onto the pages of

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the volumes. The sheets have the date written on top and list counties in alphabetical order. Under each county are the names of notaries appointed, also in alphabetical order, followed by their city of residence.

Two volumes entitled "New Appointments" provide name, county, recommended by, and date appointed. These volumes are in rough alphabetical order.

Twenty-two volumes of "Applications" provide date application received; recommended by; address; name; date nominated; date confirmed; and remarks (e.g. occupation or position, whom replaced, when commission expired).

The series also includes ten letter copybooks containing outgoing correspondence from the "notarial desk" of the governor's office, usually replying to inquiries regarding vacancies, appointments, and application and appointment policies and procedures.

Finding aids: Volume list.

A3329. Notary Public Appointment and Re-Appointment Application Cards, 1908-1909.

1.7 cu. ft.

This series is comprised of 3-1/2" x 8-1/4" card forms submitted to county clerks by persons applying to the governor for appointment or re-appointment as notaries public. The cards provide date; name; occupation; firm; line of business; residence (county, village or city, and street address); and by whom recommended.

A0625. Index to Notary Appointments and Ledger of Applications for Office, 1859-1863.

.5 cu. ft. (1 volume)

Arrangement: Index is rough alphabetical order by first letter of last name, then chronological by date of appointment. Ledger is arranged by office, then either 1) chronological by date of appointment, or 2) rough alphabetical order by first letter of last name, then chronological by date of appointment.

This volume contains information compiled from series A0607, **Journals of Governors' Actions and Decisions** (see above, page 13), to provide the governor's staff with improved access to especially heavily-used types of information recorded in those journals.

The volume is divided into two sections. The first, an index to notary public appointments, provides the following information for each notary: date of commission; page (in volume from series A0607 covering year of commission); name; county; and date (apparently of expiration of previous commission).

The second section of the volume is a ledger containing information about applicants for offices such as physician of Marine Hospital; canal appraiser; auditor of the Canal Department; commissary general; commissioner of deeds; harbor master; port warden; state assessor; wreck master; loan commissioner; county coroner; and military offices. Information provided about applicants for each office includes date (apparently of application; in some cases may be appointment date); page (in volume from series A0607 covering year of application or appointment); name; city or county of residence; and if application denied.

Series A0607, **Journals of Governors' Actions and Decisions**, is partially indexed by this series and contains the information from which the ledger portion of the volume was compiled. Page numbers cited in this series refer to the corresponding volumes in series A0607.

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A0624. Registers of Applications for Office, 1859-1906.

5 cu. ft. (16 volumes)

Arrangement: Chronological by year. Internal arrangement of volumes varies; most are arranged by office/position; therein, some are chronological by application date, and others are alphabetical by first letter of last name, then chronological by application date.

This series serves as a central record of applicants for offices to which the governor made appointments or nominations. The volumes generally provide the name of the office or position at the top of each page and then list the following for each applicant: name; date application filed; residence (town and/or county, state if outside New York, and country if outside the United States); by whom recommended (e.g. governor, mayor, or other prominent individual) (occasionally, starting in 1899 - volume 9); and date appointed (1865-1870 only, volumes 2-3).

Applicants sought appointment to numerous offices or positions, such as commissioner of deeds; county clerk; manager or trustee of a State institution (e.g. Craig Colony for Epileptics); agriculture commissioner; railroad commissioner; state commissioner of prisons; port warden; member of Board of Mediation and Arbitration; state commissioner in lunacy; judge; State Board of Health commissioner; Forest, Fish and Game commissioner; examiner of horse shoers; canal appraiser; health officer; notary public; and loan commissioner.

The entries in these volumes make no reference to other series of records of appointments made by the governor.

Finding aids: Volume list.

A0606. Appointment Letter Books, 1857-1859, 1896-1906.

4 cu.ft. (33 volumes)

Arrangement: Chronological by date of letter.

The governor's appointment clerk maintained these letter copybooks to document correspondence regarding appointments or nominations made by the governor. The vast majority of the letters concern appointments of notaries public, who were nominated by the governor and confirmed by the senate. Occasionally, letters concern other offices to which the governor made appointments or nominations, such as judicial offices; commissioners of deeds; port wardens of the Port of New York; county loan commissioners; railway policemen; managers of State hospitals or other institutions; and delegates to conferences.

A large number of letters inform individuals that the governor has approved, denied, revoked, or accepted a resignation from an appointment. Many of the letters respond to inquiries regarding vacancies in particular offices or procedures for applying for appointment or reappointment. Other letters request recommendations or more information from individuals who know the applicants. Letters cover such matters as the proper way to apply for appointment or reappointment; from whom the applicant should garner references; whether the applicant would make a reliable notary; procedures for filing charges against notaries accused of overcharging or defrauding; background of notaries whose qualifications were considered questionable or fraudulent; and notary appointment fees collected by county clerks and due to be paid to the governor's office.

Of particular interest are letters requesting further information about the background and qualifications of Italian-born notary applicants. The letters express reluctance to nominate such applicants, labeling them "irresponsible" and even "dangerous" (August 10, 1897).

Volumes 1-3 are entitled "Executive Chamber" and apparently are more general office correspondence. They occasionally contain letters responding to district attorneys' requests for "requisition" (extradition) of criminals from other states, or approval or denial of requisitions received from governors of other states. These volumes also contain correspondence relating to routine matters such as appropriations or reimbursements for government expenses; forwarding or acknowledging receipt of reports or other requested items; and requests for information from State officials. These types of correspondence are rarely if ever present in volumes 4-33, which are entitled "Appointment Clerk."

Volumes 1-3 (1857-1859) are manuscript copybooks with frequent fading or blurring of ink. Volumes 4-33 are typescript. Of these, volumes 30-33 (1905-1906) use a green ink which has faded to the point where it is often barely legible.

Finding aids: Volume list.

Indexes: Rough alphabetical name index included in each volume except for volumes 22 and 23.

A3216. Factory Inspector Appointment Files, 1885-1890.

.2 cu. ft.

Arrangement: Chronological.

Legislation of 1886 established regulations for employment of women and children in factories and directed the governor to appoint a factory inspector and assistant factory inspector to enforce the regulations and prosecute violators. The following year the legislature authorized the factory inspector to appoint up to eight deputies with the same duties.

This series contains letters from persons requesting appointment as factory inspector, recommendations of specified persons for appointment, or objections to the possible appointment of specified persons. These letters generally provide little information about the person, although they occasionally note political leanings, background, relevant experience, or other qualifications. Several were sent to the governor before a bill was actually signed into law in anticipation of such positions being made available.

7. Public Relations/Communications

15732. Supporting Documents for the Published Public Papers of the Governor, 1979-1989.

33 cu. ft.

Arrangement: Arranged by document type, then chronological.

Public Papers Project staff compiled these copies of documents from the office of Governors Hugh L. Carey and Mario M. Cuomo to prepare for their publication in annual editions of the published *Public Papers*. With a few exceptions, the documents are published in their entirety in the *Public Papers*. Many documents include pre-publication editorial markings. Among the documents included in the series are annual messages; budget messages and presentations; legislative approval and veto messages; emergency messages and messages of necessity (governor's requests that the legislature take immediate action on particular legislation); executive orders; judicial designations;

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pardons; statements and addresses; and appointments. Documents in the series which were not published include condolences (1983); correspondence and press releases regarding State investigations (1985); miscellaneous press releases (1984, 1986); and proclamations (1984-1986).

Finding aids: Container list.

13703. **Public Information Photographs, 1910-1982 (bulk 1945-1982).**

20 cu. ft.

Arrangement: Numerical by assignment number or "governor's number" assigned to events photographed; corresponds to chronological order.

These photographic images were used as public relations vehicles for New York's governors. The photographs helped to publicize their official, and occasionally unofficial, activities, and complimentary enlargements were often sent to individuals photographed with the governor. The bulk of the series contains images of Governors Thomas E. Dewey (1943-1954), Nelson A. Rockefeller (1959-1973), Malcolm Wilson (1973-1974), and Hugh L. Carey (1975-1982). There are also a few images of Governor W. Averell Harriman (1955-1958), Dewey's Lieutenant Governor Joseph Hanley, and Carey's Lieutenant Governor Mary Anne Krupsak.

The series includes negatives of various sizes, contact prints, and enlargements; most are black-and-white, but a few are in color. There are also color slides. The original envelopes housing many of the prints and negatives generally provide assignment number (consecutive job number); "governor's number" (consecutive number); date; event pictured, occasionally naming all or some of the individuals pictured; and name or initials of photographer.

Most of the images reveal the routine activities that the governors' photographers were assigned to photograph. These include both posed and unposed images of inaugurations, annual State-of-the-State addresses, and openings of the State legislature; press conferences; meetings with staff, State officials, and legislators; meetings with political, military, veterans, labor, religious, civic, academic, student, scouting, and other groups; award presentations; signing legislation and proclamations; and visits to State institutions, colleges, universities, and other sites.

In addition to these routine images and formal portraits, the series contains images of numerous other activities and events, including those listed below. However, access to individual images is extremely difficult, and the State Archives does not have the resources to make more than a very limited search for images of particular individuals or events.

Dewey: as a boy, ca. 1910; opening veterans' housing projects and signing citations for veterans, 1946; dedication of Alfred E. Smith State Office Building, May 16, 1946; at baseball game at Cooperstown, June 13, 1946; at Thruway construction ceremonies, July 11, 1946, and Thruway opening, June 1954; with Gloria Swanson, June 27, 1950; campaigning with presidential candidate Dwight D. Eisenhower, October 1952; and with Richard M. Nixon, 1954.

Harriman: 1954 election campaign.

Rockefeller: with Queen Elizabeth, Prince Philip, and Richard M. Nixon at opening ceremony for St. Lawrence Seaway, June 1959; Interstate 87 "Northway" opening, October 27, 1959; with king and queen of Denmark, 1960; with Board of Regents; inspecting fallout shelter in State Capitol, June 20, 1961; with NAACP group, February 28, 1961; unveiling plans for State University of New York at Albany campus, June 12, 1962; unveiling Empire State Plaza (South Mall) model in State Capitol, April 23, 1963; Saratoga

Performing Arts Center groundbreaking, June 30, 1964; Empire State Plaza cornerstone ceremonies, June 21, 1965, construction site, November 28, 1966, and dedication and unveiling, November 21, 1973; campaigning with presidential candidate Richard M. Nixon on State Capitol steps, October 28, 1968; swearing first woman into National Guard, January 1, 1973; press conference announcing resignation, December 11, 1973; and with wife and son.

Wilson: with wife.

Carey: with government officials and politicians (Lyndon B. Johnson, Nelson Rockefeller, Albany Mayor Erastus Corning); Bicentennial ceremonies at Fort Ticonderoga, May 10, 1975; Danny Kaye at Albany Airport for UNICEF benefit, with Carey's children and other children, 1975; presenting bravery citations to police officers, 1975; opening Convention Center ("Egg") at Empire State Plaza with Kitty Carlisle Hart, Albany Bishop Howard Hubbard, etc.; with Danny Kaye, Kitty Carlisle Hart, and Albany Mayor Erastus Corning at "I Love New York Fall Festival" at Empire State Plaza, October 8, 1977; addressing seminar on "The Future of New York State," October 1977; 1978 election campaign with Coretta Scott King, Dr. Martin Luther King, Sr., and Geraldine Ferraro; State University Plaza dedication ceremony, June 5, 1978; rededication of Empire State Plaza as Nelson A. Rockefeller Empire State Plaza, October 6, 1978; at 1979 inauguration with State and federal officials (Daniel P. Moynihan, Edward Regan, Mario Cuomo); Eastern Regional International Trade Seminar, 1979; Martin Luther King Day Parade, 1979; at 1980 Winter Olympics, Lake Placid, New York - opening ceremonies, sportscaster Jim McKay, Austrian ski champion Franz Klammer, with Vice President Walter Mondale and Senator Daniel P. Moynihan; Syracuse State Fair, 1980; greeting ex-Iran hostages at Albany Airport, January 27, 1981; groundbreaking in East Harlem and touring Bronx, 1981; with New York City Mayors Abraham Beame and Ed Koch; with celebrities at various events (Bob Hope, Beverly Sills, Frank Sinatra, etc.); with family; and wedding to Evangeline Gouletas, and with Gouletas.

The series also includes photographs of State office buildings and sites, including models and artist's conceptions of the Empire State Plaza; State Capitol and the Governor's Mansion (interior and exterior); State University of New York at Albany campus, 1976; United Nations headquarters in New York City; historic sites, bridges, and highways; and Niagara Falls.

Also included in the series are a few files of documents relating to events occurring during the Rockefeller administration, including audit reports, press releases, and memoranda regarding Empire State Plaza construction costs; Attica Prison riot; New York State Campaign to Re-Elect the President; and Martin Luther King, Jr. assassination. It is unclear how or when these documents came to be filed with this series.

Finding aids: Container list.

Indexes: An incomplete alphabetical card index provides names of persons included in and/or sent enlargements of Dewey photographs. A card index (in the series) to the Rockefeller and Wilson 4" x 5" negatives and contact prints, arranged in the same order, provides summary information on and initial access to these images.

13688. **Press Releases, 1923-1949, 1976-1986.**
31 cu. ft.

Arrangement: Chronological.

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Executive Chamber staff maintained these records as a central file of governor's press releases concerning all aspects of State government. Most are standard press releases publicizing appointments, new legislation, issues of concern to the governor, the governor's activities, or ceremonial occasions. Occasionally a press release will include, or consist entirely of, the text of a piece of legislation, a statement by the governor, an executive order or proclamation, or a government report.

The press releases concern numerous issues such as promoting business and employment; crime prevention and expansion of correctional services; health care costs and programs; energy conservation and development; mass transit financing; prevention of domestic violence; highway maintenance and construction; and neighborhood preservation programs.

Series 13706, **Press Releases** (see below, page 48), contains similar records maintained by the Governor's Press Office.

Finding aids: Container list.

Indexes: Series B1205, **Index to Governor Carey's Proclamations, Press Releases, and Addresses** (see below, page 49), indexes the 1976-1982 records alphabetically by subject and name.

13700. Audio and Video Tapes, 1951-1982.

36.8 cu. ft. (1,801 audio and video cassette and reel-to-reel tapes)

Restrictions: Some tapes and films are fragile, and access may be limited until duplicate copies are made.

Arrangement: Chronological by date of event.

This series consists of audio and video tape cassettes, motion picture films, and reel-to-reel audio tapes documenting the activities of New York's governors. Included are tapes and films of Thomas E. Dewey (1943-1954); W. Averell Harriman (1955-1958); Nelson A. Rockefeller (1959-1973); Malcolm Wilson (1973-1974); and Hugh L. Carey (1975-1982).

The tapes and films cover such events as gubernatorial inaugurations; annual State-of-the-State addresses; budget messages; press conferences; interviews; radio and television announcements; award and dedication ceremonies; and meetings with local, State, federal, and foreign government officials and representatives.

About 1,700 audio and video cassette and reel-to-reel tapes of Governor Carey cover events and topics such as the Nelson A. Rockefeller Empire State Plaza dedication ceremonies; New York State and New York City budget crises; mayoral conferences; political conventions and election campaigns; comments regarding and meetings with U.S. presidents; 1980 Winter Olympics at Lake Placid; "I Love New York" advertising campaign; international trips (e.g. trade talks in Japan); Love Canal and hazardous waste issues; energy policy; women's issues; gun control; death penalty; visit to Israel, 1977; Empire State Plaza rededication ceremonies, 1978; tour of Attica Correctional Facility; greeting released Iran hostages at Stewart Air Force Base, 1981; and interviews with Carey associates (e.g. agency heads), November 1982.

Additional video tapes, motion picture films, and audio reel-to-reel tapes document activities of Governors Dewey, Harriman, Rockefeller, and Wilson. The video materials include both sound and silent film and both color and black-and-white materials. The films and tapes cover events and topics such as:

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Dewey: 1951 inauguration; and New York State Thruway opening, ca. 1954.

Harriman: Whiteface Ski Center opening, 1957.

Rockefeller: inaugurations; dedication ceremonies of St. Lawrence Seaway with Queen Elizabeth, Prince Philip, and Vice President Richard M. Nixon, 1959; Interstate 87 "Northway" opening, 1959; and Empire State Plaza (South Mall) model unveiling (1963), stone laying ceremony (1965), and dedication (1973).

Governor Wilson: opening legislature, 1974.

Finding aids: Item list.

13704. **Governor's Speech Files, 1975-1982.**
23.5 cu. ft.

Arrangement: Chronological by date of speech.

This series from the governor's Press Office consists of drafts, final versions, and summaries of speeches given by the governor. Included are press releases containing excerpts of remarks, testimonies, and speeches made by the governor. Addresses range from ceremonial remarks made at commencement exercises or building dedications, to testimonies delivered before U.S. Senate subcommittees, to annual and special messages delivered to the State legislature.

The speeches cover numerous facets of New York State government and politics, including such issues as economics; housing; banking, trade, and commerce; health and nutrition; energy; mass transit; Love Canal toxic waste site; 1980 Winter Olympics in Lake Placid; and 1980 Democratic National Convention in New York City.

Interfiled with some speeches of Governor Hugh L. Carey are a few addresses made by his wife, Evangeline Gouletas. Many of these addresses were recorded on audio cassettes which are part of series 13700, **Audio and Video Tapes** (see previous entry).

Major gubernatorial addresses are printed in the *Public Papers* of the governors, which began publication in the 1860s.

Finding aids: Container list.

13705. **Transcripts of Press Conferences, 1975-1982.**
4 cu. ft.

Arrangement: Chronological by date of press conference.

This series from the governor's Press Office consists of original and photocopied typed transcripts made from audio cassettes of the governor's press conferences found in series 13700, **Audio and Video Tapes** (see above, page 46). Press conferences were held weekly and on special or important occasions to inform the press and public of State government policy on critical issues. All aspects of New York State government and politics are covered, including such issues as energy; drug abuse; economics; environment; crime and law enforcement; local, State, and national elections; abortion; taxes; death penalty; and gun control.

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The series also includes a small amount of biographical material on Governor Hugh Carey and copies of his messages to the legislature in 1976, 1977, and 1978.

Finding aids: Container list.

13706. **Press Releases, 1978-1982.**

2.3 cu. ft.

Arrangement: Chronological.

The governor's Press Office maintained these records as their central file of press releases concerning all aspects of State government. Most are standard press releases publicizing appointments, new legislation, issues of concern to the governor, the governor's activities, or ceremonial occasions. Occasionally a press release will include, or consist entirely of, the text of a piece of legislation, a statement by the governor, an executive order or proclamation, or a government report.

The press releases concern numerous issues such as promoting business and employment; crime prevention and expansion of correctional services; health care costs and programs; energy conservation and development; mass transit financing; prevention of domestic violence; highway maintenance and construction; and neighborhood preservation programs.

Series 13688, **Press Releases** (see above, page 45), contains similar records maintained by Executive Chamber staff.

Finding aids: Container list.

13489. **Press Clippings, 1975-1982.**

312 microfilm reels

Arrangement: Organized into two subseries: 1. Subject Files, 1975-1980; and 2. Name Files, 1975-1982. Arrangement is alphabetical by subject or name within subseries.

Governor Hugh Carey's "clipping unit" staff compiled these clippings to track press coverage of Carey administration policies, issues, and events. Original or photocopied newspaper articles and editorials from forty New York newspapers discuss the governor and government policies and programs; topics of interest to Executive Chamber staff; State and local government officials; Executive Chamber staff; business people and firms; organizations; politicians; and other prominent individuals. The newspaper name and date of the article appear on each clipping.

The arrangement of the subject files closely parallels that of the Carey administration **Central Subject and Correspondence Files** in series 13682 (see above, page 15). Examples of major subject headings in the clippings files include administrative operations; agriculture; business; correctional institutions and policies; education; elections; environment; judiciary; legislature and legislation; personnel; public utilities; and transportation.

Finding aids: Alphabetical subject list.

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B1205. Index to Governor Carey's Proclamations, Press Releases, and Addresses, 1976-1982.

3 cu. ft.

Arrangement: Chronological by year, then alphabetical by name or subject.

This card file index provides access to Governor Hugh Carey's proclamations, press releases announcing appointments, general press releases, and addresses. Each card contains the name of a person, agency, or topic covered by a document and an alphanumeric code reference to the file in which the document is located.

The alphabetical codes are as follows: A -- Press releases announcing appointments; Ad -- addresses; P -- Proclamations; and S -- Press releases. The number following each alphabetical code indicates the file number for a particular year in which the document is filed.

13702. Executive Chamber News Summary, 1980-1982.

4 cu. ft.

Arrangement: Chronological by date of issue.

This series consists of issues of "Executive Chamber News Summary," an internal publication issued during Governor Hugh Carey's administration. The publication was designed to keep the governor, lieutenant governor, and their senior staff informed on current issues and events.

Each daily issue contains synopses of major wire service news reports and upstate New York newspaper articles and editorials. Attached are copies of some of the articles and editorials cited as well as related articles and political cartoons.

The publication touched on all major issues and events, including such topics as crime, correctional facilities, and criminal justice issues; Love Canal and hazardous waste issues; State and federal abortion policy and interest groups; gun control; race and sex discrimination; State legislative elections; government spending; and State employee salaries and pension funds.

Finding aids: Container list.

A3217. Executive Statements, 1915-1918.

.3 cu. ft.

Arrangement: Chronological.

Typescript or printed copies of Governor Charles S. Whitman's executive statements, often prepared for release to the press, announce appointments or other gubernatorial actions. Announcements concern such issues as appointment or nomination of persons to offices, councils, or commissions such as the Public Service Commission, commissions to investigate sanity of persons convicted in capital cases, and justices for special terms of the supreme court; resignations of State officials; convicts for whom the governor is considering a pardon, listed on monthly "Pardon Day Calendars"; granting or denial of executive clemency; and governor's opinion on pending legislation, in the form of transcripts of correspondence from the governor to legislators.

8. Reprieves, Commutations, and Pardons

Executive Clemency and Pardon Records

NOTE: In addition to records from the governor's office documenting executive clemency and pardons, the State Archives holds several series of Department of State records documenting these functions. See **Appendix C, Executive Clemency and Pardon Records Filed with the Department of State**, for a list of those series.

NOTE ON RESTRICTIONS: Summary data on the status and determination of executive clemency petitions are available for use. Pursuant to instructions from the governor's office, requests for access to confidential communications regarding a governor's consideration of clemency action will be referred by the State Archives to the governor's counsel's office.

A0597. **Executive Clemency and Pardon Case Files, ca. 1860-1926.**

133 cu. ft.

Restrictions: All requests for access to any records in this series will be referred to governor's counsel's office for a decision.

Arrangement: Very rough chronological order.

Article 18 of the 1777 State constitution authorized the governor to grant pardons and reprieves. This power was continued in the constitutions of 1821 and 1846 and was expanded to include commutations by Article 5 of the constitution of 1894.

These records document the process of application for and granting of pardons or commutations of sentences by the governor. Convicts and their families, friends, and attorneys applied to have sentences reduced or terminated and, for convicted felons, to have citizenship rights restored.

Case files were usually wrapped in standard form cover sheets or, beginning in 1910, filed in standard form file folders providing name of convict; date application received; date sentenced; court; judge's name; county; crime; term of sentence; expiration of sentence; prison; and date application refused or granted and amount of commutation (e.g in years).

Case files may also contain any of the following types of documents: letters and petitions to the governor from convicts or others arguing for or against executive clemency, often giving details of the crime; copy of indictment or other court documents; printed case books detailing arguments of plaintiff and defendant; health and conduct reports from prison wardens and chaplains; correspondence from the judge, district attorney, arresting officer, and occasionally a juror involved in a case, giving their opinion as to whether executive clemency is advisable; transcripts of trial testimony or testimony before the governor; Bertillon cards providing a photograph and physical description of the prisoner; governor's commutation statement; and prisoner's statement accepting terms of release.

Some documents do not relate to any one particular case or provide information about several cases, such as correspondence from an institution to the governor regarding the status of several inmate applicants; and requests from attorneys and others for blank forms or information regarding executive clemency rules and procedures.

Finding aids: Container list.

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A0626. Executive Clemency Application Status Ledgers, 1883-1899.

4 cu. ft. (5 volumes)

Arrangement: Numerical by application number, corresponding to a chronological arrangement.

These volumes were used to track the status of applications to the governor for pardons or commutations of sentence. Volume 1 has pages labeled "Statement showing condition of applications for Executive Clemency" and overlaps in coverage with entries in volume 2. Volumes 2-5 were originally labeled J, K, L, and M and are apparently the only extant lettered volumes in this now fragmentary series. The volumes generally provide the following information (with some variations in format and inclusiveness) about the status of clemency applications: application number; date(s) of application(s); journal number and page (volumes 2-5 only; no indication of what journals are being cited); name; county; crime; court (volumes 2-5 only); date of sentence (volumes 2-5 only); term; date received at prison; date term expires; prison; disposition (pardon or commutation granted or denied and date); writ to (volume 2-5 only; no information given on type of writ; gives name of person, e.g. prison warden, to whom writ was delivered); and date of actual discharge (volumes 2-5 only).

Finding aids: Volume list.

Indexes: Series A0629, **Executive Clemency and Pardon Application Ledgers and Correspondence** (see next entry), includes index volumes providing rough alphabetical name indexes to volumes 2-5 of this series.

A0629. Executive Clemency and Pardon Application Ledgers and Correspondence, 1849-1903.

13.5 cubic feet (41 volumes)

Restrictions: Some records may be used only with permission of the governor's counsel's office.

Arrangement: Arranged by type of volume (case facts, indexes, letterbooks), then chronological.

This series consists of ledgers and correspondence maintained by the governor's office to track actions taken and decisions made regarding applications for executive clemency. Although generally referred to as "pardon ledgers," these volumes actually document various types of clemency including pardons, commutations, and restorations of citizenship rights.

Volumes A, B, and C (the location of subsequent lettered volumes is unknown) contain entries providing the facts of each crime and a chronological listing of events related to pardon or clemency applications from 1849-1854. Information provided includes name of convict; county; crime; date; term; prison; date each letter or other document received, from whom, and about what; date each action taken, e.g. wrote to district attorney for statement of case, wrote to warden of prison for statement of conduct and health; and disposition of case (if any), e.g. granted pardon (and conditions, if any), term expired, granted restoration, denied the application.

Volumes 1-9 do not include chronological listings of events but provide basic facts about cases from 1857-1884, including name of convict; county; crime; date convicted; term; prison; documents received, e.g. letter from district attorney, letter from prison superintendent, court minutes, letters and petitions from family and friends; disposition of case (if any), e.g. pardon granted and date and to whom writ sent, term expired and date, sentence commuted, pardon refused and date, died, or conditions of pardon (rare) such as must leave state or must abstain from alcohol; and pardon number (1857-1858 only).

Volumes 10-14 provide background summaries of cases from 1883-1890. Information provided includes

date; name; county; crime; term; date sentence expires; prison; by whom application made (e.g. spouse, attorneys); narrative briefly describing the facts of the crime, mitigating circumstances, character of the convict, and health and behavior in prison; and disposition of the case.

Volume 15, covering 1848-1854, consists of pages entitled "Commutations and Pardons Granted by the Governor During the Year 18__". On each page are columns for name of convict; crime; sentence; date of sentence; date of pardon or commutation; where convicted (county); and remarks, usually indicating disposition of the case, e.g. restoration of citizenship rights, conditions of pardon.

Volumes 16-21, entitled "Applications for Pardon," are actually rough alphabetical name indexes to applications from about 1857-1886 (volumes 20 and 21 have no dates). Although the exact form and content vary from volume to volume, each index includes some or all of the following types of information: name of convict; date pardon or commutation granted or refused; term expired (sometimes with date); and book and page (books "A" through "N"; these refer to a now fragmentary series of lettered volumes which comprise series A0626, **Executive Clemency Application Status Ledgers** -- see previous entry; they are not the same as the lettered volumes A, B, and C in this series).

Volume 19 also contains information on convicts released to provide military service during the Civil War, including name and rank of convict; date and number of special order; arm of service (unit); remarks, e.g. "honorably," "to receive promotion," "to accept commission in new regiment"; and on file with - usually "AG" (adjutant general) or name of an officer. Volume 20 has some names crossed out with red ink and annotated with "P" (pardon), "SE" (sentence expired), or "SC" (sentence commuted).

Volume 22 is a daily calendar of the private secretary to the governor containing brief daily entries relating to activities concerning pardon applications. Entries concern such matters as blank forms to be used in correspondence (samples attached to pages); clemency cases heard (name of convict, name of applicant for clemency); to whom restoration of citizenship forms sent; and extradition requests received (from whom, regarding whom).

Volumes 23-38 are letterpress copybooks of outgoing correspondence signed by the governor's private secretary or pardon clerk. The correspondence answers inquiries or conveys information concerning the status of particular pardon applications; procedures for applying for pardons or restorations of citizenship rights; pardons, commutations, and restorations granted or denied, and sometimes the reason; extraditions ("requisitions") requested of or by the governor; and miscellaneous appointments (volumes 23 and 24). Correspondence is manuscript until October 1884 (volume 24), at which time typescript correspondence begins to appear. Manuscript and typescript letters are mixed in the remaining volumes, with typescript correspondence appearing with increasing frequency over the years.

Finding aids: Volume list.

Indexes: Volumes A, B, C, 10-14, 23, and 24 each contain a roughly alphabetical name index.

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A0585. Restoration of Citizenship Rights Application Case Files, 1910-1923.

11 cu. ft.

Restrictions: Some records may be used only with the permission of the governor's counsel's office.

Arrangement: Very rough numerical order by file number, corresponding to a rough chronological order.

Articles I and IV of the State constitution authorize the governor to grant executive clemency to convicted criminals (Executive Law, Sections 15-19). Among the types of clemency offered is restoration of citizenship rights, by which the governor restores civil rights lost as a result of a conviction (e.g. right to vote, right to hold public office).

This series served as a central file of documentation relating to applications to the governor for restoration of citizenship rights. Documents relating to each application were kept in individual folders, on the front of each of which was recorded some or all of the following information: file number; name; prison; county; crime; court; judge; date of sentence; date received at prison; term; date term ended; date application granted or denied; to whom writ delivered (e.g. applicant, name of judge, attorney, etc.); date application presented; and by whom application presented.

Files generally contain the following types of documents: application form filled out by applicant including where born, whether naturalized if born outside the United States, criminal convictions, how employed since discharge from prison, if and when ever before applied for restoration of citizenship rights, if has any family, date, and signature of applicant; letters to the governor advocating favorable action on the application; copies of court documents relating to the conviction; copies of letters of acknowledgment from the governor's office; letter from applicant inquiring as to the status of the application; copy of cover letter from governor's office accompanying the restoration document sent to the applicant if application was approved; and letters from the applicant, family, or friends thanking the governor for granting the application.

Finding aids: Preliminary container list.

A0628. Restoration of Citizenship Rights Application Ledgers, 1857-1902.

3 cu. ft. (6 volumes)

Arrangement: Chronological by application date.

These volumes were maintained to track the status of applications to the governor for restoration of citizenship rights. Volumes 1-5 provide basic facts about each application including application number (volumes 3-5 only); journal and page (no indication of what journals are being cited) (volumes 3-5 only); date of application; name; date convicted; prison; date received in prison (volumes 3-5 only); county; crime; term; date term expires (volumes 3-5 only); commutation earned (volumes 3-5 only); date of actual discharge (volumes 3-5 only); documents submitted with application (e.g. petition from citizens, letters from individuals, court documents relating to conviction) (volume 1 only); date application granted or denied; and to whom writ forwarded (e.g. name of judge, attorney, or other individual; no information given on type of writ).

Volume 6 provides a chronological record of actions relating to individual citizenship restoration applications from February 1883 to April 1887. For each application, the volume provides application number; name; date of application; by whom application made; date application granted or denied; and date writ delivered (no information given on type of writ) and to whom.

Finding aids: Volume list.

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Indexes: Rough alphabetical name indexes in volumes 2-6.

Prison Commitment and Release and Extradition Records

A0603. Registers of Commitments to Prisons, 1842-1908.

30 cu. ft. (32 volumes)

Arrangement: Chronological by year, then arranged by prison, then chronological by month, then sometimes roughly alphabetical by convict's last name.

These registers report summary information on convicts committed to correctional institutions each month. No statute specifically required prison wardens to report this information to the governor, so it is unclear exactly why these reports were made. However, legislation of 1847 (Chapter 460, Revised Statutes Part IV, Chapter 3, Section 53, Subdivision 8) required wardens to make detailed reports to the state prison inspectors of convicts committed, and the reports in this series might have been abstracted from those detailed reports for use by the governor's office.

Information is handwritten in columns on preprinted pages which were later bound into volumes for each year. Each monthly report from each prison provides name of convict; county; crime; court; judge; date of sentence; date received at prison; term; and remarks (e.g. noting previous prison terms).

Reports are present for each of the following institutions for at least some of the years covered by the series:

- X Sing Sing Prison
- X Clinton Prison
- X Auburn Prison
- X State Prison for Women (Auburn)
- X New York Penitentiary (Blackwell's Island)
- X Kings County Penitentiary (Brooklyn)
- X Albany County Penitentiary (Albany)
- X Onondaga County Penitentiary (Syracuse)
- X Monroe County Penitentiary (Rochester)
- X Erie County Penitentiary (Buffalo)
- X State Reformatory at Elmira
- X Eastern New York Reformatory (Napanoch)
- X New York House of Refuge
- X Western House of Refuge
- X Western House of Refuge for Women

A0601. Reports of Deductions of Sentences by Prison Agents, Wardens, and Superintendents, 1863-1883.

2.5 cu. ft. (3 volumes)

Arrangement: Chronological by date of deduction or date writ mailed (beginning volume 2).

Legislation of 1862 (Chapter 417) allowed convicts in State prisons and penitentiaries to earn commutation of part of their sentence for good conduct or labor performed. A specified number of days were to be deducted from the sentence for each month served. The prison warden or superintendent was to report

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deductions monthly to the governor, who at his discretion would direct the deductions to be made.

This series consists of reports of deductions of time from prison sentences as required by legislation of 1862. For each convict listed, the reports provide the following information in columns: name of convict; county; crime; date sentenced; term; prison; date received at prison; days earned (in volume three, this column is labeled "commutation"); name of agent and warden making report; date deduction ordered; date writ mailed (rare in volume 1; consistently appears beginning in volume 2); and date received in prison (volume 3 only).

A0604. Registers of Discharges of Convicts by Commutation of Sentences, 1883-1916.

9.3 cu. ft. (25 volumes and 9 rolls)

Arrangement: Chronological by year of discharge, then by prison, then chronological by month, then by date of discharge.

Legislation of 1862 (Chapter 417) and 1874 (Chapter 451, as amended in 1879 by Chapter 373) allowed prison inmates to earn commutation of part of their sentence for good conduct or labor performed. Sentences were to be reduced by specified amounts of time for each year served (e.g. two months for the first year). Legislation of 1886 (Chapter 21) expanded upon the reporting requirements of the 1862 legislation, directing prison wardens or superintendents to report to the governor each month the convicts eligible for discharge by commutation the following month, and to indicate the reasons for withholding commutation from any convict if so recommended by prison officials. The governor would then use these reports to determine which convicts would be discharged by commutation.

This series consists of the monthly reports sent to the governor from each prison indicating convicts eligible for discharge by commutation. The governor's office bound the reports from all prisons for each year of discharge into volumes. Each monthly report from each prison provides name of convict; county; crime; court; judge; date of sentence; date received at prison; term; commutation earned; date eligible for discharge; amount of time lost for rule violations (beginning volume 10, 1894); and occasional remarks recommending increase or decrease in commutation.

Reports are present for the following institutions:

- X Sing Sing Prison
- X Auburn Prison
- X Clinton Prison
- X New York Penitentiary (Blackwell's Island)
- X Kings County Penitentiary (Brooklyn) (1883-1907 only)
- X Erie County Penitentiary (Buffalo)
- X Albany County Penitentiary (Albany)
- X Onondaga County Penitentiary (Syracuse)
- X Monroe County Penitentiary (Rochester)
- X State Asylum for Insane Criminals (Auburn)
- X State Reformatory at Elmira (for discharges in October 1883, March 1884, and 1913-1916 only)
- X Matteawan State Hospital (Fishkill) (beginning 1893)
- X State Prison for Women (Auburn) (beginning 1894)
- X Dannemora State Hospital (beginning 1901)
- X Eastern New York Reformatory (Napanoch) (1901-1906 only)

PARDONS

No reports are present for 1910-1912 discharges. Reports of discharges for 1913-1916 are not bound and are grouped according to month (e.g. June reports from all prisons for all years are grouped together).

PARDONS

Finding aids: Volume list.

B1416. **Extradition Case Files, 1940-1980 (bulk 1966-1979).**
86 cu. ft.

Arrangement: Chronological/numerical by case number.

This series consists of extradition case files of criminals in New York State for whom extradition has been requested by other states. Case files typically include:

- X original typed copy of extradition case control (index) card
- X correspondence to extradition secretary from district attorneys
- X governor of New York's warrant and authorization to return fugitive to requesting state
- X certificate of New York governor that the requisition is honored and warrant issued
- X correspondence from extradition secretary of requesting state to New York governor
- X requisition and agent's authorization of requesting governor
- X sworn statements and affidavits of prosecutors
- X credentials of officers to return fugitive

Also included in this series are card indexes to the case files. These cards are typed carbon copies of the extradition case control cards included in each case file. Each card typically includes:

- X case number
- X name
- X state and locality seeking extradition
- X crimes
- X location where fugitive is held in New York State
- X type of supporting papers in file
- X date of request
- X date request received
- X date request granted or denied
- X status of warrant: returned, withdrawn, or extradition waived
- X names of agents to return fugitive
- X other remarks which may continue on back of card

Finding aids: Container list.

Indexes: Alphabetical name card indexes included in series.

A0599. **Extradition Requisition and Mandate Registers and Blotters, 1857-1938.**
5 cu. ft. (13 volumes)

Arrangement: Chronological by date of requisition or mandate or by date granted.

This series documents the governor's responsibilities as chief executive officer of the State relating to extradition of persons to or from New York State. "Requisitions" were requests by the governor to governors of other states for extradition of persons present in those states to New York. "Mandates" were requests from governors of

other states to the governor of New York for extradition of persons present in New York to those states. The governor exercised final approval or disapproval over these mandates.

PARDONS

Volumes 1-9 are registers in which information about persons to be extradited is entered on each page case by case (volumes 1-2) or in columns on pre-printed pages (volumes 3-9). Volumes 3-9 are each divided into two sections, one for requisitions and one for mandates. With some variations, the registers generally provide the following information: date; state requesting extradition or receiving extradition requisition; name of person to be extradited; type of documentation supporting requisition or mandate (e.g. indictment, warrant, affidavit); crime; date committed (volumes 3-9); county; to whom writ sent; and date granted or, very rarely, denied (volumes 3-9).

Volume 2 also contains a section of "Reports of Agents and Wardens Under Chapter 417, Laws of 1862" providing information about convicts eligible for discharge by commutation of sentence. This record, from about 1862, is the precursor to series A0601, **Reports of Deductions of Sentences by Prison Agents, Wardens, and Superintendents** (see above, page 54), 1863-1883, and A0604, **Registers of Discharges of Convicts by Commutation of Sentences** (see above, page 55), 1883-1916, and provides the following information for each eligible convict: name; prison; date of sentence; term; and number of days of commutation earned.

Volumes 10-13 are blotters into which are pasted pre-printed slips with information filled in. The slips contain the same information on each case as do the entries in the registers. Information is present only for 1914, 1927, and 1937-1938. The location of records for other years is unknown, although it is possible that some of these blotter slips were filed in series A0608, **Blotters of Governors' Actions and Decisions** (see above, page 12).

Volume 10 was originally intended to be used to record information on extradition mandates and requisitions, pardons, commutations, restorations of citizenship rights, and other matters, but only slips regarding mandates and requisitions were actually included, and those for requisitions were later torn out of the volume, leaving only mandates. It is possible that some of these blotter slips were filed in series A0608, **Blotters of Governors' Actions and Decisions**.

Volume 11 contains slips for a small number of pardons as well as both requisitions and mandates. The pardon slips provide date sentenced, term, and prison as well as the same information provided for requisitions and mandates. They apparently all concern pardons of foreign-born convicts, since all have notations on them such as "Naturalization" or "To Prevent Deportation."

Finding aids: Volume list.

Indexes: Volumes 3-9 each contain two roughly alphabetical name indexes: one for the "requisitions" section, and one for the "mandates" section.

9. Investigations

A0531. **Investigation Case Files of Charges and Complaints Against Public Officials and Agencies, 1857-1919 (bulk 1872-1919).**

51 cu. ft.

Restrictions: Some later case files document Moreland Act investigations, records of which may not be disclosed pursuant to Executive Law Section 63.8, and may be used only with the permission of the governor's counsel's office.

Arrangement: Rough chronological order by year of complaint or investigation.

The governor's authority to investigate the conduct of public officers and to remove them from office is outlined in the State constitution and in numerous statutes. In 1813, the governor was authorized to remove the State treasurer from office for violating the duties of the office (Revised Laws, Chapter VI, Paragraph III). In 1823 (Chapter 70), the governor was authorized to recommend to the senate removal of judicial officers.

The 1821 and 1846 State constitutions provided for the removal of specified public officers by the governor, the legislature, or the senate upon the governor's recommendation. Article 10, Section 7 of the 1846 State constitution stated that "provision shall be made for the removal for misconduct" of government officers (except for legislative or judicial officers). Revised Statutes of 1846 and 1852 (Part I, Chapter 5, Title 6, various sections) provided for the removal by the governor of officers appointed by the governor as well as of specified local officers.

Statutes of 1866 (Chapter 629), 1875 (Chapter 397), and 1876 (Chapter 133) detailed the governor's responsibilities to serve various public officers with a copy of the charges against them; to investigate the charges or appoint the attorney general or another person or persons to investigate the charges; to examine witnesses; to give the officers an opportunity to defend themselves; and to remove the officers when deemed appropriate. These and other related provisions were incorporated into the Public Officers Law (Article II, Sections 22-25) in 1892 (Chapter 681). In 1909 (Chapter 51), these provisions and later statutory amendments were reworked as Article III, Sections 32-36 of the Public Officers Law (Consolidated Laws, Chapter 47).

The Executive Law (Laws of 1892, Chapter 683) was amended in 1907 (Chapter 539) by the addition of Section 7 authorizing the governor or persons appointed by him "to examine and investigate the management and affairs of any department, board, bureau, or commission of the state." Known as the Moreland Act, this provision was reworked in 1909 (Chapter 23) as Section 8 of the Executive Law (Consolidated Laws, Chapter 18). It became Section 6 of the Executive Law in 1951 (Chapter 800). (See **MORELAND ACT COMMISSIONS** below, page 71.)

This series consists primarily of correspondence, reports, transcripts of testimony, and other materials relating to investigations by the governor, or by commissioners appointed by the governor, of charges of misconduct in office or neglect of duty by State and local government agencies and officials. The records document successive governors' execution of their authority to investigate the management, operations, and affairs of government officials, agencies, and institutions.

Frequently documented in these files are investigations of county sheriffs, district attorneys, notaries public, and New York City mayors, excise commissioners, and borough presidents. Starting in the early 1900s, some files relate to issues other than charges against public officials. These issues were investigated or studied by the governor's office and were often the subject of correspondence between citizens, organizations, and the governor's office. For instance, one file contains incoming correspondence expressing strong opposition both to woman suffrage and to women in the workplace (1913).

INVESTIGATIONS

A frequent subject of investigations starting about 1907 was violation of laws prohibiting theatrical performances, baseball games, and other forms of public entertainment on Sundays. Also documented are complaints of "public nuisances," generally threats to the public health and comfort such as improper garbage or sewage disposal, areas of stagnant water, or air pollution from factories. There are also a few files regarding investigations of complaints against private firms or businesses, such as an investigation of a law firm charged with knowingly presenting falsified evidence in court (1898).

Some or all of the following types of materials can be found in each case file: correspondence from citizens and organizations complaining of misconduct, neglect of duty, or mismanagement by particular public officials, agencies, or institutions, or pleading for an official to be removed from or retained in office; governor's certificate of appointment of a commissioner (or commissioners) to investigate the charges; document specifying the charges; answer by the accused to the charges; transcripts of testimony before the governor or the investigating commissioner relating to the charges; supporting documentation (e.g. court records, financial records, magazine articles, newspaper clippings, etc.) used in carrying out the investigation or as exhibits presented during testimony; commissioner's report to the governor of findings (i.e., whether or not charges were substantiated by the evidence); and notice of removal from office of a public official found guilty of the charges.

Included in this series are files documenting investigations into:

- X charges of neglect and incompetence against James W. Eaton, Superintendent of the New Capitol, allegedly resulting in improper construction and overspending on the project to build a new State Capitol building in Albany (1875-1876)
- X charges of mismanagement at the New York State Institution for the Blind at Batavia (1877), and charges of cruelty to inmates at the institution (1894)
- X charges against Mayor Edmund Fitzgerald of Troy, accused of conspiracy to illegally and forcibly remove a city official (1885)
- X charges that the Superintendent of the Onondaga Salt Springs favored large manufacturing interests in operating the salt springs, allegedly resulting in the deterioration of the salt springs (1886)
- X charges of abuse of inmates at the State Custodial Asylum for Feeble Minded Women (Newark) (1893)
- X charges of neglect of duty against the Board of Managers of the New York State Reformatory at Elmira for failing to deal with alleged abuse of inmates by reformatory superintendent Zebulon R. Brockway (1893-1894)
- X operations of State prisons, particularly regarding prison finances and treatment of inmates (1895)
- X charges of political influence in the awarding of a new contract for magazine rifles for the New York National Guard (1896)
- X charges against the commandant of the New York State Soldiers and Sailors' Home at Bath, including improper financial and hiring practices, using political influence, excessive drinking, and abuse of inmates (1899)
- X pollution by industries along the Ausable River (1907)
- X eviction of Oneida Indians from part of their reservation (1909-1910)
- X affairs of the health officer of the Port of New York relating to conditions at the Hoffman Island quarantine station and the treatment of immigrants (1911-1912)
- X efficiency of management, accuracy of books, and overall administration and operations of several State prisons and hospitals, and specific allegations such as one that prison officials accepted gifts from contractors (1911-1912)

INVESTIGATIONS

- X inadequate bank examinations and tolerance of banking law infractions by the Banking Department (1911)
- X impact of "alien insane" on State hospitals and State finances, and how to deport them, obtain federal reimbursement for State expenses in regard to them, and prevent future immigration of individuals with a history of insanity or a likelihood to become insane (1912, 1914)
- X complaints from inmates of mental hospitals regarding their treatment (1913)
- X charges against the Banking Department by a group of depositors who believed that a bank president (Joseph G. Robin, known as the "bank wrecker") imprisoned for stealing bank funds, resulting in the bank's failure and loss of depositors' money, was actually a victim of a conspiracy among the Banking Department and powerful monied interests to close banks and acquire their assets (1913)
- X charges of illegal gambling at racetracks (1913)
- X charges against a superintendent of the Board of Elections for not adequately enforcing election laws (1914)
- X organizing a "colored regiment" of the New York National Guard (1914)
- X proposed legislation to expand custodial facilities for the "feeble-minded", and efforts to develop legislation to have such persons sterilized (1914)
- X charges by the Civil Service Reform Association that the Civil Service Commission approved an excessive amount of non-competitive appointments (1914)
- X advisability and potential usefulness of holding a constitutional convention in 1915 (1914)
- X charges of intoxication against the medical superintendent of Gowanda State Hospital, and charges of neglect of duty against its Board of Managers for failing to fire him (1914)
- X finances and records of State agricultural schools (1918)
- X management and affairs of the State Industrial Commission (1919)
- X charges against several New York County district attorneys (1894-1917), with earlier materials possibly used as reference materials for the 1917 investigation

See also **RECORDS OF GOVERNORS' COMMISSIONS AND COMMITTEES** (below, page 71 ff.) for additional records of investigations.

Indexes: Series A3218, **Alphabetic Card Index to Governors' Correspondence Files** (see above, page 22), includes several sets of cards listing charges and complaints from 1907-1920 (box 46). The cases are listed in the order of filing. Also, a photocopy of an incomplete chronological card file lists some cases in this series as well as materials from other, unspecified series.

10. Miscellaneous

13690. **Daily Scheduling Log, 1978-1983 (bulk 1979-1982).**
2 cu. ft.

Arrangement: Chronological by month, then reverse chronological by date.

This series consists of daily appointment schedules for Governor Hugh Carey from the last month of his first term through the inauguration of his successor, Governor Mario M. Cuomo. Governor Carey's staff prepared these to help the governor and themselves to track and prepare for each day's activities.

MISCELLANEOUS

One typed sheet for each day, usually entitled "Private Schedule - Governor Hugh L. Carey," provides the day and date and the following information for each event: time; type or nature of event; location; if a meeting, names of persons with whom the governor will meet; subject of meeting; and name and phone

MISCELLANEOUS

number of contact person (sometimes). Events scheduled included meetings with local, State, and national officials or with the governor's staff; speeches; hearings; bill signings; press conferences and interviews; photo sessions; taping of shows; ceremonial occasions (e.g. groundbreakings); and parties and receptions.

Occasionally filed with the daily schedules are memoranda or briefing notes from the governor's staff providing additional background information on the location or subject of the meeting or other event.

Finding aids: Container list.

A0197. Unfiled Correspondence and Other Records Relating to Appointments, Charges and Complaints Against Public Officials, Extraditions, and Proclamations, 1862-1930.

1 cu. ft.

Arrangement: Chronological by date of document.

This fragmentary series is comprised of documents removed from, or never filed into, other series of governors' records. There is no indication of when the documents were brought together, by whom, or for what purpose. Although the series was transferred from the State Comptroller's Office, there is no apparent connection between the records and that office and no indication of when, how, or why that office acquired the records.

Much of the series consists of routine appointment records, including letters recommending that specified persons be appointed or not be appointed; letters of application for positions; letters tendering resignations from positions; and commission certificates. Appointment records relate to positions such as commissioner of deeds; New York State Supreme Court justice (to fill vacancies); New York State Court of Appeals judge (to fill vacancies); loan commissioner; tax commissioner; excise commissioner; manager or trustee of a State institution; and notary public. Some of the correspondence is similar to that found in series A0612, **Appointment Correspondence Files** (see above, page 21) and may have been removed from that series and never refiled.

The series also includes other records such as documents regarding charges of misconduct and malfeasance in office against county district attorneys, similar to records found in series A0531, **Investigation Case Files of Charges and Complaints Against Public Officials and Agencies** (see above, page 58); extradition documents regarding fugitives from other states; and copies or drafts of proclamations, e.g. regarding Thanksgiving Day, France Day (April 1917 "day of welcome" for French delegation arriving after United States entry into World War I), American Indian Day (draft - May 13, 1917), and a military census (June 6, 1917) (record copies of governors' proclamations are in Department of State series 13035, **Proclamations by the Governor**).

Among the more interesting documents in this series are:

- X letter written and signed by Jacob A. Riis to Governor Charles Evans Hughes (1910) congratulating him on his appointment to the United States Supreme Court bench and making a recommendation for appointment to the position of adjutant general
- X letter to Governor Hughes from Daniel E. Sickles (1910), Civil War general and chairman of the New York Monuments Commission for the Battlefields of Gettysburg and Chattanooga, regarding a New York monument dedication ceremony on Lookout Mountain, Tennessee
- X letter from Sickles to Governor John A. Dix (1912) recommending a legislative appropriation of funds to send New York veterans of Gettysburg to visit the battlefield in 1913 for the 50-year anniversary observance

MISCELLANEOUS

- X signed oath of office of Governor Martin H. Glynn, 1913
- X letters from New York Times publisher Adolph S. Ochs and U.S. Senator Elihu Root to Governor Glynn accepting appointment to the Committee of Mercy "formed to care for the women and children made destitute" by the World War (1914)

A3359. Expense Copybooks, 1911-1923 (bulk 1917-1923).

.6 cu. ft. (3 volumes)

Arrangement: Chronological by date; judges' salary lists are chronological by month, then alphabetical by last name of judge.

This series consists of binders containing letterpress copies of lists of payments apparently made or received by the governor's office from 1917-1923. Entries generally provide date; name of person, company, or State agency; amount; and purpose of payment (e.g. mortgage tax; salary refund; common school fund; State hospitals).

The volumes also contain lists of amounts of interest earned on Canal Fund moneys in banks throughout the State. Each entry on these lists provides name of bank, location (New York, Brooklyn, Buffalo, etc.), and amount of interest earned.

Volume 3 also contains monthly lists of salaries of judges from 1911-1920. Each entry on these lists provides name of judge; court/location (e.g. Borough Hall; Chambers St. Court; Appellate Division Court House); city; and amount.

A0049. Official Tabulation and Statement of Votes, 1904.

.5 cu. ft.

Arrangement: Alphabetical by county.

This series is comprised of tabulations on oversized columnar pages showing numbers of votes for candidates for various local and statewide offices and for electors for president and vice president of the United States in the general election of November 8, 1904. They were submitted by county boards of canvassers to provide the governor with detailed information on election results. At the end of each tabulation is a statement signed by county election officials certifying that the information was accurately copied from original election records. Only Allegany, Kings, Onondaga, Richmond, Suffolk, and Washington counties are represented in this series.

Tabulations of votes for electors for president and vice president are present for Allegany, Onondaga, Richmond, Suffolk, and Washington counties. These tables list cities and towns and/or election districts down the left side. Columns with the electors' names at the top provide the number of votes for each elector in each city, town, or district.

Tabulations of votes for local and statewide offices are present for Allegany, Richmond, Suffolk, and Washington counties. Cities and towns and/or election districts are listed down the left side. Columns for each office, subdivided into narrower columns for each candidate, provide the number of votes for each candidate in each city, town, or district. In each county tabulation, vote counts for some or all of the following offices might appear: governor; lieutenant governor; secretary of state; comptroller; treasurer; attorney general; state engineer and surveyor; chief judge of court of appeals; associate judge of court of appeals; justice of supreme court; senator; district attorney; member of assembly; and member of Congress.

MISCELLANEOUS

Kings County has tabulations for senatorial elections only. Election districts are listed down the left side. For each district, the following information appears in columns: number of ballots cast on which votes were counted for any candidate for office; number of ballots cast and counted on which no vote appeared for office of senate; number of ballots on which votes were counted for office of senate; number of ballots protested as marked for identification; and total votes for office of senate.

Washington County has a separate tabulation for member of Congress. Cities and towns and election districts are listed down the left side. For each, the following information appears in columns: total number of ballots cast; number of votes for each named candidate; and number of blanks.

Washington County also has a tabulation showing results of a proposition to move the county clerk's office. Cities and towns and election districts are listed down the left side. For each, the following information appears in columns: total number of ballots cast; number of "yes" votes; number of "no" votes; and number of blanks.

A3358. Study of Impeachment Precedents and Practices in England and New York State, 191-?

.3 cu. ft. (1 volume)

This series consists of a binder containing a 300-page typed manuscript entitled, "Precedents on Impeachment." The manuscript discusses the "customs, practices and proceedings" of the English Parliament regarding impeachment and reviews the history of New York State constitutional and statutory provisions relating to impeachment. There is no indication of who prepared this work, when, or for what purpose, although it might have been related in some way to Governor William Sulzer's impeachment and removal from office in 1913.

A3356. Account Book, 1899-1904.

.3 cu. ft. (1 volume)

Arrangement: Arranged by account or fund, then chronological by date.

This volume records payments made from various accounts of the governor's office. The bulk of the volume lists payments from the following funds or accounts: contingent fund; Executive Mansion fund; postage and express accounts; apprehension of fugitives; executive clemency; publishing account; "con investigations" (no indication of what this means; this includes an entry for "Theodore Roosevelt, Albany," with no explanation of the nature of the expense or claim; the date July 7 is given, but no year is listed; it is possible this refers to money owed to Roosevelt for his services as governor from 1899-1900); notarial and clerks' expenses; account for printing State papers; and salaries.

Under each account, entries provide some or all of the following information: date; name; address; nature of claim/expense; amount; when sent to comptroller; when paid; and remarks (very rare; e.g., "void"). The balance in each fund is noted in red at least once on each page.

A partial contents listing in the front of the volume lists some of the accounts and the number of the page on which they start. Following this, a loose typed sheet entitled, "Executive Department: Statement of appropriations available for the fiscal year 1904 and 1905" lists amounts appropriated for salaries, office expenses, Executive Mansion, and other expenses and cites the law by which each appropriation was made.

MISCELLANEOUS

A4205. **Abstracts of Vouchers Certified by the Governor, 1861-1862.**

.2 cu. ft. (1 volume)

Arrangement: Arranged by type of account and therein chronological by date of voucher.

This volume contains abstracts of vouchers submitted to and certified by the governor's office between May 1861 and December 1862. Each entry usually provides date, voucher number, description, and amount. The abstracts deal with the following five distinct accounts:

Vouchers authorized by Chapter 277, Laws of 1861: The bulk of the series deals with these vouchers. This act appropriated three million dollars in order to raise and equip 30,000 men to be mustered into federal service. The act also created a military board, of which the governor was a member, which was responsible for all expenditures necessary to arm, supply, and equip the troops raised. For the most part the vouchers usually pertain to rations, bedding, eating utensils, uniforms, arms, equipment, accoutrements, and transportation costs incurred under the initial mobilization. The abstracts date from May 2, 1861 through December 13, 1862.

Vouchers authorized by Chapter 292, Laws of 1861: This statute, passed two days later than Chapter 277, appropriated an additional \$500,000 in order to provide arms and equipment to the State's militia. Expenditures made pursuant to this act could be paid only upon the certificate of the governor, lieutenant governor, and comptroller. Examples of expenditures made include the purchase of Enfield rifles, swords, cartridges, fuses, primers, artillery shells, and powder, and expenses incurred in testing cannon and powder. The abstracts date from January 7 through December 29, 1862.

Vouchers authorized by Chapter 458, Laws of 1862: This general appropriations statute appropriated \$30,000 for transportation, care, and hospital supplies for sick and wounded soldiers from New York State for which no provisions had been made by the federal government, as well as for the removal of the remains of officers slain in battle. Expenditures could be paid only after they were certified by the governor. The abstracts date from May 29, 1862 through December 31, 1862.

Vouchers authorized by General Orders #78, 1861: The fourth set of abstracts concerns vouchers turned over, for the most part, by the State's Quartermaster General's Office to the federal government for payment. The vouchers deal with expenses incurred in the organization, transportation, subsistence, and quartering of an additional 25,000 troops requested by President Lincoln on July 25, 1861. Most of these abstracts deal with expenses involving the operation and maintenance of the rendezvous camp at New York City.

Vouchers pertaining to the New York State Militia: The final set of abstracts deals with vouchers certified by Governor Edwin Morgan for expenses incurred by the State's officers, clerks, messengers, aides-de camp, secretaries, and other personnel in the military bureaucracy. The abstracts date from July 2, 1862 through December 31, 1862.

Indexes: Table of Contents and Accounts in volume.

11. Key Executive Staff

Deputy Secretary to the Governor

B1220. **Subject Files Concerning State Financial Aid for Education, 1962-1978.**
5 cu. ft.

Arrangement: Arranged by topic in no apparent order.

These files were generated by staff of the governor's office in the course of researching and making recommendations to the governor and the legislature regarding State aid for education. The files were collected and maintained by Lois Wilson, a deputy secretary to the governor and, from January 1 to July 24, 1975, the special assistant to the governor for education. Some of the files originated in the office of Edgar W. Martin, a budget examiner who handled State education aid for the Division of the Budget. The records document the work of several committees studying the issue of State education aid, as described below.

Joint Legislative Committee on School Financing (Diefendorf Committee), 1960-1963. Records concerning this committee include State aid allocation proposals, including proposed legislation; alternative State aid computation methods and formulas; cost projections; press releases regarding new State aid formulas; and a 1963 interim report proposing State Education Department control over school expenditures.

Cooperative Study of Educational Finance, 1974-1975. Representatives of the senate, assembly, State Education Department, Division of the Budget, governor's office, and Division of Equalization and Assessment studied ten major areas: alternative measures of local fiscal capacity; evaluation of provisions for handicapped aid and special services; school district enrollment declines and their impact on districts; use of State PEP (Pupil Evaluation Program) tests as a measure of pupils with special educational needs; impact of 1974 State aid increase on 1974-1975 tax rates; review of building aid formula; review of transportation aid formula; report on 1974-1975 State aid payable to school districts; examination of factors in formula for calculating State aid; and examination of BOCES (Board of Cooperative Educational Services) governance and use of shared services.

Records of this study include meeting agendas and notes; financial and statistical tabulations; federal legislative bill proposals and memoranda analyzing them; statements and press releases of State Education Commissioner Ewald B. Nyquist; and reports of findings.

Task Force on Aid to Education, 1975. Lois Wilson coordinated the work of this 30-member task force appointed by Governor Hugh L. Carey to make recommendations regarding school finance, State and New York City school governance, special education, and early childhood education. Records of this task force include the two-volume final report to the governor, and drafts of sections of the report; dissenting statements of some task force members; research materials, articles, and statistical tables (estimates of State aid, enrollment figures, property tax data, etc.) used to develop the recommendations included in the report; and drafts of the governor's statements on education and on the task force report and recommendations.

Task Force on State Aid for Elementary and Secondary Schools, 1973-1974. A small amount of records documenting the work of this task force includes findings, reports, and recommendations; "working principles" upon which development of recommendations was based; and reports on various topics (e.g. examination of the BOCES program; teacher absenteeism in New York City) by the State Office of Education Performance Review.

KEY EXECUTIVE STAFF

Finding aids: Preliminary container list provided by agency.

B1219. National Governors' Conference and Related Federal Issues Policy Development Files, 1972-1974.
7 cu. ft.

Arrangement: Arranged roughly by topic in no apparent order.

The materials in this series were compiled to prepare Governors Nelson A. Rockefeller and Malcolm Wilson and their respective staffs for the National Governors' Conference meetings in 1973 and 1974. Background materials such as articles, studies, and reports were used to inform New York State's delegation about issues to be discussed at these meetings and to help them develop and articulate the State's policy regarding those issues. At the meetings, governors and their staff from all United States states and territories discussed their policies and developed unified policies to be recommended to the federal government or to be implemented in their home states.

Among the topics of particular concern at the 1973 and 1974 National Governors' Conference meetings were the energy crisis, energy resources, and energy conservation; national health insurance; revenue sharing; educational finance; welfare and social services, including the food stamp program; and crime and public safety.

Records in the series concerning these issues include policy position papers and reports from other states and from the private sector; correspondence with executive staff from other states; technical and statistical reports, studies, and surveys on topics such as alternate energy resources and government finance; notes and memoranda among New York's executive staff discussing how to articulate the official position of the governor; background papers prepared for the New York State delegation to the National Governors' Conference meetings; minutes of National Governors' Conference Executive Committee meetings; National Governors' Conference printed bulletins and newsletters providing background and recent developments on various issues; typescripts of remarks and addresses made at the meetings; notes taken during discussion of issues at the meetings; National Governors' Conference proposed and final policy position papers; correspondence from State agency officials regarding reports of National Governors' Conference committees on various issues; draft and printed legislative bill proposals and amendments, e.g. regarding "manpower" (government assisted job training), schools and educational finance, and revenue sharing and block grants (Better Communities Act and Better Schools Act); and correspondence and memoranda among New York State officials regarding proposed federal legislation.

The series also contains Malcolm Wilson's 1974 statement to the House Ways and Means Committee regarding national health insurance; a file of documents from an Executive Chamber Conference on Teacher Effectiveness, 1973; and a workbook from a seminar on federal-state-local government relationships, 1974.

Assistant to the Governor

B1383. Correspondence and Subject Files of George B. Graves, 1922-1928.
33 cu. ft.

Arrangement: Alphabetical by topic or name of correspondent.

George B. Graves (1876-1937) served under 14 governors of New York. He was appointed private secretary to Alfred E. Smith on April 5, 1924; later, he became assistant to the governor, a position created especially for him by Governor Smith. Graves ended his 36 years of government service on December 31, 1928, coincident with Smith's retirement.

KEY EXECUTIVE STAFF

This series consists primarily of files created and maintained by George B. Graves during his service to Governor Alfred E Smith as private secretary and assistant to the governor. A small amount of material (1922-1924) dates from the time of Graves' predecessor, George Van Namee. The files consist chiefly of correspondence, telegrams, memoranda, cross references, speech material, newspaper clippings, and some printed material. These materials were routinely handled for the governor by Graves; thus there are relatively few letters signed by Governor Smith. Documents relate to all areas of the governor's responsibility and interest and include communications with local, State, and federal government officials and organizations; officials in other states; and private citizens. The files provide insight into the administration and daily workings of the governor's office as well as the public life of Alfred Smith at the time.

Correspondence includes applications for interviews and employment; requests for endorsements, autographs, and photographs; pleas for charitable contributions; requests for advice on social and economic problems which confronted the citizens of New York and the country; letters praising speeches, radio broadcasts, and statements made by Governor Smith; invitations to speak at various functions and attend dinners, ceremonial exercises, receptions, and other public functions and political gatherings; messages of confidence or congratulation; birthday and holiday greetings; and acknowledgments of gifts received. The records also reflect Smith's interest in State and national affairs of the Democratic Party and contain correspondence with party leaders, officials, and prominent political figures.

Finding aids: Folder list.

Special Assistant to the Governor for Education

14145. School Finance Meeting Background and Correspondence Files, 1973-1975.

3 cu. ft.

Arrangement: Chronological by meeting date.

The records in this series served as background materials for, or resulted from, Lois Wilson's meetings with State agency officials and representatives of school districts and educational organizations. As deputy secretary to the governor under Governor Malcolm Wilson, and then as special assistant to the governor for education under Governor Hugh L. Carey from January 1 to July 24, 1975, Lois Wilson coordinated research and development of policy recommendations concerning education, particularly regarding educational finance. These records reflect her performance of those duties.

Most of the records in this series relate to educational finance. A few files relate to other education issues such as evaluating and improving teacher effectiveness. The series includes analyses of school finance inequities and proposals for alternative State aid formulas; correspondence with educators and State agency officials regarding scheduled meetings and issues to be discussed; letters from representatives of school districts and education organizations giving position summaries or policy statements on State financial aid for education; statistical data regarding State aid; drafts of speeches to be delivered by Governor Wilson, Governor Carey, or Lois Wilson regarding education and State aid; press releases regarding actions or decisions of Governor Carey or the Board of Regents regarding State aid for education; copies or summaries of legislative bill proposals; meeting agendas; and reports on meetings held.

The series also includes copies of governor's correspondence regarding education sent to Lois Wilson for her information, as well as additional Lois Wilson correspondence regarding various education issues.

KEY EXECUTIVE STAFF

B1218. Subject Files Concerning Governor's Task Force on Equal Employment Opportunities for Women in New York State Government, 1967-1976 (bulk 1973-1974).

2 cu. ft.

Arrangement: Arranged by subject or record type (e.g. Women's Unit; clippings and publications; etc.).

The Task Force on Equal Employment Opportunities for Women in New York State Government was established by Governor Malcolm Wilson in 1973. The task force was chaired by Rhea Eckel Clark, Director of the New York State Office for the Aging. Its recommendations, published in an August 1974 report, resulted in the Governor's Executive Order Number 11 (September 24, 1974) establishing State agency guidelines to promote recruitment, training, and advancement of women in State government.

These background and research files were kept by Lois Wilson, a deputy secretary and special assistant to the governor, in carrying out her duties as a task force member. The files include materials directly related to task force activities as well as general background materials on employment discrimination against women.

The series contains rough data on the number and percentage of males and females in various job categories; annotated texts of statements made and background materials for a seminar held for agency liaisons to the task force; material concerning a meeting (December 4, 1974) of a planning committee on equal opportunity for women in local government, including lists of local government representatives invited and attending, and background material; Department of Civil Service annual reports on occupations, job status, and ethnic characteristics of the State workforce; affirmative action plans developed by the equal opportunity offices of several agencies; publications and information from the Project on the Status and Education of Women (established by the Association of American Colleges in 1971); newsletters and fact sheets from the Women's Unit, established in the governor's office in 1967; correspondence, minutes, and a 1971 interim report of the Interdepartmental Committee on Human Rights (established by executive order in 1968); International Women's Year (1975) publicity materials, press releases, clippings, and correspondence; press releases, correspondence, and other information concerning Executive Order Number 11 regarding equal opportunity for women; draft and final copies of the August 1974 Task Force interim report; and clippings, publications, regulations, and laws regarding women, the status of women in work and society in general, and equal opportunity for women and minorities.

Special Counsel to the Governor

18623. Operating Documents of the Fact-Finding Panel on the Shoreham Nuclear Power Facility, 1983.

7 cu. ft. (including 54 audio cassettes)

In April 1983, Governor Mario Cuomo appointed a Fact Finding Panel to develop objective and reliable information on the economic costs and safety of the Shoreham facility which was under construction. The panel was chaired by John H. Marburger, President of State University of New York at Stony Brook, and included 13 members representing federal, State, and county agencies, along with representatives of concerned citizens groups. Experts in aspects of nuclear technology, public health, and other areas also served on the panel. The panel issued its final report in December 1983. (See the description for series B0996, **Correspondence and Background Files**, below, page 114, for additional background on the Fact-Finding Panel.)

This series documents the work of the Shoreham Fact-Finding Panel and includes copies of materials maintained by the Special Counsel to the Governor, who had responsibility for a variety of special assigned projects. The records include audio cassettes and transcripts of public hearings and meetings held by the panel and meeting files which include attendance lists, agenda, copies of statements, and related correspondence. The remaining records

KEY EXECUTIVE STAFF

consist of documents received or collected by the panel during its activity and include reports prepared for the panel as well as other material on Shoreham and nuclear power prepared by federal, State, and local agencies, consultants, LILCO and other public utilities, the media, and citizens interest groups. These documents provided the research base for the panel's final report. Many are cited in the report and all are individually listed in an appendix of the report.

Additional records of the Fact-Finding Panel (files of panel chairman John H. Marburger) are located at the State University of New York at Stony Brook, University Libraries, Special Collections Department, Frank Melville, Jr. Memorial Library, Stony Brook, New York.

Finding aids: Document list in an appendix to the panel's published report (1983).

KEY EXECUTIVE STAFF

RECORDS OF GOVERNORS' COMMISSIONS AND COMMITTEES

MORELAND ACT COMMISSIONS

The Moreland Act was passed by the legislature and signed into law in 1907 (Chapter 539). The act was introduced by Sherman Moreland, Republican leader in the assembly, at the urging of Governor Charles Evans Hughes.

The Moreland Act, now Section 6 of the Executive Law (formerly Section 7, 1907-1909, and Section 8, 1909-1951), authorizes the governor, "either in person or by one or more persons appointed by him for the purpose, to examine and investigate the management and affairs of any department, board, bureau or commission of the state." Investigators were empowered to subpoena witnesses, administer oaths, hold hearings, and subpoena "any books or papers deemed relevant or material." Moreland Act commissions derive their power from that act and from Executive Law Section 63.8. The State Archives holds records of only a few of the many investigations conducted under the Moreland Act (see also series A0531, **Investigation Case Files of Charges and Complaints Against Public Officials and Agencies**, page 58 above).

Public hearing transcripts, press releases, published materials, and other records that have been previously available to the public or are not restricted by law are available for use. Some Moreland Act commission records may be withheld from disclosure pursuant to Executive Law Section 63.8, Civil Rights Law Section 73.8, Personal Privacy Protection Law Section 96.1.c, and Freedom of Information Law Sections 87.2.a and 87.2.b. Additional State or federal statutory or regulatory access restrictions may also apply. Series descriptions of Moreland commission records include information on access conditions for each series. Where applicable, requests for access to confidential investigatory information will be referred by the State Archives to the governor's counsel's office.

More information on the history of the Moreland Act and the commissions appointed under this legislation can be found in:

Breuer, Ernest Henry: *Moreland Act Investigations in New York: 1907-65* (The University of the State of New York, the State Education Department, 1965) (New York State Library Bibliography Bulletin 85)

Davies, Audrey M.: *Moreland Investigations in New York State* (New York Institute of Public Administration, 1936)

Missall, J. Ellsworth: *The Moreland Act: Executive Inquiry in the State of New York* (New York: King's Crown Press, 1946)

Commissioner to Examine and Investigate the Management and Affairs of the Office of the Fiscal Supervisor of State Charities, the State Board of Charities, the Sites, Buildings and Grounds Commission, the Building Improvement Commission, and the Salary Classification Commission

Governor Charles S. Whitman appointed Charles H. Strong a commissioner under the Moreland Act on November 18, 1915. Strong was to investigate charges made by John A. Kingsbury, commissioner of the New York City Department of Public Charities, in his annual report to Mayor John Purroy Mitchel, that poor conditions were allowed to persist in many private child care institutions because of the negligent supervision and inspection practices of the State Board of Charities.

MORELAND ACT COMMISSIONS

In 1916, during the course of the investigation, Edward A. Moree, an employee of the State Charities Aid Association, anonymously issued a pamphlet of reprints of news articles highly critical of conditions in children's institutions. Some Catholic clergy saw the investigation as anti-Catholic because some Catholic institutions were involved. They responded to the investigation and to the anonymous pamphlet by issuing a series of pamphlets defending the church and its children's institutions and attacking the investigation and the individuals conducting it.

At Kingsbury's request, the police tapped the phones of Reverend William B. Farrell, under whose name the pamphlets were issued, and Daniel C. Potter, believed to be the actual author. These men and Robert W. Heberd, secretary of the State Board of Charities, were suspected of illegally obstructing the investigation. Heberd later resigned from his post while the investigation was still ongoing.

Strong held hearings concerning the State Board of Charities, children's institutions, and the "Farrell pamphlets." His final report upheld Kingsbury's charges and recommended reorganizing and strengthening the State Board of Charities and having paid, full time, qualified members on the board. Mayor Mitchel had supported the investigation and, due in part to criticism by the Catholic church, was defeated in his bid for re-election.

A0017. Investigation Correspondence, Transcripts, and Printed Materials, 1915-1928 (bulk 1915-1918).

.7 cu. ft.

Restrictions: This series contains transcripts of wiretap surveillance that are confidential and may not be disclosed pursuant to provisions of the Criminal Procedure Law, Section 700.65. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by record type or topic.

This series contains Charles H. Strong's records of his investigation of the State Board of Charities and children's institutions. The series includes Governor Whitman's signed certificate of appointment of Strong as commissioner; lists of issues to consider and questions to answer in the investigation; reports on conditions in several children's institutions; anonymous Moree pamphlet of reprinted newspaper headlines and articles criticizing conditions in children's institutions; "Farrell pamphlets" criticizing the investigation and attacking the investigators as anti-Catholic; transcripts of wire-tapped telephone conversations involving persons under investigation; correspondence and memoranda concerning the wire-tapping and use of evidence so obtained; letters to Strong commending him on his investigation and report; address by Strong to the State Conference of Mayors in June, 1917 concerning the investigation and the need to reorganize the State Board of Charities; draft article about Catholic criticism of the investigation, dated 1928; brief history of the English Commissioners in Lunacy; and scrapbook of newspapers clippings and articles concerning the investigation.

Series A3156, **Hearing Transcripts of the Strong Investigation of Charges Against the State Board of Charities**, contains related records from the State Board of Charities.

Commission for Investigation of Workmen's Compensation Law Administration

In 1942, the New York City Department of Investigation, under the direction of Commissioner William B. Herlands, conducted a study of irregularities in the Workmen's Compensation Law affecting municipal employees and New York City as an employer. The investigation revealed such problems as the submission by doctors of fraudulent bills to employers and insurance companies. New York Mayor Fiorello H. LaGuardia reported these irregularities to Governor Thomas E. Dewey and requested that he order an investigation.

LaGuardia's report, combined with other reports of statewide maladministration of the Workmen's Compensation Law by the Department of Labor over many years, led Dewey to appoint a Moreland commissioner to investigate the provisions and administration of the Workmen's Compensation Law. On November 17, 1942, Dewey appointed William F. Bleakley to this position for the remaining six weeks of Dewey's term of office, and Bleakley appointed Herman T. Stichman as his counsel. On January 4, 1943, having been reelected, Dewey appointed Bleakley and Stichman as commissioners to continue the investigation.

The commissioners hired a staff of accountants, attorneys, and New York State and New York City police officers and detectives to carry out the investigation. The staff investigated hundreds of complaints of injured workers. The commission examined about 1,000 witnesses at private hearings and about 250 witnesses at public hearings, and subpoenaed and examined the records of doctors, insurance companies, and other parties involved in compensation cases. Among the charges and issues investigated by the commission were inefficient administration of the Workmen's Compensation Law by the Labor Department and appointment of political favorites, not qualified individuals, as referees; claimants virtually forced to retain Department-of-Labor-licensed representatives who were aided by a clique of lawyers to whom they paid wages, and the unequal treatment of unrepresented claimants; and illnesses and injuries not being promptly and adequately treated and money intended for such purposes being siphoned off by a "ring" of doctors, lawyers, licensed representatives, and others. For instance, doctors padded their bills and paid kickbacks to licensed representatives and lawyers in return for cases referred to them, and doctors received kickbacks from x-ray and surgical supply firms in return for referring cases to them.

The commission submitted its final report to Governor Dewey in 1944, recommending numerous legislative and regulatory changes to ensure lawful, effective administration of workers' compensation.

10997. **Research and Investigation Files, ca. 1928-1944 (bulk 1943-1944).**
34 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8; and investigation background reports on individuals that may not be disclosed pursuant to provisions of the Personal Privacy Protection Law, Section 96.1.c. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by file code referring to subject or record type.

This series contains the commission's central operational files documenting its staffing and the conduct of its investigation. The records reflect the commission's study of charges of maladministration and corruption relating to the Workmen's Compensation Law, including but not limited to political favoritism in the appointment of untrained referees; licensed representatives, whom many claimants were forced to retain to represent them, aided by a "clique" of lawyers who received payoffs from them; physicians "padding" bills and giving licensed representatives and lawyers kickbacks out of the extra money received; physicians making payoffs to persons referring compensation cases to them; physicians getting kickbacks from x-ray and medical supply firms for referring cases to them; and physicians paying kickbacks to insurance company employees to get medical bills approved.

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The records include:

- X correspondence with the governor's office, Department of Labor, Insurance Department, Attorney General's Office, attorneys, and others regarding such issues as methods of appointing compensation claim referees; medical fees charged by "impartial specialists" in compensation cases; and payments made in excess of awards granted
- X summaries of interviews and conferences with officials of the State Insurance Fund, insurance companies, workers' compensation physicians, and others
- X police reports of interviews with and investigations of compensation clients and physicians
- X correspondence with, and related police investigation reports concerning, compensation claimants complaining of unfair treatment or improper activities on the part of compensation physicians, referees, or others
- X transcripts of hearings, including testimony of physicians and of officials and employees of the State Insurance Fund, medical services firms, New York Compensation Insurance Rating Board, insurance companies, Workmen's Compensation Board, and the Department of Labor
- X police and commission reports on current investigations such as particular compensation cases; payoffs by physicians, including to Labor Department employees, to obtain compensation patients; and "ambulance chasing" by persons who would then "sell" cases to lawyers
- X staff assignment progress reports
- X data and records concerning compensation cases submitted to the commission by insurance companies, self-insurers, the Association of Casualty and Surety Executives, the State Insurance Fund, and the Labor Department
- X correspondence and reports regarding New York City Commissioner of Investigation William B. Herlands' study of irregularities in New York City compensation cases
- X memoranda of law containing attorneys' opinions on legal issues such as what actions are legal or illegal under the Workmen's Compensation Law and the extent of the Moreland commission's authority (e.g. their right to issue subpoenas duces tecum requiring submission of documents to the commission)
- X transcripts of hearings before the Industrial Board (the Labor Department entity responsible for reviewing and determining compensation claims)
- X subpoenas for individuals to appear before the commission or for records to be submitted to the commission
- X drafts and proof copies of the commission's report to Governor Dewey
- X personnel records including job application forms, letters, and resumes; information on staff hiring dates and salaries; and police investigation reports concerning some job applicants

Finding aids: Container list.

10987. **Chief Accountant's Administrative and Investigation Files, 1938-1944.**
2 cu. ft.

Restrictions: This series contains federal and State tax returns that may not be disclosed pursuant to specific statutes, and other material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by broad subject area or record type.

These records were maintained by the chief accountant of the commission to track the commission's

finances and supervise its investigation of financial activities of individuals and corporations involved with workers' compensation cases. Most of the records concern general and personnel administration, including accountants' job application forms, letters, and resumes; personnel appointment and change forms; payrolls; daily activity rosters of State troopers and detectives; accountants' case assignment schedules; budgets; tax withholding forms; travel orders and vouchers; purchase orders; information on and receipts for supplies; and paid and unpaid bills.

A small amount of records relates to financial investigations of physicians and others involved in compensation cases. These consist mainly of documents submitted to the commission under subpoena, including bank account statements; canceled checks and check stubs; federal and State tax returns; and x-ray daybooks and x-rays.

Finding aids: Container list.

B1314. Investigation Case Files and Summaries, 1942-1943.

12 cu. ft.

Restrictions: This series contains materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Numerical by case number.

The commission compiled these case files to track individual investigations of doctors, x-ray laboratories, surgical supply firms, hospitals, insurance companies, and others involved in, or transacting business with parties involved in, workers' compensation cases. The case files usually contain records subpoenaed by the commission, such as compensation medical report forms; patient medical histories, sometimes including notes on each visit; bank statements; canceled checks or check stubs; bank deposits slips; schedules of cash receipts and disbursements; and ledgers.

Additional records found in the case files may include summary schedules of insurance companies' compensation cases providing names of doctors and amounts of kickbacks received; statistical and financial schedules and summaries of patient visits, money received, and payments or kickbacks made or received; lists of kickbacks paid providing to whom paid and amount; narrative reports summarizing information from subpoenaed records and from testimony of individuals; summaries of income taxes filed; State troopers' investigation reports on questionable claims or compensation practices relating to the case being investigated; lists of "suspected" checks to be investigated, including payee, amount, date, and reason for issuance of check; and receipts for records subpoenaed by the commission.

The series also contains a small amount of material providing analysis and summary reports on individual topics of investigation, including lump sum settlements; State Insurance Fund reserves; ranking of insurance carriers on promptness of disposition of compensable cases; delays in resolution of cases appealed to the Appellate Division; charges that death cases involving large monetary claims were being disallowed and that widows were being defrauded because insurance carriers were paying doctors to find no causal relation between accidents and death; frequency of payment of awards to claimants employed by uninsured employers; and kickbacks to surgical supply and x-ray firms.

Finding aids: Container list.

B1313. Transcripts of Public Hearings, 1943-1944.

1 cu. ft.

Arrangement: Chronological by date of hearing.

These are transcripts of testimony taken by the commission at public hearings held between March 1943 and May 1944. Commissioner Herman T. Stichman opened the hearings with a statement summarizing the history of compensation legislation in New York State and outlining statements and charges made concerning administration of the Workmen's Compensation Law leading to the establishment of the commission. The hearings were being held, according to Stichman, to "reveal factors which have prevented a full measure of aid from reaching the persons the citizens of this State intended to benefit [and thus] insure a more effective functioning of future laws."

The transcripts contain testimony from individuals involved in or having close knowledge of compensation cases or compensation administration, including doctors and their employees, licensed representatives, New York State Police officers, and officials and employees of the State Insurance Fund, the New York Compensation Insurance Rating Board, the Workmen's Compensation Board, the Labor Department, x-ray laboratories, and insurance companies. Witnesses gave testimony concerning inadequacies, irregularities, and fraud in the administration of the Workmen's Compensation Law, including inadequate medical treatment, kickbacks, bribes, and other illegal or unethical activities.

B1317. Indexed Abstracts of Witness Statements, 1942-1943.

3 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by last name of subject.

This series is comprised mostly of 5" x 8" cards serving as an index to and synopsis of witness testimony, apparently from private hearings. The cards provide the following: name of subject (person about whom testimony was given); home and business address; occupation; name of witness (if other than the subject); brief summary of witness's statements (e.g. subject's payment or receipt of kickbacks; referrals of cases to or by subject); and file number (apparently citing a no longer extant series of files of witness statements).

The series also contains an unidentified set of 3" x 5" cards apparently tracking receipt from and return to the Labor Department of compensation case files. The cards provide case number, occasionally a name, and an indication (sometimes dated) that the case has arrived or been returned.

B1312. Background Files on Workers' Compensation Laws in Other States, 1937-1943.

1.5 cu. ft.

Arrangement: Alphabetical by name of state.

These are files of printed materials from 45 states and the District of Columbia. The commission used the materials to assist in developing recommendations for legislative and regulatory changes in workers' compensation administration in New York State. The series resulted from a letter sent by the commission to other states requesting copies of current workers' compensation statutes and any related surveys, reports, or other written materials.

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The series consists mainly of printed workers' compensation statutes, rules, regulations, and procedures as well as annual reports from state agencies having workers' compensation responsibilities. There are also a few policy statements and some correspondence further explaining compensation administration in some states.

Finding aids: Container list.

B1316. Press Clippings, 1942-1944.

.6 cu. ft.

Arrangement: Chronological by date of clipping.

The commission collected these newspaper and magazine articles and editorials from New York, out-of-state, and national publications to track the history and progress of the investigation. The articles concern the commission's investigation and cover such areas as irregularities in administration of the Workmen's Compensation Law, such as padding of medical bills; testimony at public hearings; and the commission's final report, recommendations, and legislative proposals. The name and date of the publication is given for each clipping.

Finding aids: Folder list.

B1315. Receipts for Records Received and Returned by the Commission, 1943-1944.

1 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by name of individual or firm whose records were submitted to commission.

These receipts track activity regarding records submitted to the commission by physicians, lawyers, medical supply companies, and other individuals and firms being investigated by the commission. Receipts for both incoming and outgoing records provide name and address of individual or firm submitting the records; quantity, type, and dates of records submitted; and date records received by commission or returned to owner. Attached to some receipts are forms authorizing return of records to their owners.

Moreland Act Commission to Study Workmen's Compensation Administration and Costs

Governor Thomas E. Dewey's executive order of September 17, 1953 appointed Archie O. Dawson head of a commission to study the cost of workers' compensation and the related operations and procedures of State agencies under the Workmen's Compensation Law. The commission's investigation included studies of insurance costs; medical costs; costs of administering workers' compensation; how New York costs compared with those of other states; reasons for New York State's higher costs; and ways to reduce costs.

The commission held public and private hearings at which presentations were made by insurance companies and associations, employer and industry associations, attorneys and legal associations, labor unions and associations, and physicians and medical associations. The commission also solicited written comments and data from physicians, the New York State Insurance Department, the New York State Insurance Fund, and the New York Compensation Insurance Rating Board.

Dawson resigned from the commission on June 14, 1954, and on July 9 Governor Dewey appointed Charles S. Hamilton to head the commission. Upon assuming office in 1955, newly-elected Governor W. Averell Harriman appointed Joseph M. Callahan to head the commission on June 30, 1955, and a new staff was hired to continue the investigation, which was completed in 1958. A number of the commission's legislative and procedural recommendations were adopted during and after the investigation, including reducing the number of compensation hearings held by the Workmen's Compensation Board.

10983. **Investigation Administration Files, 1938-1959 (bulk 1953-1958).**
21 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Organized into two subseries: 1. Commissioners Archie O. Dawson and Charles S. Hamilton's Investigation Administration Files, 1938-1955, 10 cubic feet; and 2. Commissioner Joseph M. Callahan's Investigation Administration Files, 1953-1959, 11 cubic feet. Within subseries, arranged by broad subject category, then by specific topic.

This series is the complete file documenting the commission's operations and the conduct of its investigation. Subseries 1, Commissioners Archie O. Dawson and Charles S. Hamilton's Investigation Administration Files, 1938-1955, documents the initial investigation during Governor Thomas E. Dewey's administration; Subseries 2, Commissioner Joseph M. Callahan's Investigation Administration Files, 1953-1959, documents the continuation and completion of the investigation during Governor W. Averell Harriman's administration.

Each subseries contains operational, background, and research materials including:

- X transcripts or summaries of public and private hearings, conferences, and interviews with representatives of employer groups, union organizations, bar associations, and medical associations
- X background materials concerning the Workmen's Compensation Board, including information on medical examinations, hearing procedures, insurance carrier inefficiency, specific categories of claims (e.g. for facial disfigurement, hearing loss, or back injury), and general administration
- X background materials on and data from the New York Compensation Insurance Rating Board, an association of workers' compensation insurance carriers established in 1914 to establish, maintain, and administer rules, regulations, and premium rates (for approval by the State Insurance Department) for carriers and to gather, analyze, and interpret workers' compensation statistics
- X correspondence, memoranda, and data from the State Insurance Department, the State Insurance Fund (a non-profit insurance carrier for employers with workers' compensation and disability benefits, the expenses of which are met by premium payments), employer groups such as Associated Industries of New York State and the Commerce and Industry Association of New York, self-insurers, and labor groups such as the New York State CIO Council, the American Federation of Labor, and the New York Federation of Labor
- X correspondence with physicians and medical associations concerning medical aspects of workers' compensation costs, including billing regulations, hospital charges and medical

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fees, and violations of the Workmen's Compensation Law (e.g. hospitals forcing staff physicians to "pool" their workers' compensation fees and then retaining a portion of the money before distributing the rest back to the physicians)

- X completed questionnaires from physicians regarding compensable industrial heart accidents
- X completed questionnaires from the Workmen's Compensation Board's impartial specialists regarding their handling of workers' compensation cases
- X "complaint" files of correspondence from persons complaining of not receiving workers' compensation benefits to which they felt entitled, often explaining their accidents and injuries and sometimes charging the Workmen's Compensation Board physicians and their attorneys with collusion to prevent payment of benefits
- X legislative bills and supporting memoranda regarding the Workmen's Compensation Law
- X laws, rules, and procedures relating to workers' compensation in other states
- X drafts and proofs of reports to the governor
- X press releases regarding progress of the commission's work
- X articles and clippings regarding the commission and related workers' compensation issues

Finding aids: Folder list.

Commission to Study, Examine and Investigate State Agencies in Relation to Pari-Mutuel Harness Racing

This commission was created by executive order on October 10, 1953 to investigate the operations and management of New York harness racing associations, corporations, and tracks and of the New York State Harness Racing Commission. The investigation was prompted by the August 28, 1953 murder of Thomas F. Lewis, President of Local 32-E, Building Service Employees International Union, A.F. of L. This union claimed jurisdiction over several hundred employees at Yonkers Raceway. Questionable hiring and other practices were revealed at Yonkers Raceway following Lewis' murder. This, combined with a Nassau County grand jury investigation into alleged racketeering and coercive practices of officials of unions claiming jurisdiction over Roosevelt Raceway employees, led Governor Thomas E. Dewey to promulgate the executive order appointing this commission under the Moreland Act.

The executive order specifically charged the commission to study a number of issues including ownership, concessions, and other financial interests in associations and corporations holding licenses to conduct harness racing meets at which pari-mutuel betting was conducted; whether any existing ownership was not revealed by the books of such associations and corporations; whether any public officer or other person held stock or other interest in such an association, corporation, or track for which he paid no or inadequate consideration; unlawful practices, kickbacks, extortion, or coercion relating to hiring practices at tracks; adequacy of existing laws, practices, and procedures and recommendations for new ones for the supervision of harness tracks; and distribution of pari-mutuel revenues to determine if the share taken by harness racing associations and corporations was excessive.

The commission sent questionnaires to harness racing licensees, lessors, their officers, directors, and stockholders, and other individuals and corporations with concessions at any harness racing tracks. The questionnaires required detailed, notarized information on the subjects' financial interests in harness racing. The commission also subpoenaed and examined personal, corporate, banking, and State Harness Racing Commission records; consulted informants and experts; examined witnesses at over 230 executive sessions (private hearings or interviews); examined 86 witnesses during 12 days of public hearings beginning March 1, 1954; and studied harness racing laws and procedures in other states.

In order to secure needed legislation before the 1954 harness racing season began, the commission made legislative recommendations during the course of its investigation. It also outlined its recommendations in its final report to Governor Dewey on April 30, 1954. Among the numerous recommendations adopted were placing the State Harness Racing Commission under a single, salaried director instead of three unsalaried commissioners; and increasing the State's share of the split between the State and harness racing tracks of the retained 15% of pari-mutuel revenue.

B1328. Personnel and Administration Files, 1947-1954 (bulk 1953-1954).

4 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Personal Privacy Protection Law, Section 96.1.c. or Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by topic or record type, then some files (e.g. personnel folders) alphabetical.

These records comprise the commission's central operational files documenting the staffing of the commission and the conduct of its investigation. The series includes:

- X executive order creating the commission
- X copies of outgoing correspondence to State agencies (e.g. State Harness Racing Commission, Department of Correction, State Crime Commission, Department of State) and harness racing associations and tracks requesting or acknowledging information, and to individuals indicating that answers to questionnaires were inadequate and requesting more complete answers
- X accounting statements and reports detailing the finances and earnings of harness racing tracks and associations and the New York State Harness Racing Commission
- X interoffice memoranda summarizing the financial dealings of individuals revealed by investigation of banking and other financial records
- X subpoenas for persons and records
- X lists of banks whose records are to be subpoenaed and names of persons whose banking records are being sought
- X lists of persons and corporations subpoenaed for public hearings
- X rules of procedures for public hearings
- X lists of witnesses and appearance dates
- X receipts listing records subpoenaed, records received, and records returned to their owners
- X reports on union control over hiring at harness racing tracks
- X final and interim reports on various issues studied
- X questionnaire forms and tabulations from questionnaire data
- X tabulations of dividends from harness racing associations to individuals
- X commission opinions granting licenses to various harness racing associations
- X information on laws and regulations in other states and comparisons among these states and New York (states studied were California, Delaware, Florida, Illinois, Kentucky, Maine, Maryland, Massachusetts, Michigan, New Jersey, and Ohio)
- X commission job application forms and correspondence
- X commission staff personnel files containing application forms, correspondence, and New York State Police investigation reports on employees carried out "for security purposes"
- X staff attendance and leave accrual record cards
- X staff work schedules and home address lists
- X general office procedures information

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Finding aids: Container list.

B1322. Transcripts of Public Hearings, 1953-1954.
2 cu. ft.

Restrictions: Items other than public hearing transcripts may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Chronological by date of hearing.

This series consists mainly of transcripts of testimony taken at public hearings held by the commission. Witnesses were examined at three sets of hearings conducted for three areas of investigation:

X Roosevelt Raceway program concession and the interest of a sitting Nassau County judge, Norman F. Lent, a candidate for reelection, in the printing and distribution of the programs; hearings on this matter were held October 28, 1953, and Judge Lent was among the witnesses

X waste, mismanagement, and diversion of moneys belonging to the Welfare Fund of Local 32-E, Building Service Employees' International Union, and the effects on benefits to union members, many of whom were Yonkers Raceway employees; hearings on this matter were held December 15-16, 1953

X pari-mutuel harness racing (general investigation); hearings were held March 1-6 and 8-12, 1954; among the witnesses appearing were Hamilton Fish and Elbridge T. Gerry.

The series includes the original typed transcripts of the March 1954 hearings; copies of the March hearings with corrections added; and final mimeographed transcripts of all of the hearings, organized into seven volumes (not bound). The series also contains minutes of conferences held March 23, 1954 regarding purses and racing dates at downstate tracks.

Additional items filed with this series include reports and studies on finances and stock ownership of harness racing associations; and "reception record," April 29-August 19, 1954, listing names of visitors to the commission, date, time in and out, and sometimes the purpose of the visit.

Finding aids: Container list.

Indexes: Volume VII contains a complete list of exhibits and index to witnesses in all public hearings. Series **B1327, Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff** (see next entry), indexes witnesses and exhibits in this series.

B1327. Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff, ca. 1953-1954.
1.6 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of the Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by category (e.g. returned questionnaires; multiple shareholders; testimony), then alphabetical by name of person, company, or harness racing association.

This series indexes the people and organizations examined by the commission, commission staff, and some of the records generated by the commission in the course of its investigation. The series also serves as a central reference file to names of people and organizations studied. Series indexed at least in part by this series include: B1318, **Officer, Director, and Special Stockholder Questionnaire Files** (see below, page 88); B1319, **Stockholder Questionnaire Files** (page 87); B1320, **Concessionaire Questionnaire and Exhibit Files** (page 87); B1321, **Litigation Files** (page 86); B1322, **Transcripts of Public Hearings** (above, page 81); B1323, **Investigation and Exhibit Files on Individuals** (see next entry); and B1326, **Questionnaires Returned by Individuals** (below, page 86).

Separate groups of cards index various categories of information. Each card generally provides the name and address or location of the individual, company, or harness racing association, along with some additional information depending on the category. The following categories (in the order listed here) are included in the series (cards are typed except where indicated):

- X returned questionnaires (typed and handwritten)
- X unanswered questionnaires
- X out-of-state unanswered questionnaires
- X brokers' unanswered questionnaires
- X questionnaires returned to commission for incorrect address (typed and handwritten)
- X special (one card, marked "Deceased")
- X current shareholders (individual or corporate) in Genesee-Monroe, Saratoga, Orange County, Buffalo, Nassau County, Old Country, Mid-State, and Yonkers harness racing associations
- X current and former Algam Corporation shareholders (individual and corporate)
- X multiple shareholders (held shares in more than one harness racing association)
- X former shareholders (except for Algam Corporation) (about one-third of these are handwritten)
- X multiple shareholders (handwritten cards upon which typed cards (listed above under "multiple shareholders) are based, but information is not exactly duplicated)
- X present stockholders in Mid-State Raceway, Inc. (handwritten and typed)
- X original stockholders (original issue stock) in Mid-State Raceway (handwritten)
- X concessions held from Mid-State Raceway (handwritten)
- X stockholders in all harness racing associations (incomplete: very few cards for H-Z)
- X raceways (handwritten)
- X licensees (harness racing associations) (handwritten)
- X lessors (track owners leasing to a harness racing association) (handwritten)
- X owners - not lessors (handwritten)
- X former licensees (handwritten)
- X former owners (no cards in this category)
- X former lessors (handwritten)
- X officers, directors, and special stockholders of lessors or licensees (handwritten)
- X contractors (companies responsible for construction and related work at tracks; it is unclear if these cards refer to their stockholders) (handwritten)
- X concessionaires (handwritten)
- X testimony (persons who testified before the commission in public or private hearings)
- X general personal and corporate name index to commission records
- X witnesses at private hearings
- X commission staff

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Finding aids: Container list.

B1323. Investigation and Exhibit Files on Individuals, 1933-1954 (bulk 1953-1954).

6 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8; investigation background reports on individuals that may not be disclosed pursuant to provisions of Personal Privacy Protection Law, Section 96.1.c., and grand jury minutes and federal and State tax returns that may not be disclosed pursuant to specific statutes. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by last name of individual investigated.

This series consists of background information and supporting documentation compiled by the commission during its investigation of individuals with financial interests or other involvement in harness racing associations. The bulk of the series consists of investigation files on individuals. These files vary greatly in size and content but may contain such records as:

- X investigation reports from the New York State Police to the commission providing personal information including name and alias; residential and business addresses and phone numbers; occupation and employment history; date and place of birth; physical description; parents' names, addresses, and occupations; former addresses; education (schools, dates, degrees); marital status; military service; criminal record; credit rating; and list of newspaper articles about the individual
- X completed questionnaires providing detailed information on the nature and extent of the individual's financial interests in harness racing associations
- X grand jury minutes involving the individual
- X schedules and lists of dividends paid by harness racing associations to the individual
- X stock acquisition and transfer lists and charts
- X chronology of the individual's financial transactions
- X State and federal income tax returns
- X lists and copies of canceled checks, financial records, correspondence, legal documents, and other materials turned over to the commission
- X interoffice memoranda reporting on the individual's financial interests and transactions
- X summary of individual's testimony
- X outline of examination (information to be requested at hearing)

A few files at the beginning of the series are exhibits presented at the March 1954 public hearings. These are accompanied by a register listing the name of the witness and date of testimony during which each exhibit was presented. The exhibits include charts, tables, graphs, and schedules indicating harness racing association investors, how much invested, number of shares of stock, amount invested in bonds, and related information; lease of track by owner-lessor to licensee, and related agreements; transcripts of executive session (private hearing) testimony from which portions were read at public hearings; correspondence between persons and associations with financial interests in harness racing; criminal/arrest records with mug shots; canceled checks; and news articles. In addition, there are a few exhibits from executive session hearings held in October 1953.

Finding aids: Container list.

Indexes: Series B1327, **Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff** (see previous entry), indexes this series in part.

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10998. **Investigation and Exhibit Files on Corporations, ca. 1936-1957 (bulk 1953-1954).**
32 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8; investigation background reports on individuals that may not be disclosed pursuant to provisions of the Personal Privacy Protection Law, Section 96.1.c.; and grand jury minutes and federal and State tax returns that may not be disclosed pursuant to specific statutes. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by name of corporation.

This series consists of background information and supporting documentation compiled by the commission during its investigation of harness track owners and the associations licensed by the New York State Harness Racing Commission to conduct pari-mutuel harness racing. Associations and tracks investigated were:

- X Old Country Trotting Association
- X Roosevelt Raceway
- X Nassau Trotting Association
- X Yonkers Trotting Association
- X Yonkers Raceway
- X Goshen Good Time Park
- X Orange County Driving Park Association
- X Historic Half Mile Track, Goshen
- X Saratoga Harness Racing Association
- X Saratoga Raceway
- X Mid-State Raceway
- X Vernon Downs
- X Genesee-Monroe Racing Association
- X Batavia Downs
- X Buffalo Trotting Association
- X Hamburg

Operations and management of these licensees and lessors were examined from the time they began operations. The commission traced stock ownership, studied financial records, and questioned witnesses in over 230 executive sessions (private hearings or interviews) at which the financial records, tax returns, bank and brokerage statements, and other records of witnesses were examined. Confidential investigations and consultations with witnesses and experts were also conducted.

These activities resulted in files documenting the operations and finances of harness racing associations and track owners. Records for each association may include:

- X correspondence, including letters to Governor Dewey or the commission charging various association officers with criminal or corrupt practices, petitions and letters approving of or opposing harness racing in various locations, and routine correspondence and memoranda
- X lists of stockholders with number of shares owned, date acquired, price per share, beneficial owner(s), from whom acquired, to whom transferred, number and price of shares transferred, and date transferred

- X dividend tabulations for individual stockholders
- X investigation reports on individual stockholders
- X completed questionnaires for associations, individual stockholders, and officers providing detailed information about the nature and extent of their financial interests in harness racing

- X stock and debenture charts showing owners and number of shares or amount of interest in corporation
- X transcripts of license application hearings
- X commission's recommendations regarding licensing of and stock ownership in associations
- X exhibits submitted to the commission by associations

The series also contains several small groups of related files. These are:

- X stockholder files (no indication of why separate files were kept for these particular stockholders) including questionnaires, stock dividend and interest schedules, and stock acquisition and transfer data
- X general investigation and administration files including investigation plans and procedures, investigation reports, summaries of testimony in commission hearings, summaries of bills introduced in the legislature resulting from the commission's investigation and recommendations, and other records
- X Landis files: these are records relating to public hearings held before James M. Landis regarding charges of incompetence against New York State Harness Racing Commissioner George P. Monaghan by United States Trotting Association officials in 1957

Finding aids: Container list, folder list.

B1325. Investigation and Bill Files of the Joint Legislative Commission to Study the Pari-Mutuel System, 1939-1944.

2 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by topic or record type (e.g. bill files; jockey clubs). Bill files are chronological by year, then by house (senate or assembly), then numerical by introductory number of bill.

The Commission to Study, Examine and Investigate State Agencies in Relation to Pari-Mutuel Harness Racing (Moreland Commission on Harness Racing) used these records of the joint legislative commission as background and reference materials. The joint legislative commission, created by a joint resolution of the legislature in February 1940, studied New York's pari-mutuel system and submitted to the legislature recommendations for revised and new legislation regarding racing. Several legislators conducting the joint legislative commission inquiry were subjects of the Moreland Commission's investigation a decade later.

Most of the series concerns proposed legislation introduced at the request of the joint legislative commission between 1940 and 1943. Bill files contain the printed bill and an accompanying summary sheet providing introductory number; by whom introduced; subject of bill; committee to which referred; printed bill number; and Assembly or Senate Journal statement of action(s) taken on bill, with date and page references to Journal. There are also chronological summaries of legislation introduced each year.

The series also contains investigation and background materials on jockey clubs (corporations licensed by the New York State Harness Racing Commission to conduct pari-mutuel racing) concerning payments made to legislators; if legislators owned stock or had any other interest in the corporations; and other related issues and irregularities. The joint legislative commission studied the minutes, financial records, correspondence, and other records of the corporations and compiled files containing background information on the corporations and their financial operations;

rough financial schedules; notes taken from correspondence, minutes, and other records; and background information on individuals connected with the corporations.

There are also newspaper articles and abstracts of articles (1939-1943) regarding racing and criminal activities or corruption connected with racing, and reports on the sources of information in the articles. The series also contains a small amount of material concerning a 1944 investigation of the financial practices of the joint legislative commission.

Finding aids: Container list.

B1321. Litigation Files, 1953-1954.

3 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Chronological by date of first court action in each case.

This series consists of legal documents and related records compiled by the commission during the course of litigation initiated by persons and corporations upon whom the commission had served subpoenas. The plaintiffs filed the court actions to quash or limit the subpoenas.

The bulk of the series is comprised of files of legal documents for each case, including show cause orders requiring the commission to show why the subpoenas should not be quashed or limited; appellant's and respondent's briefs, depositions, and affidavits; memoranda of law by litigants summarizing the facts of the case and their arguments based on the law; notices of entry and filing of court orders; other legal documents; and related records such as tabulations of stock dividends received from harness racing associations and excerpts from association minutes, questionnaires, and contracts.

The series also includes correspondence between the commission and a supreme court justice regarding the need for an additional special term to settle pending litigation; court orders for transcripts of grand jury minutes relevant to the commission's case; and opinion of supreme court justices (January 12 and 19, 1954) denying the plaintiffs' motions.

Finding aids: Container list.

Indexes: Docket book indexes most cases by name of plaintiff.

B1326. Questionnaires Returned by Individuals, 1953.

1 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by last name of respondent.

The commission collected these completed questionnaires in order to compile information on financial interests in and business dealings with harness racing associations. The questionnaires required highly detailed

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information about individuals' stock and bond holdings and other financial interests or business connections with harness racing licensees, lessors, concessionaires, and contractors. A detailed series description outlining the full level of information required on these questionnaires is available from the State Archives.

The series also contains a small number of handwritten stock ownership charts.

Indexes: Series B1327, **Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff** (see above, page 81), indexes this series.

B1320. Concessionaire Questionnaire and Exhibit Files, 1932-1954 (bulk 1953-1954).

8 cu. ft.

Restrictions: This series contains federal and State tax returns that may not be disclosed pursuant to specific statutes.

Arrangement: Alphabetical by name of concessionaire.

The commission collected these completed questionnaires in order to collect information on financial and business dealings between harness racing associations and corporations holding concessions from such associations. The questionnaires required highly detailed background and financial information from concessionaires (suppliers of programs, food, souvenirs, parking, or other goods or services), including the attachment of relevant documentation. A detailed series description outlining the full level of information required on these questionnaires is available from the State Archives.

The questionnaire files often contain a small amount of correspondence relating to the questionnaire. The series also contains a small number of investigation reports concerning individuals and firms investigated by the commission.

Finding aids: Container list.

Indexes: Series B1327, **Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff** (see above, page 81), indexes this series.

B1319. Stockholder Questionnaire Files, 1953-1954.

6 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by last name of respondent.

The commission collected these completed stockholder questionnaires in order to compile information on stock and bond holdings and transactions in harness racing associations. The questionnaires require detailed information about individuals' acquisition of, income from, and transfer of stock and bonds in harness racing licensees, lessors, former owners, concessionaires, and contractors. A detailed series description outlining the full level of information required on these questionnaires is available from the State Archives. The series also contains lists of stockholders in harness racing associations.

Finding aids: Container list.

Indexes: Series B1327, **Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff** (see above, page 81), indexes this series.

B1318. Officer, Director, and Special Stockholder Questionnaire Files, 1953-1954.

4 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Alphabetical by last name of respondent.

The commission collected these completed questionnaires in order to compile highly detailed information on financial interests in and business dealings with harness racing associations. The questionnaires were answered by officers and directors of harness racing licensees, lessors, concessionaires, and contractors and by holders of significant amounts of stock, voting stock, or bonds in such corporations. A detailed series description outlining the full level of information required on these questionnaires is available from the State Archives.

The series also contains copies of outgoing correspondence and a small amount of incoming correspondence concerning incomplete, inaccurate, or unreturned questionnaires; and undeliverable questionnaires (addressee deceased).

Finding aids: Container list.

Indexes: Series B1327, **Card Indexes to Harness Racing Associations and Stockholders, Witnesses, and Commission Records and Staff** (see above, page 81), indexes this series.

B1324. Press Clippings File, 1953-1954.

3 cu. ft.

Arrangement: Arranged by topic, then chronological by date; there are also some chronological files (no topic assigned).

The commission maintained files of newspaper and magazine articles on harness racing, harness tracks, and the work of the commission in order to track its investigation and for use as an additional source of information for its investigation. The writers of some news articles were questioned by the commission as to the sources of information in the articles. The clippings concern State officials connected with the investigation or suspected of improper practices related to pari-mutuel harness racing; harness racing association stockholders, officers, union leaders, and others suspected of improper financial practices or other illegal activities; and charges against and investigations of particular harness tracks. The series also contains a set of the commission's press releases concerning its investigation.

Moreland Commission Bingo Control Inquiry

Governor Nelson A. Rockefeller established the Moreland Commission Bingo Control Inquiry by executive order on May 16, 1961. The commission was appointed after State Investigation Commission hearings held in April

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and May, 1961 in New York City revealed numerous instances of abuses, corruption, and violations of law in the conduct of bingo games. The commission was directed to investigate all phases of bingo in New York State as provided for by Chapters 853 and 854 of the Laws of 1957 (as amended) and to recommend statutory changes needed to eliminate abuses.

The commission conducted investigations in New York City, Buffalo, Syracuse, Rochester, Utica, and rural communities in 19 counties. Sixty-three witnesses were examined in executive sessions (private hearings or interviews) of the commission. The commission also examined the books and records of organizations authorized to conduct bingo games, proprietors of premises rented by authorized organizations for the games, and manufacturers and distributors of bingo equipment. Near the end of its investigation, the commission held public hearings in New York City, Buffalo, Syracuse, and Utica.

Among the commission's findings were that professional gamblers had bribed employees of the State Lottery Control Commission and municipal employees; veterans' and religious groups had been organized as fronts for bingo games and the funds meant to benefit religious, charitable, and civic causes had been diverted for personal gain; State Lottery Control Commission members had close ties to licensees, suppliers, and commercial hall operators, creating a conflict of interest; municipal investigation and enforcement efforts were minimal; and license fees were inadequate to cover all costs of supervising and investigating the conduct of bingo games.

In its final report dated February 1, 1962, the commission made twenty-five recommendations, including amendments to the bingo control and licensing laws. Among the recommendations were to reorganize the State Lottery Control Commission and establish strict eligibility requirements to reduce opportunities for conflict of interest; give the State Lottery Control Commission specific authority to investigate violations and evasions of the licensing law, rules, and regulations; direct the State Lottery Control Commission to investigate all new licenses and give it enforcement powers over municipalities; municipalities should perform supervisory and investigatory functions conscientiously; license fees should be sufficient to cover all State and local administrative costs; licensees should exercise stricter self-policing methods to prevent misappropriation of the cash handle of their bingo operations; bingo suppliers should be licensed by the State; and the "lawful purposes" to which bingo proceeds may be applied should be clarified.

10986. Public Hearing and Report Files, 1943-1962 (bulk 1961-1962).

3 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by type of record (exhibits, transcripts, reports); exhibits are numerical by exhibit number.

This series contains transcripts of public hearings held by the commission to present to the public some of the information obtained during its investigation. The series includes the exhibits accepted into evidence during the hearings. The commission submitted these transcripts and exhibits to the governor along with their final report, which is also included in the series.

Public hearing witnesses testifying about the organization and conduct of bingo games included State Lottery Control Commission investigators; State Investigation Commission investigators; district attorneys and assistant district attorneys; local government officials, including those with licensing responsibilities; lessors of premises used for games; bingo game operators; and manufacturers and distributors of bingo equipment.

Exhibits presented at the hearings included minutes of State Investigation Commission hearings of April-May 1961; State Investigation Commission report on bingo operations, December 1961; annual reports of the State Lottery Control Commission; financial records of organizations involved in supplying, organizing, or conducting bingo games; police records of individuals involved in supplying, organizing, or conducting bingo games; investigation reports describing procedures at particular bingo games; and the commission's proposed legislative amendments.

Finding aids: Container list; item list of exhibits.

Moreland Commission on Welfare

Spurred by the loss of public confidence in public welfare objectives and programs and the lack of understanding of facts relating to aid, care, and support of the needy, Governor Nelson A. Rockefeller appointed the 11-member Moreland Commission on Welfare on August 30, 1961. The commission was directed to study and make recommendations concerning laws, practices, procedures, costs, and organization of public welfare programs.

The commission focused its study on the area of greatest public concern: public assistance programs, and in particular their costs; chronic dependency; "chiseling"; and "immorality" of certain recipients. To carry out its investigation, the commission studied reports and analyses of public welfare; visited local welfare offices throughout New York State; and interviewed public welfare experts.

The commission also held public hearings on September 11-13, 1962 to hear opinions concerning organization of State Board of Social Welfare; qualifications of local welfare officials and employees; public welfare programs and operations (e.g. work relief; voucher payments; welfare fraud); public reaction to public welfare; and the economic climate (e.g. relationship between caseloads and employment levels). Among the witnesses testifying at the public hearings were State agency officials; welfare workers; policy makers of private welfare agencies; representatives of organized labor; and professors and other welfare experts.

The commission submitted its report to Governor Rockefeller on January 15, 1963. Among the recommendations in the commission's report were that the State Department of Social Welfare should cooperate with the State University of New York and private institutions to develop undergraduate and graduate public welfare or public social service programs; all public assistance applicants should be thoroughly evaluated and an appropriate plan of services scheduled for each; establishment of qualification standards for local welfare commissioners; combine positions of Chair of Board of Social Welfare and Commissioner of Department of Social Welfare, and make the position a full time paid position; and the Board of Social Welfare should evaluate its current programs to see if any could be more effectively carried out by other government agencies.

10991. **Correspondence and Subject Files, 1961-1963.**
5 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Grouped by type of record (administrative files, correspondence, reports), then alphabetical.

This series is the complete file documenting the commission's operations and the conduct of its investigation. The series includes:

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X administrative files containing budget and expenditure data; drafts of the commission's report; correspondence with and reports of consultants regarding public assistance program administration; minutes of commission's monthly meetings; summaries of possible principal areas of study; press releases; written statements submitted to commission before public hearings; transcripts of public hearings held September 11-13, 1962; and printed bills introduced in State legislature and U.S. Senate and House of Representatives in 1962 concerning such matters as home relief, medical care for the aged, aid to dependent children, day care, and welfare fraud.

X correspondence files containing correspondence with the governor's office, public and private social welfare officers, civic groups, and citizens, mostly concerning routine matters but sometimes including reports and addresses on public welfare program administration and related materials.

X studies, reports, statistics, and articles regarding public assistance by social welfare organizations and experts in New York and other states.

Finding aids: Folder list.

Moreland Commission on the Alcoholic Beverage Control Law

Governor Nelson A. Rockefeller appointed this commission on February 15, 1963 following recurring charges of corruption in enforcement of the Alcoholic Beverage Control Law lodged against several members of the State Liquor Authority. Critics charged, for instance, that although competition for the limited allowed number of liquor store locations was intense, there was no standard for selecting who was chosen to get a site, which encouraged favoritism and bribery in the awarding of locations. Governor Rockefeller directed the commission to study and evaluate laws regarding the sale and distribution of alcoholic beverages in New York State and to propose any necessary revisions in the law.

Under the direction of Chairman Lawrence E. Walsh, a former federal judge, the commission hired lawyers and economists and contracted with others to conduct studies; conferred with present and past chairs of the State Liquor Authority; conferred with members of the Joint Legislative Committee to Study the Alcoholic Beverage Control Law; received comments from liquor trade associations, police departments, and other interested parties; issued several reports, e.g. "The Licensing and Regulation of Retail Package Liquor Stores", "The Food Requirements in Bars and Grills", and "Mandatory Resale Price Maintenance"; and held public hearings to discuss issues raised in the commission's reports and studies.

Upon concluding its investigation, the commission made a number of recommendations, including eliminating the law under which distillers fix minimum prices on liquor in New York State; revising the law to permit open competition in the number, location, and type of liquor stores; allowing packaged liquor sales in shopping centers and chain stores; creating tavern-type liquor licenses for bars and grills with much more lenient or no requirement for the serving of food; and licensing persons, not sites, and granting licenses to all qualified applicants.

The regular legislative session adjourned on March 27, 1964 with none of the proposed legislation having been passed. As a result, Governor Rockefeller called the legislature back for a special session beginning April 15, and significant legislative reforms were enacted at this session.

B1310. Subject and Correspondence Files, 1933-1964 (bulk 1963-1964).

7 cu. ft.

Restrictions: This series contains investigation background reports on individuals that may not be disclosed pursuant to the provisions of Personal Privacy Protection Law, Section 96.1.c; and tax returns that may not be disclosed pursuant to specific statutes. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by subject or type of record.

This series documents the staffing and general administration of the commission's investigation, reflecting its study of charges of favoritism and corruption in the State Liquor Authority's enforcement of the Alcoholic Beverage Control Law.

The series includes:

- X correspondence with liquor dealers' associations, restaurant and store owners and managers, hotel and restaurant associations, police associations, religious associations, State and local government officials, attorneys, and others concerning charges against establishments of illegal practices relating to sale of liquor; opinions in favor of or opposing the commission's recommendations, such as the recommendation to permit sale of liquor in grocery stores; requests for time to testify and invitations to testify at public hearings; and suggested legislative and regulatory changes
- X records concerning the State Liquor Authority, including recommendations and legislative proposals for reorganization of the authority; correspondence with the authority concerning its operations and its administration of the Liquor Law; memoranda regarding civil service status of various State Liquor Authority positions, with a view toward reorganization and elimination of some positions; memoranda regarding authority operations, policies, and procedures, such as those relating to removal of liquor stores to locations other than those for which the license was originally granted; and State Liquor Authority bulletins and divisional orders promulgating regulations, for instance those regarding packaging of alcoholic beverages, price controls and schedules, and filing of license applications
- X records concerning local Alcoholic Beverage Control Boards, including memoranda regarding local boards' policies and procedures, such as those for processing license applications; and commission recommendations for elimination of local boards; and police data on alcohol- related cases in New York State, New York City, and other cities
- X attorney general's opinions on the meaning and intent of various provisions of the Liquor Law, such as whether, if a liquor wholesale corporation officer, director, or stockholder is elected to local office, the corporation is thereby disqualified from holding the license
- X supreme court grand jury indictments against State Liquor Authority officials and employees, including an allegedly false tax return filed by one of the indicted individuals
- X proposed 1964 legislation and comments thereon submitted by the Moreland commission to the Governor's Counsel and the Joint Legislative Committee for the Study of the Alcoholic Beverage Control Law
- X previous legislation and legislative proposals
- X reports on previous investigations of the State Liquor Authority and the Alcoholic Beverage Control Law
- X memoranda, reports, and legislative proposals regarding enforcement provisions of the Alcoholic Beverage Control Law

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X general statistical information on liquor store ownership, locations, and licensing

- X statements made by representatives of associations of liquor dealers, restaurants, hotels, and others at public hearings held by the Joint Legislative Committee for the Study of the Alcoholic Beverage Control Law and the Senate and Assembly Excise Committees
- X liquor industry comments on Moreland commission recommendations, mostly opposing the recommendations
- X correspondence with the Rutgers Center for Alcohol Studies regarding problems relating to alcohol sales and consumption
- X reports on alcoholism and approaches to alcoholism treatment programs in New York State, other states, and other countries
- X Moreland commission legal memoranda summarizing and interpreting various sections of laws concerning alcoholic beverages
- X questionnaires completed by police departments of various cities and towns in New York indicating problems and giving suggestions regarding violations of the Liquor Law such as sales to minors and gambling on licensed premises
- X investigation plans and procedures
- X statements of attorneys, legislators, licensees, State officials, liquor dealers' associations, and others, some prepared for presentation at public hearings, expressing opinions on and recommendations for alcoholic beverage control legislation
- X laws, hearing statements, and memoranda regarding federal and state (outside of New York) alcoholic beverage control
- X financial, operating, and policy information from distillers
- X public hearing exhibits, such as minutes of State Liquor Authority meetings and tabulations of licensing statistics
- X commission personnel records including resumes, completed job application forms, and New York State Police background investigation reports on applicants

Finding aids: Container list.

B1305. Transcripts of Public Hearings, 1963.

1 cu. ft.

Arrangement: Chronological by date of hearing.

This series consists mainly of transcripts of testimony taken by the commission at public hearings in New York City, Buffalo, and Albany. Also included are abstracts of witness testimony and written statements submitted by some witnesses at the New York City and Buffalo hearings. The hearings were held to gather facts and opinions on issues dealt with in studies completed for the commission, including whether to continue the moratorium preventing licensing of new retail package stores; whether to continue current distance requirements between package stores; whether sale of liquor by the bottle should only be in specialized stores; whether to continue the State policy of compulsory retail price maintenance; and whether to continue the food requirement in bars and grills.

Persons with an interest in or expert knowledge of alcoholic beverage control policy or related issues testified at the hearings. Witnesses included State Liquor Authority officials; other State officials; local Alcoholic Beverage Control board officials; alcoholic beverage control officials from other states; trade association representatives; liquor retailers; restaurant and bar owners; economists; sociologists; and clergy.

Finding aids: Volume list.

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Indexes: Volumes 1-4 each contain a list of witnesses and the page number on which their testimony begins.

B1308. Transcripts of Public Hearings of the Joint Legislative Committee to Study the Alcoholic Beverage Control Law, 1962.

.6 cu. ft.

Arrangement: Chronological by date of hearing.

The commission conferred with members of the Joint Legislative Committee to Study the Alcoholic Beverage Control Law and studied transcripts of its public hearings to gather information and opinions on needed legislative reforms. This series consists of the joint legislative committee's hearing transcripts. The joint legislative committee, established in 1960, conducted these hearings as part of its charge to study the Alcoholic Beverage Control Law and the rules and regulations of the State Liquor Authority.

Most hearings focussed on the advisability of raising the minimum drinking age from 18 to 21. One hearing included discussion of the drinking age as well as a number of other bills the joint legislative committee was considering recommending to the legislature, such as increasing the limit on the quantity of wine or liquor that could be sold at one time by retail wine and liquor package stores; eliminating the requirement that food be served where alcoholic beverages are served; and providing for temporary beer permits good for up to seven days instead of the existing 24-hour limit.

Witnesses at the hearings included trade association representatives; attorneys; local Alcoholic Beverage Control Board officials; psychologists; clergy; State and federal legislators; judges; district attorneys and prosecutors; and police officers.

Finding aids: Volume list.

Indexes: Volumes 2-6 each have either an alphabetical or chronological list of witnesses with page number on which testimony begins.

B1311. Investigation Files, 1945-1964 (bulk 1962-1964).

6.5 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8; and personal background information on individuals that may not be disclosed pursuant to provisions of the Personal Privacy Protection Law, Section 96.1.c. Requests for access will be referred to the governor's counsel's office.

Arrangement: Check forms are grouped by county; case files are alphabetical by name of licensee.

The commission compiled these files to track its investigation of violations of the Alcoholic Beverage Control Law by liquor licensees, their employees, and others. Many of the copies of documents and data in these files were gathered from files of the State Liquor Authority.

The series includes:

- X "check form[s] for examination of package store removals" containing information on licensees applying for change in location specified by their liquor store licenses, providing license application

- background; licensee's license history, including any violations or complaints on current or prior license(s); reasons for wanting removal; objections of neighboring licensees in proposed new location; whether local Alcoholic Beverage Control Board approved or disapproved the application, and why; State Liquor Authority actions on the application (e.g. interviews held; application granted or denied); and remarks concerning any unusual materials found in the files
- X summary reports of investigations of licensed premises by State Liquor Authority investigators, compiled from State Liquor Authority files, describing the physical facility, type of clientele, any violations (e.g. "sales to intoxicateds," "solicitation for immoral purposes," "lewd and indecent acts"), how licensee financed the business, and any criminal record of the licensee
 - X investigation case files including license history (application dates, approvals, denials, violations, revocations, etc.); licensee employment record; personal history; financial statements; corporate report (corporate organization, stock issued, indebtedness, etc.); investigation report describing the neighborhood, premises (exterior and interior), bar, kitchen, and any police record of the premises; deposition by applicant stating why "public convenience and advantage will be served by the granting" of a license; correspondence from rejected applicants requesting a hearing and giving reasons why license should be approved; Division of Alcoholic Beverage Control violation and warning notices to establishments citing violations of specified sections of the Alcoholic Beverage Control Law; police memoranda reporting arrests made at licensed premises, and related Division of Alcoholic Beverage Control investigation reports concerning arrest incidents; and transcripts of State Liquor Authority hearings to review disapproval of license applications
 - X investigation files regarding investigation of suspicious financial practices relating to granting of license applications and license removal applications, including transcripts of testimony before the commission by subjects of the investigation; copies of financial records; and memoranda describing financial transactions

Finding aids: Container list.

10990. Questionnaire and Interview Files, 1963-1964.

11 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by topic or type of record (e.g. transcripts of interviews, police department questionnaires), then alphabetical by name of person, firm, organization, or geographic location.

The commission compiled these records in the process of gathering opinions and comments on the Alcoholic Beverage Control Law from interested parties. The series includes questionnaires completed by and transcripts of interviews with licensees; liquor trade association representatives (e.g. hotel associations, liquor wholesalers' associations, package store associations); State Liquor Authority officials; liquor manufacturers and distributors; local Alcoholic Beverage Control Board officials; police department officials; and field experts such as sociologists and economists.

The questionnaires provide name and address of individual, firm, or organization; type of business; type of license applied for, if granted or denied, and date; specific complaints about present Alcoholic Beverage Control Law; and whether respondent requests an interview with the commission. For some individuals interviewed by the commission, there are also interview sheets with more specific questions; interviewees' responses were written on these

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sheets by commission staff conducting the interviews.

The series also contains petitions signed by liquor store owners urging that the commission not recommend lifting limits on the number of licenses allowed or removing price controls; lists of trade associations; and lists of interviewees.

Finding aids: Container list.

B1309. Background Files on Alcoholic Beverage Regulation in Other States, 1957-1964.

4.5 cu. ft.

Arrangement: Alphabetical by name of state or other jurisdiction.

These are files of printed materials on alcoholic beverage control from all 49 other states. The commission used these materials to assist in developing recommendations for legislative and regulatory changes in alcoholic beverage control administration in New York State. The series resulted from a June 1963 letter sent by the commission to liquor control agencies in other states requesting information on liquor control in those states.

Files for each state typically contain annual reports of the alcoholic beverage control agency; laws, rules, and regulations regarding alcoholic beverage control administration; trade journals; and price lists and price policy information.

In addition to the files for each state, there are also similar files for the City of Baltimore; District of Columbia; Australia; Ontario, Canada; and the National Alcoholic Beverage Control Association. There is also a file of memoranda summarizing interviews with liquor control officials in other states.

Finding aids: Container list.

B1306. Press Release Files, 1963-1964.

.5 cu. ft.

Arrangement: Chronological by date of press release.

This series consists of press releases issued by the commission to publicize its activities and gain public support for its findings, recommendations, and legislative proposals. Most of the press releases summarize the commission's findings and proposals concerning such issues as elimination of price fixing of retail liquor prices by distillers; creation of tavern type liquor licenses for bars and grills with no requirement for serving food; and permitting open competition in the number, location, and type of liquor stores.

A few other press releases are also included, such as announcements of public hearings and interviews held by the commission, and transcripts of opening statements made by the commission chair at public hearings. In addition, there are a few memoranda to the Legislative Committee to Study the Alcoholic Beverage Control Law analyzing legislative proposals.

B1307. Press Clippings, 1953-1964 (bulk 1963-1964).

3 cu. ft.

Arrangement: Reverse chronological by date of clipping.

The commission collected these news articles and editorials to monitor liquor-related problems and issues and to track the progress of its investigation. The clippings are attached to bond paper annotated with the name and date of the newspaper from which the clipping was taken. Topics covered include establishment of the commission; the commission's legislative proposals, their defeat in the 1964 regular legislative session, and their approval in the special legislative session called by Governor Rockefeller in April 1964; State Liquor Authority investigations of liquor-related crimes and violations; investigations of charges of corruption relating to the State Liquor Authority's administration of the Alcoholic Beverage Control Law, especially concerning alleged bribes paid to State Liquor Authority officials to obtain approval of liquor licenses; and alcoholism and alcoholism treatment programs.

The series also contains a small number of press releases of other organizations commenting on the commission's work, and transcripts of radio and television news and editorial programs regarding the commission's work and recommendations.

Finding aids: Container list.

Commission on Government Integrity

A series of highly publicized scandals rocked the government of New York City from 1985 to 1986. In response, in March 1986, Governor Mario Cuomo and New York City Mayor Ed Koch appointed a State-City Commission on Integrity in Government to recommend improvements in laws, regulations, and procedures regarding prevention of corruption, favoritism, undue influence, and abuse of government office. The commission's report identified serious flaws in existing laws, regulations, and procedures and recommended appointment of a new commission with investigatory powers.

In 1987, under the Moreland Act, Governor Cuomo appointed the seven-member Commission on Government Integrity by Executive Order Number 88 (January 15) and 88.1 (April 21, superseding Executive Order No. 88). Chaired by John D. Feerick, the commission was directed to investigate weaknesses in existing laws, regulations, and procedures and whether such weaknesses impair public confidence in the integrity of government or create a high potential for favoritism or corruption. In particular, the commission was to investigate laws regarding use of public office or political party position for personal enrichment; conflicts of interest and disclosure of potential conflicts of interest; unethical practices; sale or leasing of real property by or to governments, public authorities, or public benefit corporations; sponsorship of public housing or other development projects; solicitation of government business, permits, and franchises; election campaign contributions and expenditures; representation of private parties by public or political party officials before public agencies; and selection of judges.

The commission investigated and held public hearings on these and related issues including campaign financing; Open Meetings Law; Ethics in Government Act; judicial elections; political patronage in New York City; Albany City government; and unfair incumbent advantage. As a result of the New York City and statewide investigations, a new public campaign finance law and a tougher ethics law was enacted for New York City; new ethics laws were enacted for New York State; and the housekeeping accounts of political parties were opened to public scrutiny. The commission was abolished December 12, 1989.

Commission reports are published in *Government Ethics Reform for the 1990s: The Collected Reports of the New York State Commission on Government Integrity* (Fordham University Press, 1991).

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15825. **Typed and Original Transcripts of Commission Meeting Minutes, 1987-1989.**

1.2 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Chronological by meeting date.

This series consists of the minutes of commission meetings and a minute book that also includes copies of subpoenas, affidavits of service, and advisory letters to the attorney general sent by the commission. The minutes document the development of policy for the identification of projects to be undertaken by staff and the process of decision-making relating to the commission's investigation into violations of ethical or legal standards of conduct by public officials and employees. Some of the minutes contain manuscript notes, and one section of the minute book apparently represents the files of Marilyn Bodner, who is listed as an attendee of the meetings and who may have served as note-taker.

The minutes may include all or some of the following: meeting agenda, roll of members present/absent, and copies of pertinent memoranda to commission members; synopses of status of investigations in progress, including some summaries of evidence; copies of statements, speeches, and presentations made by commission members on issues such as campaign financing, proposed codes of ethics, and commission reports; and drafts of commission reports, opinion memoranda on legislation, and other staff analyses.

The minute book includes a copy of the ethical guidelines of the commission; copies of commission minutes from April 29, 1987 to October 16, 1989; and copies of advisory letters to the attorney general (in accordance with Executive Law) regarding the numbers of subpoenas served by the commission, with copies of the subpoenas and affidavits of service.

15823. **Investigation Project Files, 1975-1989 (bulk 1987-1989).**

293 cu. ft.

Restrictions: This series contains private hearing or interview materials that may not be disclosed pursuant to provisions of Executive Law, Section 63.8, and Civil Rights Law, Section 73.8; investigation background reports on individuals that may not be disclosed pursuant to provisions of Personal Privacy Protection Law, Section 96.1.c; and tax returns that may not be disclosed pursuant to specific statutes. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by topic (e.g. judicial selection, contracting, etc.).

This series documents the commission's conduct of its investigation into violations of ethical or legal standards of conduct by public officials and employees. Particularly well documented are investigations of judicial selection, government procurement and contracting, and improper practices of New York City officials and employees.

Judicial selection investigation background research files contain materials such as:

- X legislative bills and proposed constitutional amendments regarding nomination and election of judges and reform of the court system, and editorials regarding the bills and amendments
- X reports, articles, and publications regarding various provisions of the election law such as contribution limitations, expenditure limitations, public disclosure, and nomination to office
- X reports on laws and regulations regarding judicial selection in other states and comparative data between states regarding judicial selection
- X summary and analysis of the Ethics in Government Act and the New York State Governmental Accountability, Audit and Internal Control Act
- X opinions on judicial ethics from the Office of Court Administration
- X transcript of public hearing on judicial selection held March 3, 1988 in New York City, and digest of a March 9 New York City hearing, including testimony by New York State Chief Judge Sol Wachtler and other judges, justices, and representatives of bar and legal associations, former Governor Malcolm Wilson, and Assemblyman Saul Weprin
- X procedure and policy statement of, and New York City Mayor's Executive Order No. 10, April 11, 1978, establishing, the Mayor's Committee on the Judiciary to nominate judges for appointment to New York City family and criminal courts and for interim appointment to New York City civil court
- X newspaper articles and editorials and other articles, especially from law journals, regarding methods of selecting judges (elective vs. appointive), the influence of political parties in elections, mandatory retirement, and election procedures

The judicial selection investigation records also include confidential commission files documenting the investigation in detail and containing such materials as:

- X reports, transcripts, and notes of personal and telephone interviews discussing alternative methods of judicial selection and instances in which individuals apparently paid political organizations in return for nominations
- X outline of topics covered in interviews, such as previous political activity, campaign contributions by political organizations, and influence of political organizations
- X data on money contributed to political organizations and attendance at party functions
- X reports connecting judges' election to supreme court to their contributions to political organizations
- X election campaign financial disclosure statements
- X computer printouts of expenditures from house and campaign accounts of political organizations
- X commission reports and speeches on judicial selection and government ethics in general
- X digests of testimony in public and private judicial selection hearings
- X biographical information and synopsis of views of persons testifying at judicial selection hearings
- X memoranda on judicial selection methods for each court
- X Office of Court Administration rules regarding judicial selection
- X handwritten notes on tips received regarding election tampering
- X computer printout listing fees/commissions approved by judges for persons appointed guardians, conservators, etc. in court proceedings
- X recommendations for an appointive judicial selection system and for a reform of the current elective system, and a comparison of the commission's recommendations with the governor's and with other proposed legislation

Documentation of the commission's investigation of government procurement and contracting includes

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information on Department of Transportation contracts such as names of contractors, amounts of bids and contracts, purpose of contracts, contracting irregularities, and possible correlation between Department of Transportation contractors and contributions to campaigns of Senate and Assembly members; computer printouts listing vendor contracts with New York City government agencies; local government ordinances and statements of practice regarding procurement and contracting; and memoranda, articles, and other materials regarding misuse of public funds, bid-rigging, and other improper practices and conflicts of interest by public officials.

Documentation of the commission's investigation of alleged improper practices of New York City employees, such as patronage, no-show jobs, and taking payoffs, includes records regarding their hiring, retention, promotion, demotion, resignation, termination, and salary increases or decreases. These records include employee time and leave records; private hearing testimony; summaries of interviews with employees; copies of income tax returns; resumes and job applications; New York City Department of Investigation background investigation reports; and performance evaluations.

The series also contains audit reports, news clippings, internal commission memoranda, and other records documenting a number of other investigations of alleged misconduct of local or State officials as well as other issues the commission considered investigating. Among these other investigations were patronage in Buffalo; conflicts of interest relating to development in the town of Clifton Park; and Department of Environmental Conservation awards of oil spill cleanup contracts without going to bid.

The series also includes copies of indictments, trial transcripts, and related legal documents concerning government litigation against State or local employees such as New York City employees charged with mail fraud; State senators and staff charged with using State employees to work on election campaigns; and New York City Board of Education members charged with extorting money from construction contractors.

Finding aids: Container list.

15827. Litigation Files, 1987-1989.
18 cu. ft.

Restrictions: This series contains some items in "correspondence" folders that may not be disclosed pursuant to provisions of Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by case, then chronological by date of document.

This series consists of State and federal court records documenting litigation resulting from the commission's efforts to conduct its investigation. The litigation concerned efforts by parties being investigated (e.g. State and local political party committees, political action committees) to vacate, cancel, or quash subpoenas requiring testimony before the commission or the submission of documents to the commission; to change court venue; or to file an appeal or support motions for a stay pending appeal.

Documents in the series include pleadings; notices (e.g. notices of motions or cross-motions); motions; affidavits; briefs; memoranda of law; transcripts of proceedings; orders (e.g. orders to show cause; and orders denying motions).

Finding aids: Container list of cases in each box; item list of court documents (excluding correspondence) in accretion 15827-90 (first five cubic feet of series).

15826. Election Campaign Financial Disclosure Reports, 1981-1989.
5 cu. ft.

Arrangement: Arranged by office (assembly, senate, etc.), then alphabetical by name.

The commission produced these reports of election campaign contributions and expenditures to facilitate its

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analysis of campaign financing by New York State and New York City officials. The commission investigated election campaign financing as part of its wider investigation into violations of ethical and legal standards of conduct by public officials and employees.

The computer-generated reports were compiled from information obtained from Campaign Finance Disclosure Forms filed with the State Board of Elections by campaign committees of State legislative incumbents; challengers for State legislative positions; statewide office holders including Governor Mario M. Cuomo, Lieutenant Governor Stan Lundine, Comptroller Edward V. Regan, and Attorney General Robert Abrams; legislative party committees; State party committees; New York City Council members; New York City Mayor Edward I. Koch, Comptroller Harrison J. Goldin, City Council President Andrew J. Stein, and borough presidents David N. Dinkins, Claire Schulman, Howard Golden, Fernando Ferrer, Ralph J. Lamberti, Stanley Simon, and Donald Manes; and political action committees (PACs).

Reports for State legislative incumbents and challengers provide office; political party; county; district number; district office address; name(s) of campaign committee(s) and their filing period dates; summary of income for filing periods covered, including monetary contributions, other receipts, non-cash contributions, transfers in, refunds of campaign expenditures, and loans received; summary of expenses for filing periods covered, including transfers out, loan repayments, campaign expenditures, and contributions refunded; and itemization of each type of income and expense, including name, address, amount, and date.

This income and expense information is found in all of the reports. In addition, for legislative challengers, statewide office holders (January 1988-January 1989 only), all New York City officials, and political action committees, the reports include bar graphs showing number of contributors who contributed specified amounts of money and amounts of unitemized contributions in each filing period.

Finding aids: Container list, folder list.

B1339. Informant Correspondence Files, 1987-1989.

10 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Numerical by file number.

The commission compiled the information in these files to further its investigation into violations of ethical or legal standards of conduct by public officials and employees. Informants wrote to the commission making allegations against individuals and organizations such as State and local government officials and employees; police officials; district attorneys; local political organizations; and State legislative staff. Allegations included involvement in criminal activity; conflict of interest; official misconduct; obstruction of justice; drug abuse; no-show employment; nepotism; election fraud; and patronage. Evidence supplied by informants ranged from well-documented allegations to totally unsupported innuendo.

The bulk of the series consists of files for each informant documenting the allegations made. Informant files typically contain the following: Informant Information Input Forms providing information about the informant and the complaint; informant's letter(s) to the commission alleging misconduct; internal memoranda providing background or history of alleged misconduct; memoranda summarizing telephone interviews or conversations with informants; copies of legal briefs, motions, and other court documents relating to the allegations or to the individuals involved; news

clippings relating to the allegations or to related incidents and individuals; "Corruption Hotline" telephone interview forms; and other documents sent to the commission by informants to support their allegations.

The series contains two indices to these informant files. One index lists the files by file number, the other by the name of the individual against whom the allegations were made. Both provide the following for each file: file number; State or local government agency or name of other employer or position; brief statement of allegations made; and source (name of individual making allegations).

In addition, the series contains a few files of correspondence and memoranda of each investigator, mostly containing memoranda of telephone interviews with informants. There are also a few administrative files containing records such as investigation unit weekly reports and microfilm processing orders.

Finding aids: Container list.

Indexes: Two "Indices of Files" at the beginning of the series: one by file number, and one by name of subject of investigation.

15830. **General Information Files, 1987-1989.**

3 cu. ft.

Restrictions: This series contains material that may not be disclosed pursuant to Executive Law, Section 63.8. Requests for access will be referred to the governor's counsel's office.

Arrangement: Arranged by topic or record type.

This series served as a general reference file for commission activities. The series includes memoranda on automated document tracking to help commission staff track documents in its possession and subpoenaed documents; summary information on State legislators; charts summarizing ethics training in New York City agencies; memoranda regarding arrangement of office space and staff telephone numbers; lists of commission hearings and commission reports; commission budgets and budget projections; invitation lists, press releases, and correspondence with participants in forums and hearings held by the commission regarding campaign financing, judicial selection, patronage, and contracting; commission activity history; lists of materials requested (e.g. commission reports) and names and addresses of individuals requesting these materials; bibliographies, analyses, and copies of articles relating to political corruption; follow-up memoranda and preliminary report on 1989 New York City patronage hearings; copies of various reports on promoting efficiency in government and personnel reforms; copies of blank subpoena forms and materials on the basis of subpoena power, scope of legislative authority for investigative actions, determining jurisdiction, issues of confidentiality, Freedom of Information, and Moreland Act; and review of commission minutes, 1987-1989.

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Commissioner Appointed to Take Testimony in Matter of Charges Preferred Against Asa Bird Gardiner, District Attorney of New York County

Governor Theodore Roosevelt appointed Ansley Wilcox a special commissioner to take testimony regarding charges that New York County District Attorney Asa Bird Gardiner corruptly or negligently dismissed indictments and failed to bring actions against sureties on forfeited bail bonds. Wilcox held hearings on this matter from February

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through June, 1900.

B0986. Transcript of Testimony, 1900.

.2 cu. ft. (1 volume)

This volume is a typescript transcript of hearing testimony regarding charges against New York County District Attorney Asa Bird Gardiner. The testimony was taken between February 6 and March 28, 1900. A second volume, covering testimony taken from March 28 through the end of the hearing in June, is apparently not extant.

Commission of Immigration

The federal Immigration Law of 1907 extended the federal government's jurisdiction over admission and deportation of aliens. However, the federal government paid little attention to the immigrants' protection, education, and employment distribution, issues of particular concern to New York, the State most affected by immigration. Most immigrants arrived at the Port of New York and were vulnerable to various forms of exploitation and fraud.

State legislation of 1908 empowered the governor to appoint a nine-member Commission of Immigration to investigate the "condition, welfare, and industrial opportunities of aliens" in New York State. The commission was to report to the governor, making recommendations as to appropriate legislation. The commission was chaired by Louis Marshall and included social reformer Lillian D. Wald.

A0491. Typescript of Report to the Governor, 1909.

.2 cu. ft. (1 volume)

This is a carbon typescript of the commission's report, which was later published. The report covers general social, economic, and "moral" conditions of aliens; private, unchartered banks that catered to and often exploited immigrants; treatment of aliens by the justice system (courts, lawyers, etc.); naturalization procedures and problems; immigrants' homes; education of adults and children; and distribution of alien labor.

The report includes legislation recommended by eight members of the commission to establish a "bureau of industries and immigration" to protect aliens from fraud, exploitation, and oppression; to see that they are employed; to provide them with information about and communication with agencies and activities with which they might or should have contact; and to deal with other issues related to the condition of aliens in the State. Signatures of these eight commissioners follow the recommended legislation. Following this is a memorandum by the dissenting commissioner opposing the establishment of a new bureau. Finally, the report contains 61 appendices providing statistical information or other detail supporting the material presented in the report.

Governor's Committee on Hospital Costs

On May 25, 1964, Governor Nelson A. Rockefeller appointed seven prominent citizens as a Committee on Hospital Costs. The committee was charged with studying hospital costs and the alignment of State responsibilities regarding hospitals in order to develop recommendations for improving the quality of hospital care while moderating hospital costs and their impact.

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During the course of its investigation, the committee met with hospital administrators, hospital physicians, labor and management purchasers of hospital benefits, insurance company officials, hospital efficiency management consultants, hospital financial officers, hospital association officials, and regional and State hospital review and planning councils. The committee also solicited information and suggestions from over 200 national and State agencies involved in hospital care and its financing; reviewed existing reports, studies, and data; and conducted some original studies for new data on hospital care costs, components, and trends.

In its 1965 report to the governor, the committee made a number of recommendations, including full use of hospitals on weekends; pre-admission testing; increased patient self-care and ambulatory care; effective drug formularies and generic prescription programs; cooperative purchasing and service programs among hospitals; close hospital-physician relationships in the community; and enactment of a State hospital insurance law to establish minimum standards of coverage for hospitalization and related services.

10993. **Correspondence, Research, and Report Files, 1954-1965.**

4 cu. ft.

Arrangement: Arranged by subject or record type.

This series is the central file of correspondence, background materials, and report drafts maintained by the committee in carrying out its investigation and producing its final report. The records reflect issues related to hospital costs studied by the committee, such as hospital operating costs; patient charges; scope of insurance coverage; unnecessary medical procedures or hospitalization; duplication of services; alternatives to hospitalization; responsibilities of regulatory agencies; and existing statutes and new legislation.

The series contains correspondence with physicians, hospital administrators, medical insurance benefits providers, local, State, and federal government officials, and other interested individuals and organizations, commenting on reasons for rate increases and ways to moderate the increases; correspondence among committee consultants and staff regarding suggestions for and preparation of findings and recommendations, suggested readings, and meeting dates; hospital cost reports, studies, statistics, fact sheets, and other data; minutes, agendas, notes, correspondence, and other materials from committee meetings and committee seminars held with physicians and hospital administrators; draft findings and recommendations on various issues such as hospital reporting, pre-admission testing, hospital joint purchasing, duplication of services, home care, consolidation of Blue Cross plans, improvement of hospital internal management, and reallocation of responsibility among State agencies; report notes and drafts; press releases, newsletters, articles, and clippings concerning the committee or the issues under investigation; and legislative bills and bill proposals.

Finding aids: Container list.

Citizens' Committee on Reapportionment

On June 15, 1964, the United States Supreme Court handed down several decisions declaring unconstitutional the apportionment plans in several states, including New York. In response, On July 12, Governor Nelson Rockefeller appointed a seven-member committee to study legal and governmental implications of certain questions relating to reapportionment in New York State. Known as the Mulligan Committee for its chair, William Hughes Mulligan, the committee studied such questions as if reapportionment should be embodied in a constitutional amendment or statute; if a constitutional convention should be convened to consider a new reapportionment plan; how to measure population and whether a special census was needed; and whether to maintain or increase the length of term of legislators and the

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number of legislators.

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The committee studied these and related issues from July 23 until December 1, 1964, when it submitted its final report to the governor. Among the committee's recommendations were an increase in the size of the legislature; an increase in the length of senators' terms from two to four years; use of residents, citizens, or voters as measure of population for apportionment; senate and assembly district lines to be drawn by the legislature, respecting county lines where possible to comply with the U. S. Supreme Court requirement for population equality among districts; and changes in the Election Law and election procedures.

10988. Correspondence, Research, and Report File, 1964.

3 cu. ft.

Arrangement: Arranged by file unit (e.g. chronological correspondence file, alphabetical state file), then chronological by date or alphabetical by name or subject.

This series is the central file of correspondence, memoranda, and background materials maintained by the committee in carrying out its studies and producing its report. The records reflect the committee's charge to study and make recommendations on questions relating to reapportionment. The series includes:

- X chronological file of copies of routine outgoing administrative correspondence
- X minutes of committee meetings and meetings with legislators and government officials
- X alphabetical committee name file consisting mainly of routine administrative correspondence to or from committee members, counsel, associate counsel, and consultants, but also containing comments about or suggestions for the committee's report by committee members and State citizens, and memoranda and legal studies regarding apportionment
- X printed U.S. Supreme Court decisions of June 15, 1964 resulting in reapportionment studies in New York and other states
- X alphabetical state file of information on apportionment in other states containing relevant portions of state constitutions; state and U.S. court decisions regarding apportionment in the state; correspondence with law departments and attorneys general in other states regarding court decisions on apportionment; legislative bills; apportionment and districting plans; and news clippings
- X alphabetical name and subject file containing correspondence to the committee from citizens with suggestions for reapportionment; correspondence with government officials, lawyers, professors, politicians, and local government associations; court briefs, affidavits, and decisions in apportionment cases; League of Women Voters memoranda regarding apportionment; papers and speeches of experts; press releases and statements by or about the committee regarding its establishment and work; mailing addresses of apportionment/districting experts; articles and news clippings; and report notes, outlines, and drafts

Finding aids: Container list.

Governor's Committee on the State Employees' Retirement System

In December 1965, Governor Nelson A. Rockefeller appointed the Committee on the State Employees' Retirement System to review, report, and make recommendations concerning the system. Since the system was established in 1921, its changing nature and subsequent legislation resulted in inadequacies and inequities which the committee was charged to address.

Governor Rockefeller requested the committee to develop one simple uniform, adequate, and equitable

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noncontributory system; simplify and eliminate duplication of benefits; evaluate the impact of elimination of employee contributions; and determine under what conditions and terms (e.g. voluntary or mandatory) the program should be made available to localities participating in the Retirement System. Specifically, the governor asked the committee to investigate issues such as benefits (e.g. disability retirement; death benefits; plans for policemen, firemen, and others; vesting; etc.), financing, investment programs, management, and planning.

The committee's research team carried out a number of studies of these issues by reviewing New York's retirement system; other states' systems and their constitutional, statutory, and judicial restrictions; projected costs of benefits and provisions; and the effects of such benefits and provisions on future State employees. The committee determined that a new retirement plan was needed. They completed an early draft of such a plan by late 1966 and held a public hearing on the matter on February 16, 1967 to get additional outside opinions.

In its final report to the governor in 1969, the committee made a number of recommendations, including a new retirement plan for future State employees, including guaranteed benefits and provisions and protection against inflation; establishment of a permanent advisory commission on State retirement systems; and legal constraints on negotiation of retirement plans and benefits to safeguard these benefits from being lost in collective bargaining agreements authorized under the new (1967) Taylor Law.

10995. Correspondence, Research, and Report Files, 1965-1969.

.6 cu. ft.

Arrangement: Arranged by record type (e.g. correspondence, reports, minutes).

This series is the central file of correspondence, memoranda, and background materials maintained by the committee in carrying out its studies and producing its report. The records reflect the committee's charge to study and make recommendations concerning the State Employee's Retirement System.

The series includes correspondence and memoranda among committee members and with State officials, employees, and citizens regarding progress of the committee's studies, existing and proposed legislation, and comments and suggestions for the committee's report; correspondence with officials of other states regarding their retirement plans and related statutes; minutes of committee meetings; legislative bills and bill proposals; benefits schedules and statistical tables; requests to speak, statements presented, and other materials relating to the public hearing held on February 16, 1967; articles and clippings regarding the committee's work and the Retirement System in general; and drafts of the committee's final report.

Finding aids: Container list.

Blue Ribbon Panel on Municipal Hospitals of New York City

During a 1965 site investigation of nursing staff shortages by the Joint Legislative Committee on Problems of Public Health, Medicare, and Medicaid, State Senator Seymour R. Thaler observed poor medical care, understaffing, and waste in New York City's municipal hospitals. His efforts to publicize his findings and to involve State government in seeking remedies prompted Governor Nelson A. Rockefeller to appoint an investigatory panel of distinguished health care experts. The members of this Blue Ribbon Panel were hospital administrators, university public health and medical school faculty, and citizen activists.

The panel met six times between October, 1966 and March, 1967 to collect information from people with

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knowledge about or responsibility for the municipal hospitals. The testimony served as evidence for the panel's recommendations on how the State's licensing and financial authority could hasten improvement of the hospitals' physical plant, administration, financial management, and quality of medical care. The panel issued a final report and recommendations in April, 1967. The recommendations influenced executive bill proposals for health insurance and construction loan funds in the following legislative session. The panel's findings contributed to more extensive investigations by the New York City Comptroller, the Mayor's Commission on the Delivery of Personal Health Services, the State Department of Health, and the Temporary State Commission on Investigation.

B1202. Transcripts of Proceedings, 1966-1967.

.5 cu. ft.

Arrangement: Chronological by date of meeting.

These transcripts document five of the Blue Ribbon Panel's six meetings. The transcripts contain descriptive testimony, discussion, and the early stages of the formulation of recommendations to remedy substandard conditions in New York City's municipal hospitals during the 1960s. Invited speakers included State Senators Seymour R. Thaler and Norman F. Lent of the Joint Legislative Committee on Problems of Public Health, Medicare, and Medicaid; State health officials; the head of the regional Health and Hospital Planning Council; and New York City health officials.

Issues initially discussed were operational problems such as unsanitary facilities, inadequate patient care, triage decisions necessitated by lack of equipment, understaffing, and dissatisfaction among civil service employees and professional nursing staff. Later, discussion focussed on abuse of city-funded affiliation contracts (1961-1965) between voluntary hospitals and municipal hospitals that were intended to improve professional staffing and quality of care in the municipal hospitals. Much of the funding had been diverted to enhance salaries of medical staff at the voluntary hospitals, to develop highly specialized medical services at the expense of basic patient care, to improve medical education programs, and to attract research grants.

Themes that emerged during discussion of recommendations are the State's new influence as administrator of federal Medicare and Medicaid funds, which replaced charity for the indigent with State-regulated payment, and the authority granted the State to maintain quality health care through the new State Hospital Code.

Finding aids: Volume list.

Indexes: Speakers' names are listed in tables of contents of volumes for meetings on October 27, 1966 and November 16, 1966.

Governor's Committee to Review New York State Laws and Procedures in the Area of Human Rights

In light of the continuing human rights movement in the 1960s, Governor Nelson A. Rockefeller saw a need to review New York's outdated human rights laws, administrative machinery, and procedures. On August 10, 1967, the governor appointed a committee to carry out this review. Areas of study and activity by the committee were improvement in structure, functions, and procedures of the State Commission for Human Rights; the nature of the relations between the State Commission for Human Rights and local, State, and federal agencies, advisory councils, non-governmental bodies, and the public; establishment of responsibility in the State for policy making and continued research in the area of human rights; and new areas for legislation, and review and recommendations for improvement of existing problem legislation.

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In carrying out its study, the committee consulted experts in human rights including business, labor, and academic leaders and local, State, and federal government officials; reviewed local, State, federal, and model anti-discrimination and civil rights acts and procedures; conducted public hearings in Buffalo, Rochester, Syracuse, and New York City; and reviewed other studies and reports.

In its final report to the governor submitted March 27, 1968, the committee made a number of recommendations including abolishing the State Commission for Human Rights and establishing a new Division of Human Rights and a Human Rights Review Board in the Executive Department; reorganizing and expanding legislative provisions against discrimination in employment; clarifying definition of "places of public accommodation" and defining as discriminatory exclusion from such places on the basis of sex; prohibiting discrimination in public educational institutions; allowing fewer exemptions from provisions prohibiting discrimination in rental housing; prohibiting discrimination based on sex in most real estate transactions; prohibiting discrimination in provision of public services, in business, trade, or professional associations, and in commercial transactions; and implementing and expanding the governor's program to promote equal opportunity in State employment.

The committee also made a number of recommendations regarding procedures for enforcing human rights provisions by the proposed new Division of Human Rights. Finally, the committee proposed a new Human Rights Law to establish the Division of Human Rights and prohibit discrimination in employment, public accommodations, educational institutions, and real estate transactions.

10994. Public Hearing, Research, and Report Files, 1966-1968.

4 cu. ft.

Arrangement: Organized into two subseries: 1. Report Files, 1966-1968, .7 cubic foot; and 2. Subject Files, 1966-1968, 3.3 cubic feet. Subject files are alphabetical by subject or type of record.

This series is the central file of correspondence, public hearing information, and background materials maintained by the committee in carrying out its studies and producing its report. The records reflect the committee's charge to review and make recommendations concerning New York's human rights laws and procedures. The series is organized into two subseries as described below.

Subseries 1: Report Files. This subseries contains early drafts, final drafts, and the final version of the committee's report to the governor and of the proposed statute contained in the report. Also included are comments from committee members and other interested parties on the drafts of the report and statute.

Subseries 2: Subject Files. This subseries contains correspondence and background materials gathered by the committee during its study. The records concern such issues as equal opportunity in New York's civil service system; application of affirmative action provisions to State contracting; banking and loan guarantee opportunities for minorities; employment discrimination; restrictions on employers' use of arrest records in hiring; segregation and discrimination in education; housing programs and discrimination in housing; and status of migrant workers.

The files contain such records as correspondence to the committee from individuals and organizations with an interest in human rights giving advice, statements, or information; public hearing transcripts and statements; reports of consultants regarding equal opportunity; Division of the Budget's management survey of the State Commission for Human Rights; human rights legislation and legislative proposals from New York and other states; meeting minutes; and press releases, clippings, and articles.

Finding aids: Container list.

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Governor's Commission Appointed to Review New York State's Abortion Law

In January 1968, Governor Nelson A. Rockefeller appointed this 11-member committee to review New York's Abortion Law and recommend appropriate changes in time for the upcoming legislative session. The committee, comprised of 10 men and one woman, included clergy, law experts, physicians, and others. At the time of the committee's appointment, New York was one of 39 states in which abortion was illegal except when necessary to preserve the mother's life. The committee was to determine which other abortifacient acts, if any, should be exempt from criminal consequences (i.e. declared "non-criminal") and under what conditions.

The committee studied the history of thought and legislation on abortion. They solicited information and opinions from representatives of medical, psychiatric, social, legal, theological, and other fields. A public hearing was held on February 29 at which 53 speakers presented their views. Among the speakers was Betty Friedan, President of the National Organization for Women and author of *The Feminine Mystique* (1963). Other speakers included clergy of various faiths, physicians, psychiatrists, university professors, attorneys, and representatives of the New York Civil Liberties Union, Planned Parenthood, other abortion reform groups, Right to Life, and social welfare organizations.

In its report to the governor in March 1968, the committee proposed new legislation expanding the grounds for legal abortion. A minority of the committee submitted a dissenting report objecting to the expansion of grounds for legal abortion.

10996. Committee Reports and Public Hearing Transcript, 1968.

.3 cu. ft.

This series is the committee's final report file, containing:

- X a complete, indexed transcript of the public hearing held on February 29, comprised of 331 pages of testimony from 53 speakers, including Betty Friedan
- X report of the committee to the governor, including a majority report focusing on statutory issues and a minority report focusing on the morals of abortion. The majority report proposed a new statute amending the Penal Law and the Public Health Law to expand the grounds for legal abortion to include preserving the mother's life; grave danger to the mother's physical or mental health; permanent physical or mental condition rendering the mother incapable of caring for the child; substantial risk of major birth defects or physical or mental abnormalities in the child; pregnancy resulting from an act of rape or incest; pregnancy commenced when the mother was single and under age 16 and is still unmarried; and mother has at least four living children (under certain conditions)
- X a paper supplementing the final report entitled "The Law of New York Concerning Abortion and the Status of the Foetus, 1664-1968," prepared for the committee by committee member Cyril C. Means and later published
- X a small amount of routine correspondence concerning the hearing transcript and the report

Post Vietnam Coordinating Committee

The Post Vietnam Planning Committee was formed by Governor Nelson A. Rockefeller when he appointed 25 individuals on April 13, 1968 and charged them with the responsibility of designing plans and recommendations which would offset the economic consequences of the de-escalation of the war in Vietnam. A key recommendation in the report, which was submitted to the governor on December 18, 1968, was the formation of the State Post Vietnam Coordinating Committee.

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Agreeing with the planning committee's recommendations, Rockefeller established the Post Vietnam Coordinating Committee on September 27, 1969. The main responsibility of this nine-member body, headed by the commissioner of commerce, was to plan for and assist the returning veterans and workers affected by defense cutbacks resulting from de-escalation, and eventually, the end of the war in Vietnam. In addition, the State coordinating committee was to work closely with the eleven Area Post Vietnam Planning Committees that were also created as a result of a recommendation of the Post Vietnam Planning Committee. These area committees covered twenty-five counties in which substantial defense employment was located.

14222. Correspondence Files, 1969-1978 (bulk 1969-1972).

1 cu. ft.

Arrangement: Chronological by date of correspondence.

This series consists mainly of incoming and outgoing correspondence but also includes memoranda, reports, newspaper clippings, magazine articles, press releases, minutes of meetings, photographs, and meeting agenda. The majority of the records in the series were generated and accumulated by the Post Vietnam Coordinating Committee, but there are some files dealing with the earlier Post Vietnam Planning Committee.

The correspondence files of the State coordinating committee clearly document its main concern with affects of the de-escalation of the war, but they also deal with other topics such as educational opportunities for returning veterans, the establishment of public works projects, the encouragement of labor unions to develop on-the-job training programs, and the housing needs of veterans.

Finding aids: Container list.

Task Force on Financing Higher Education

Governor Nelson A. Rockefeller appointed this task force on October 7, 1972 to study laws regarding and methods of financing public and private higher education. The task force was specifically charged to study fiscal problems of private institutions of higher education; financing of public institutions of higher education; problems of student tuition scholarships and other student aid programs; public-private cooperation to improve resource utilization; and regional arrangements of higher education resources to get maximum effectiveness from public and private funds for higher education.

The task force, chaired by former U.S. Commissioner of Education Francis Keppel, conferred with representatives of public and private educational institutions, citizens' groups, and experts on State and local financing. Among the recommendations presented by the task force in its final report (March 5, 1973) were to establish a "student bill of rights" guaranteeing up to two years of access to higher education with the necessary financial support, and two more years if academically qualified; to provide sufficient public funds to cover four years of tuition for low income students; to establish a statewide planning council for post-secondary education under the aegis of the Board of Regents; gubernatorial nomination of members of the Board of Regents for confirmation by the legislature; to increase State funding of and responsibility for governance of the City University of New York and community colleges; and to strengthen individual campus autonomy by reducing unnecessary administrative regulations and supervision.

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A0402. Research and Report Files, 1972-1973.

2.3 cu. ft.

Arrangement: Arranged by record type (statements, draft reports, staff papers, etc.).

This series is the central file of background and research materials maintained by the task force in carrying out its study and producing its report. The records reflect the task force's charge to study the financing of higher education. The series includes "staff papers" written for the task force reporting on such issues as New York State economy and finance and their relation to higher education finance, New York City and other local government finances, access and enrollments, student aid, finances of public and private institutions of higher education, federal policies and funding, more effective use of resources, and institutional cooperation and regionalism; statements made before or submitted to the task force by educators, education officials, and other government officials from New York and other states; discussion materials for task force meetings, including lists of questions and issues for consideration; meeting minutes and notes; and draft and final reports.

Finding aids: Container list.

Urban Development Corporation Task Force

Governor Malcolm Wilson established the Urban Development Corporation Task Force in September 1974 in response to months of difficulties encountered by the Urban Development Corporation (UDC) in acquiring the private investment funds needed for its operating expenses. Governor Wilson charged the task force to review the operation, financial structure, and extent and nature of the projects and obligations of the UDC and to make recommendations regarding the role of the State in strengthening the capacity of the UDC to carry out its housing and community development programs and assuring that it continues to obtain necessary financing from private investors.

The task force held five formal meetings to receive and review information about the UDC, to hear testimony of the chairman and president of the UDC, and to formulate its findings and recommendations. The task force organized its study and presented its findings in several major areas: status of UDC's programs; management and operations of the UDC; UDC's financial status; evaluation of UDC projects; status of UDC's project commitments; and considerations regarding future UDC programs. The task force submitted its report to the governor and legislature on December 26, 1974.

A0506. Report on the Urban Development Corporation, 1974.

.6 cu. ft. (2 volumes)

This series consists of the task force's unpublished report to the governor and legislature. The report is organized into two "volumes." Volume I (8 pages) contains a summary of the task force's work and lists its findings and recommendations. The recommendations included program changes to reduce UDC's financial obligations; increased State supervision of UDC management and direction; establishment of a project loss reserve fund to increase private investor confidence in the UDC; and development of a comprehensive State housing and community development policy.

Volume II contains the background papers developed for the task force on questions concerning the UDC, including comments of UDC officials, upon which the findings and recommendations were based. The materials cover such issues as UDC financial background and analysis; role of the board of directors; residential project development procedures; short-term and 50-year cash flow; commercial projects; industrial projects; and civic projects.

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The series contains two copies of the report. Most of the material is duplicated in the two copies, but each copy contains some material not present in the other copy.

Executive Advisory Commission on the Administration of Justice

Governor Hugh L. Carey appointed this commission to investigate prison overcrowding, jury selection reform, sentencing and parole laws and practices, and other aspects of the criminal justice system. The commission was known as the "Liman Commission" after its chairman, Arthur L. Liman. The commission was discontinued shortly after Governor Mario Cuomo took office.

A3336. Administrative and Hearing Files, ca. 1976-1982.

4 cu. ft.

Restrictions: This series contains material that may be withheld from disclosure pursuant to Freedom of Information Law, Sections 87.2.b (personal privacy exemption), 87.2.e.iii (confidential sources exemption), 87.2.g (internal communications exemption), or other statutes.

This series consists of records of the commission compiled by its chief counsel and executive director, Roderick C. Lankler. The records include draft reports and preparatory notes; hearing testimony and public meeting transcripts; general meeting memoranda and summaries; general correspondence, including letters to or from Lankler or referred to him by Arthur L. Liman; press releases and news clippings, including summaries and excerpts from commission reports and editorial commentary; vouchers and information on budgeting, commission expenditures, and space allocation; a few publicity photographs of commission members; commission mailing lists; and selected lecture notes and reference materials kept by Lankler on various prosecutorial methods and/or issues.

Finding aids: Container list.

Governor's Commission on Libraries

Governor Hugh L. Carey appointed the Governor's Commission on Libraries in April 1976 to plan for the New York State Governor's Conference on Libraries, held in June 1978. Prior to the conference, the commission held public hearings in Buffalo (April 20-21), New York City (April 27-28), Albany (May 11), and Syracuse (April 18). At these hearings, 255 students, teachers, librarians, administrators, and others from public, private, school, and academic libraries expressed their concerns.

B0927. Public Hearings Files, 1977-1978.

1 cu. ft.

Arrangement: Chronological.

These are records of the hearings held by the commission. The series contains transcripts of each day's hearings. Accompanying the transcripts for hearings in each city are summaries of the testimony providing:

X number and general affiliation of speakers

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- X funding concerns and observations
- X answers to the following six questions posed by the commission:
 - 1) What is a library?
 - 2) What access should library users have to books and other kinds of library materials?
 - 3) Who should be responsible for the availability of informational and research materials?
 - 4) Who should participate, and in what manner, in the planning and control of library policies?
 - 5) How can the resources and services of all libraries and other information sources best be interrelated for the benefit of all users and potential users?
 - 6) What applications of technology should be explored for maximum user benefits, and what are the likely limitations on such technological applications?
- X State mandates concerning libraries
- X new concepts and programs
- X excerpts of important testimony

The series also contains written statements submitted to the commission addressing technology, access, interrelationships and resource sharing, library functions and services, and finance and governance.

Related items in the series include a promotional/informational brochure and report regarding the Governor's Conference on Libraries, and tape cassettes of the New York Library Association's 84th Annual Conference, 1977.

Finding aids: Folder list.

Indexes: Each hearing transcript includes a name and subject index.

Fact Finding Panel on the Shoreham Nuclear Power Facility

On April 19, 1983, Governor Mario Cuomo proposed creation of a fact finding panel "to develop clearly derived, reliable and objective information on the economic costs and safety of the Shoreham Nuclear Power Facility."

After a year-long planning process, the Suffolk County government had determined that local conditions on Long Island would make emergency preparedness to protect the public impossible, and it informed the Nuclear Regulatory Commission (NRC) of its decision not to adopt or implement such a plan. Thus, the NRC could not grant the Shoreham plant an operating license. The Long Island Lighting Company (LILCO), operator of the plant, accused the county government of being more interested in politics than public safety and warned of grave economic consequences if the Shoreham plant were abandoned.

The Fact Finding Panel was formed in May 1983. The 13 members included representatives chosen by the county executives of Nassau and Suffolk County; nonvoting representatives of the Nuclear Regulatory Commission and the Federal Emergency Management Agency; and experts in public health, consumer affairs, nuclear technology, business affairs, suburban studies, economics, and regulation.

Governor Cuomo specifically charged the panel to examine the projected impact on LILCO ratepayers if the plant did or did not operate; projected revenue and economic impacts on local governments if the plant did or did not operate; amount and potential sources of revenue required to service the debt on Shoreham and to enable LILCO to meet its normal operating costs; nature and manner of assessment of risks associated with the operation of nuclear power plants in general and Shoreham in particular; and federal government requirements regarding development and implementation of off-site emergency preparedness plans and to what degree Suffolk County met or exceeded these

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standards. The panel met 12 times in all-day meetings and held four public hearings. Three subcommittee meetings were also held to discuss safety, economics, and plant operations.

The panel submitted its final report to the governor on December 14. Among the general conclusions outlined in the report were that nuclear power was not inherently unsafe, but the current state of practice in the nuclear industry was not up to the level of safety appropriate for public use; the location of the Shoreham plant was not suitable for a nuclear power plant; LILCO did not adequately prepare itself for entry into nuclear power technology and lacked credibility as an operator of a nuclear power plant; the Nuclear Regulatory Commission's practice of deferring consideration of off-site emergency planning response feasibility until after a plant is completed does not make sense, since existence of a completed plant is a powerful incentive to find justification to grant an operating license; and not operating the plant would have significant economic implications but would not "be tantamount to economic suicide for the State or the region".

B0996. Correspondence and Background Files, 1983.

.1 cu. ft.

This series is comprised of materials collected by panel member Karen S. Burstein, then head of the New York State Consumer Protection Board, in the course of the panel's study. The small amount of records very incompletely documents the panel's investigation of nuclear power plant costs and safety. The records provide information and comments on the economic impact of preventing Shoreham's operation and on possible safety hazards of allowing it to operate. The series includes correspondence and memoranda to Burstein and other panel members on the Shoreham plant; statements made to the panel by Suffolk County government executives; technical information on nuclear power and nuclear power plants; and clippings and articles on the Shoreham controversy and nuclear power plant safety and costs in general. (See the description for series 18623, **Operating Documents of the Fact-Finding Panel on the Shoreham Nuclear Power Facility**, above, page 68, for additional records of the Fact-Finding Panel.)

Governor's Advisory Commission on Liability Insurance

The Governor's Advisory Commission on Liability Insurance was established by Governor Mario Cuomo on January 13, 1986 in response to widespread concern over the high cost and sometimes limited availability of liability insurance. Governor Cuomo specifically charged the commission to determine the nature and scope of the problem and its impact on those seeking insurance; identify the forces behind the availability and cost of liability insurance; and develop legislative, regulatory, or policy responses to the problem.

The commission met and held public hearings in Albany, Rochester, and New York City early in 1986. In the first volume of its report, *Insuring Our Future*, published in April 1986, the commission focused on the plight of public corporations seeking liability insurance. The second volume of the report, published in July, addressed broader issues concerning reform of insurance regulation, practice, and tort law affecting claims against insurers. Some of the commission's recommendations were passed by the legislature and signed into law during the commission's lifetime.

14520. **Public Hearing and Background Files, 1986.**

4 cu. ft.

Arrangement: Arranged by type of record (hearing transcripts, background files, administrative files), then by subject.

This series is the central file of public hearing information and background and administrative materials maintained by the commission in carrying out its study and producing its report. The records reflect the commission's charge to study and make recommendations on issues relating to liability insurance. The series includes:

X Public hearing files including transcripts of hearings held in Rochester (February 19), Albany (February 19), and New York City (February 20 and 21); written testimony submitted by each speaker; schedule of speakers for each hearing; and sign-in sheets of persons who attended each hearing and their affiliation. Speakers at the hearings included Governor Mario Cuomo (opening remarks at Albany hearing); New York City Mayor Edward I. Koch; State senators and assemblymen; insurance agents and company officials; business and business association representatives; physicians; local government officials; New York Public Interest Research Group; social welfare experts; and attorneys and legal experts.

X Background files including bill proposals; liability insurance studies from other states; reports and statements of insurance representatives and legislative commissions; and "policy option papers" covering current law, proposals for new legislation, and discussion of arguments for and against the proposal, on such issues as assumption of risk, jury trial, and frivolous suits. The background files cover such issues as toxic torts (actions to recover damages from exposure to toxic substances), joint and several liability, cancellation and renewal, day care, and environmental liability.

X Administrative files including press releases, public hearing notices and correspondence, and minutes of and background materials for meetings.

Finding aids: Container list.

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RECORDS OF THE OFFICE OF THE LIEUTENANT GOVERNOR

The lieutenant governor is designated by the State constitution as president of the senate and votes there in the event of a tie. The lieutenant governor is responsible for assuming the duties of the governor in case of the governor's removal from office by death, disability, impeachment, resignation, or absence from the State.

The lieutenant governor has statutory duties as a member of the court for the trial of impeachments; an ex officio trustee of Cornell University and of the College of Environmental Science and Forestry; a member of the State Defense Council; and a member of the Committee on Public Access to Records. The lieutenant governor also handles special projects and duties as assigned by the governor.

New York's first constitution in 1777 established the office of lieutenant governor. The constitutional powers and duties of the office have remained unchanged except for the alteration of the term of office from three to two years under the second (1821) constitution, back to three years by an 1876 amendment to the third (1846) constitution, back to two years under the fourth (1894) constitution, and finally to its present four years by an amendment in 1937.

Correspondence

B0632. **Central Subject and Correspondence Files, 1929-1932, 1983-1985.**

35 cu. ft. and 43 microfilm reels

Arrangement:

Lehman records, 1929-1932: alphabetical by subject or correspondent.

Del Bello records, 1983-1985, organized into six subseries: 1. Senior Staff Subject and Correspondence Files, New York City Office, 5 cu. ft.; 2. Lieutenant Governor's Active Files, New York City Office, .5 cu. ft.; 3. Executive Assistant's Subject Files, New York City Office, 3 cu. ft.; 4. Suicide Prevention Subject Files, New York City Office, 1 cu. ft.; 5. Chronological Correspondence Files, Albany Office, 3 cu. ft.; and 6. Mail Logs, Albany Office, 3 cu. ft.

Del Bello New York City Office records, 1983-1985: alphabetical by subject or name within subseries.

Del Bello Albany Office records, 1983-1985: chronological within subseries.

The central correspondence files of the lieutenant governor's office contain incoming and outgoing letters, memoranda, State agency reports, and printed material documenting State government policies and operations and issues of public concern. The records reflect the diverse functions of State government and the lieutenant governor's broad administrative responsibility for supervising certain of these functions as assigned by the governor.

Correspondence files include reports, suggestions, questions, and criticism or praise for government policies by citizens, public officials, businesses and organizations, and State agencies. The correspondence provides little or no information on the lieutenant governor's constitutionally-assigned responsibility as presiding officer of the State senate, a largely pro forma function. Most of the records deal with responsibilities assigned by the governor or issues of particular interest to the lieutenant governor. These vary widely between administrations but include such general subject areas as unemployment; economic conditions; labor issues; international business and governmental issues; and security programs for the aged.

The series contains correspondence files of Lieutenant Governors Herbert H. Lehman, 1929-1932, and Alfred

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Del Bello, 1983-January 31, 1985.

Herbert H. Lehman records, 1929-1932. These are the records of Governor Franklin D. Roosevelt's lieutenant governor, Herbert H. Lehman, who succeeded Roosevelt as governor in 1933. Major subject areas covered by these records include: 1. efforts to deal with the Depression: requests for material assistance, relief efforts of charitable institutions, development of the Temporary Emergency Relief Administration, security for the aged, unemployment relief, and labor issues and concerns; 2. prohibition reform and repeal movements; 3. Port of New York Authority policies, activities, and disputes between New York and New Jersey; 4. child welfare and child labor laws; 5. veterans' issues and concerns; 6. NAACP activities and concerns (Lehman was a director of the NAACP); and 7. Jewish concerns in the U.S. and Palestine.

Alfred Del Bello records, 1983-1985. These are records of Governor Mario Cuomo's first lieutenant governor, Alfred Del Bello, who resigned from office January 1, 1985. Del Bello's three main areas of responsibility as reflected in these records were: 1. economic development: business tax incentive programs, regional economic development councils, foreign business ventures in New York State, and Stewart International Airport (Newburgh) development; 2. Job Training Partnership Act implementation: employment programs, and employment of minorities; and 3. coordination of State programs affecting local governments: Advisory Commission on Intergovernmental Relations (ACIR) activities, and New York's fiscal crisis and budgetary constraints, especially the impact on aid to local governments.

Other subjects covered by Del Bello's records include the Yonkers fiscal crisis and the Emergency Financial Control Board for the City of Yonkers; Citizens Task Force on Aging-Out to provide assistance to mentally, physically, or emotionally handicapped persons turned out of educational programs upon reaching age 21; youth suicide and activities as chair of Governor's Council on Youth Suicide Prevention and National Committee on Youth Suicide Prevention; safety of and emergency response planning for nuclear power plants; constituent requests, complaints and concerns, e.g. landlord-tenant disputes, social security and pension benefits; activities of the Governor's Office of Employee Relations, including training programs for employees; public utility rates; promotion of tourism; and business and housing in Harlem.

Del Bello's records are organized into six subseries as follows.

Subseries 1: Senior Staff Subject and Correspondence Files, New York City Office. Records filed by Del Bello's senior staff, particularly Chief of Staff J. Robert Dolan and Counsel David Smith, include incoming and outgoing correspondence, reports, budget information, press releases, meeting agendas, and flyers and other printed material.

Subseries 2: Lieutenant Governor's Active Files, New York City Office. These records concern issues receiving immediate attention from Del Bello or his staff: aging-out; economic development; solid waste disposal; efforts to retain the General Motors assembly plant in North Tarrytown; transition report (January 1, 1985) summarizing key issues, accomplishments, and priorities of the lieutenant governor's office; and videocassette of "Inside Albany" (a television program on State government) concerning teenage suicide and showing Del Bello discussing reasons for and ways to prevent teenage suicide (aired November 18, 1984).

Subseries 3: Executive Assistant's Subject Files, New York City Office. These "General Files" of Joyce Baumgarten, Del Bello's executive assistant, contain much printed material from conferences, publicity material, press releases and clippings, speeches, reports, and briefing materials on specific issues (e.g. transportation bond issue), and a small amount of generally routine correspondence.

Subseries 4: Suicide Prevention Subject Files, New York City Office. Printed materials on youth programs,

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statistics, clippings, and other materials concern youth suicide and Del Bello's organization of the National Committee on Youth Suicide Prevention. Much of this material was collected by Judybeth Greene, a research assistant in Del Bello's Albany office.

Subseries 5: Chronological Correspondence Files, Albany Office. Incoming and outgoing correspondence, and some reports, printed materials, invitations, news clippings, and other materials, concern the subjects listed above.

Subseries 6: Mail Logs, Albany Office. Log sheets track receipt and disposition of mail, providing for each item the date received; name and address of correspondent; subject; to whom mail was referred or a copy sent; disposition (e.g. "Thanks," Ack."); date of reply; and reference number written on correspondence. A small amount of routine correspondence is interfiled with the mail log sheets. Most correspondence recorded in the mail logs, identifiable by the reference numbers, is filed in other Del Bello subseries.

Finding aids: Container list to Del Bello records; folder list to Lehman records; reel list to Lehman records on microfilm.

Also available on microfilm: Lehman records for the years 1929-1932.

APPENDIX A. List of Series in Order of Series Number

- A0006. **Registers of Appointments, 1823-1910.** p. 39
- A0017. **Investigation Correspondence, Transcripts, and Printed Materials, 1915-1928 (bulk 1915-1918).** p. 72
- A0049. **Official Tabulation and Statement of Votes, 1904.** p. 62
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APPENDIX B. Series Available in Microform

Contact Research Services Unit for details on location and availability of microfilm or microfiche copies of these records.

12590. **Legislative Bill and Veto Jackets, 1905, 1921-1992.** 510 microfilm reels and 27,903 microfiche (p. 9)

Consult Research Services Unit for details on location and availability of microfilm or microfiche copies of these records.

13682. **Central Subject and Correspondence Files, 1919-1954, 1959-1983.** 1,672 microfilm reels (p. 15)

This series includes microfilmed copies of the following governors' records:

Alfred E. Smith, 1919-1920, 1923-1928	169 microfilm reels
Franklin D. Roosevelt, 1929-1932	219 microfilm reels
Herbert H. Lehman, 1933-1942	106 microfilm reels
Thomas E. Dewey, 1943-1954	275 microfilm reels
Nelson A. Rockefeller, 1959-1973	520 microfilm reels
Malcolm Wilson, 1973-1974	57 microfilm reels
Hugh L. Carey, 1975-1982	326 microfilm reels

13681. **Name Files, 1959-1982.** 546 microfilm reels (p. 20)

13489. **Press Clippings, 1975-1982.** 312 microfilm reels (p. 48)

- B0632. **Lieutenant Governor's Central Subject and Correspondence Files, 1929-1932, 1983-1985.** 43
microfilm reels (p. 117)

Only records of Lieutenant Governor Herbert Lehman for the years 1929-1932 are available on microfilm.

**APPENDIX C. Executive Clemency and Pardon Records
Filed with the Department of State**

Since its creation in 1778, the Office of the Secretary of State has served as the general recording office for State government. In this capacity, the Department of State is the office of record for filing many documents including executive pardons and commutations.

- B0042. **Executive Pardons, 1799-1931.**
4 cu. ft. (10 volumes)

- B1201. **Name Index to Executive Pardons, Respites, Commutations, Restorations of Citizenship and Certificates of Good Conduct, 1799-1982.**
3.9 cu. ft.

- B0047. **Records of Supersedeas, 1813-1881.**
2 cu. ft. (3 volumes)

- B0049. **Executive Orders for Commutations, Pardons, Restorations, and Respites, 1840-1929.**
12 cu. ft. (28 volumes)

- B0043. **Lists of Convicts Discharged by Expiration of Sentence or Pardon, 1848-1888.**
3 cu. ft. (7 volumes)

- B0048. **Respites and Commutation, 1854-1931.**
.1 cu. ft.

- B0045. **Reports of Admissions to and Discharges from County Jails, 1866.**
1 cu. ft. (2 volumes)

- B0046. **Executive Restoration of Citizenship Rights, 1869-1931.**
6 cu. ft. (8 volumes)

- B0044. **Abstracts of Convictions and Sentences Returned by County Clerks, 1901-1912.**
1 cu. ft. (1 volume)

- A1858. **Petition to Governor for Pardon, 1914.**
.5 cu. ft.

- 13253. **Executive Pardons, Respites, Commutations, Restorations of Citizenship, and Certificates, 1931-1990.**
4.5 cu. ft.

APPENDIX D. Appointment Records Filed with the Department of State

By statute enacted in 1778, the secretary of state was made *ex officio* clerk of the Council of Appointment. Since its creation that same year, the Office of the Secretary of State has served as the general recording office for State government. In this capacity, the Department of State is the office of record for filing many documents including executive commissions and appointments.

- A1845. **Minutes of the Council of Appointment, 1786-1822.**
2.5 cu. ft.
- A1846. **Index to Council of Appointment Minutes, 1777-1786.**
.3 cu. ft. (1 volume)
- A1847. **Administrative Files of the Council of Appointment, 1777-1821.**
7 cu. ft.
- B0018. **Oaths of Office of State Officials, 1778-1983.**
35 cu. ft. (69 volumes)
- 13252. **Commissions by the Governor, 1823-1986.**
16.5 cu. ft.
- 13254. **Letters of Appointment by the Governor, 1866-1971, 1984-1987.**
6.6 cu. ft.
- A1851. **Executive Orders for Commissions to Public Offices, 1839-1926.**
8 cu. ft.
- B0002. **Senate Resolutions Confirming Commissions by the Governor, 1834-1870.**
3 cu. ft. (38 volumes)
- A1852. **Record of Commissions by the Governor and the Senate, 1823-1927.**
55 cu. ft. (53 volumes)
- A1854. **Record of Commissions, 1770-1827.**
14.5 cu. ft. (33 volumes)
- A0472. **Register of Officers Elected or Appointed to State Offices and Boards, 1778-1939.**
2.5 cu. ft. (5 volumes)
- B0003. **Notices of Appointment of State Officials, 1855-1893.**
.5 cu. ft.
- A1951. **Register of Nominations for State Offices, 1890-1910.**
.5 cu. ft.
- A1850. **Index to Commissions for Public Offices, n.d.**
.3 cu. ft. (1 volume)

- A1848. **Abstract of Civil Appointments, 1804-1939.**
6 cu. ft. (9 volumes)
- A1855. **County Officers Appointment and Election Card File, 1913-1926.**
.5 cu. ft.
- A1853. **Register of Commissions Sent to County Clerks, 1816-1850.**
.3 cu. ft. (2 volumes)
- B0011. **Commissions for Notaries Public, 1923-1926.**
2 cu. ft. (4 volumes)
- B0012. **Senate Resolutions Confirming Governor's Appointments for Notaries Public, 1923-1927.**
2 cu. ft. (5 volumes)
- B0013. **Commissions by the Governor for Notaries Public, Recess Appointments, 1895-1927.**
12 cu. ft. (20 volumes)
- B0014. **Commissions by the Governor for Bank Notaries, 1890-1894.**
1 cu. ft. (1 volume)
- B0009. **Registers of Commissions of Notaries Public, 1850-1913.**
12 cu. ft. (23 volumes)
- B0304. **Out-of-state Commissioners of Deeds Appointment Files, ca. 1900-1977.**
8 cu. ft.
- B0006. **Registers of Appointment of Commissioners of Deeds for Other States, Territories, and Foreign Countries, 1850-1962.**
3.5 cu. ft. (7 volumes)
- B0007. **Abstracts of Appointments of Commissioners of Deeds for Other States, Territories, and Foreign Countries, 1850-1908.**
1 cu. ft. (3 volumes)
- B0008. **Oaths of Commissioners of Deeds for Other States, Territories, and Foreign Countries, 1850-1930.**
9 cu. ft.
13250. **Miscellaneous Appointments, ca. 1950-1986.**
6 cu. ft.
- B0004. **Resignations and Removals, 1867-1969.**
9 cu. ft.
13248. **Removals and Resignations from Office, 1945-1986.**
1 cu. ft.

13249. **Notices of Resignations, Deaths and Removals from Office, 1984-1990.**
.5 cu. ft.

B1329. **Notices of Senate Confirmation of Gubernatorial Appointments, 1971-1986.**
2.8 cu. ft.

APPENDIX E. Governors' Records and Related Papers in Other Repositories

Valuable collections of governors' records and related papers concerning their personal lives and political careers are available in a number of historical records repositories and libraries. Below is a list briefly summarizing the content of some significant collections and noting the repository in which they are located. A list of the addresses and phone numbers of all the repositories is included at the end.

For two centuries, outgoing governors took some records with them when they left office. As a result, many records were lost and some survive in repositories other than the State Archives. This situation existed in part because, until 1978, New York lacked a formal, systematic State Archives program and also because New York State operated under an antiquated law for governor's records. A law relating to governor's records was passed in 1858, several years after the State Library bought back records of first Governor George Clinton. (More Clinton records were purchased in 1882.) The 1858 law required governors to create and preserve records documenting their key actions and decisions, but later revisions to the law explicitly permitted disposition of other gubernatorial records at the governor's discretion. The governors' records law has never been updated to reflect far-reaching changes in the scope and practice of government business (including dramatic changes in the power and importance of the governor) or to conform with records laws passed since 1950 that establish a systematic process for agency records disposition and for archival review and retention of agency records that have enduring value. Even after the State Archives was opened in 1978, outgoing Governor Hugh Carey in 1982 removed some valuable records and several of his key staff destroyed others.

The list of collections of public records and personal papers is based primarily on information reported in the Research Libraries Information Network (RLIN), a national bibliographic database operated by the Research Libraries Group. Often, public records and personal materials are intermingled in these collections, and the volume and extent of gubernatorial records is not always clear from the available descriptive information. For more information, researchers should contact the repositories directly.

George Clinton, 1777-1795; 1801-1804

A collection of George Clinton papers, 1776-1819 (1 linear foot), includes correspondence, 1776-1812, concerning the Revolutionary War, gubernatorial, vice-presidential, and personal matters; military commissions, 1779-1803, signed by Clinton as governor of New York; and a volume of Clinton's proclamations issued as governor, 1777-1781. (Manuscripts and Archives Section, New York Public Library)

DeWitt Clinton, 1817-1822; 1825-1828

A collection of DeWitt Clinton Papers, 1785-1828 (9 linear feet), contains twenty four volumes of Clinton's papers and letter books. Volumes 1-15 contain letters written to Clinton, 1785-1828. Volumes 16-23 are letter books covering the years 1793-1828. Volume 24 contains miscellaneous papers, speeches, poems, and the like in various hands. (Columbia University, Rare Book and Manuscript Library)

Another collection of DeWitt Clinton Papers, 1790-1835 (1 linear foot), consists chiefly of letters, 1790-1835, and also includes military commissions signed by Clinton as governor and other official and legal documents, autographs, portraits, clippings, and printed material. Clinton's letters include discussions of gubernatorial matters, politics, legislation, and canal construction. (Manuscripts and Archives Section, New York Public Library)

William H. Seward, 1839-1842

A collection of Seward papers, 1766-1921 (230 linear feet), includes some gubernatorial records of William Seward, including reports and letters concerning appointments, extraditions, pardons, elections, Indian affairs, New York Geological Survey, and State institutions. (University of Rochester, Rush Rees Library)

William C. Bouck, 1843-1844

A collection of William C. Bouck Papers, 1727-1866 (4 cubic feet, 4 microfilm reels), contains correspondence and other papers relating mainly to Bouck's political career, including letters concerning State and local politics, political struggles over the enlargement of the canal system, Bouck's campaigns for the governorship in 1840 and 1842, and the antirent movement in Schoharie and Rensselaer Counties. Correspondence as governor concerns appointments, judicial reform, revision of State constitution, temperance, Sabbath observances, conditions at State prisons with special attention to facilities for women, minors, and the insane, sale of Oneida Indian Reservation land, State politics, Democratic Party factionalism, and pre-Civil War tensions. (Department of Manuscripts and University Archives, Cornell University Libraries)

Horatio Seymour, 1853-1854; 1863-1864

A collection of Seymour's Papers, 1764-1886 (15 boxes), includes correspondence dealing with Seymour's personal and political affairs, a governor's office blotter and telegram book, account books of his business activities, notebooks, scrapbooks of material on the Erie Canal, scrapbooks on Seymour's political activities, and speeches. (Manuscripts and Special Collections, New York State Library)

Myron H. Clark, 1855-1856

A collection of Myron H. Clark Papers, 1834-1856 (4 boxes), contains correspondence from Clark's terms as sheriff, state senator, and governor. Also included is family and business correspondence. (Manuscripts and Special Collections, New York State Library)

Edwin D. Morgan, 1859-1862

A collection of Edwin Denison Morgan Papers, 1830-1872 (50 cubic feet), relates to Morgan's personal, business, and political affairs. Included are correspondence, letterpress copybooks, journals (bookkeeping), ledgers, mortgages bonds, bills, receipts, other business papers, scrapbooks, pamphlets, and printed circulars. Morgan's papers include a significant amount of correspondence with national figures. The correspondence deals with personal business and political matters. A significant amount of material relates to Morgan's activities during the Civil War, including vouchers and requisitions for equipment, contracts for rations and clothing, and records relating to preparation of coastal defenses in and around New York Harbor. (Manuscripts and Special Collections, New York State Library)

Reuben E. Fenton, 1865-1868

A collection of Reuben Eaton Fenton Papers, 1854-1885 (.75 cubic foot), contains materials relating to all phases of Fenton's political career, including letters, 1854-1885, and telegrams received as governor, 1865-1868, concerning topics such as election campaigns, patronage, and mustering out regiments at the conclusion of the Civil War. Also

includes a proclamation by Governor Fenton regarding the end of the Civil War. (Manuscripts and Special Collections, New York State Library)

John T. Hoffman, 1869-1872

A collection of John Thompson Hoffman Papers, 1868-1883 (60 items), contains letters to Hoffman regarding State and national politics. (Manuscripts and Archives Section, New York Public Library)

John A. Dix, 1873-1874

A collection of John Adams Dix Papers, 1813-1879 (6.5 linear feet), contains correspondence, speeches, essays, clippings, leaflets, and other papers. Most of the collection is correspondence with prominent political, military, and literary figures of the period. (Columbia University, Rare Book and Manuscript Library)

Samuel J. Tilden, 1875-1876

A collection of Samuel Jones Tilden Papers, 1794-1886 (36 linear feet), contains correspondence; speeches; writings; political, legal, and family papers; maps; photographs; and other papers. (Manuscripts and Archives Section, New York Public Library)

Additional Tilden papers from 1876-1880 (ca. 1,000 items) are located at Columbia University, Rare Book and Manuscript Library.

Alonzo B. Cornell, 1880-1882

A collection of Alonzo B. Cornell Papers, 1830-1904 (7.5 cubic feet), contains correspondence, journal, accounts, clippings, notes, leaflets, blotters, and scrapbooks relating largely to Cornell's political activities. Includes letters (1880-1882) written during Cornell's administration as governor concerning appointments, the veto, various reform or political measures, political treachery, elevated companies, railroad commissions, and other matters. (Department of Manuscripts and University Archives, Cornell University Libraries)

Grover Cleveland, 1883-1884

A microfilm collection of Grover Cleveland Papers, 1828-1945 (164 microfilm reels), includes diaries, correspondence, speeches, and other papers, mostly relating to his two terms as United States President; very few items relate to his New York State political career. (Manuscripts and Archives, Yale University Library)

Additional Grover Cleveland papers on microfilm are located at the Buffalo and Erie County Historical Society - Manuscripts, Buffalo, New York. Other Grover Cleveland papers are located at the Princeton University Library, and the Burton Historical Collection, Detroit Public Library.

David B. Hill, 1885-1891

A collection of David B. Hill Papers, 1872-1920 (15 boxes), consists mainly of political correspondence. Also included are petitions sent to Hill regarding several bills pending in the State legislature and several albums regarding receptions given or attended by Hill. (Manuscripts and Special Collections, New York State Library)

Another collection of David Bennett Hill Papers, 1886-1910 (.9 linear foot), consists of correspondence, legal documents, drafts of speeches, and other materials, mostly relating to Hill's career as United States Senator. (Manuscripts and Archives Section, New York Public Library)

Levi P. Morton, 1895-1896

A collection of Levi Parsons Morton Papers, 1842-1920 (12 linear feet), includes correspondence as governor of New York as well as correspondence, speeches, newspaper clippings, and other papers relating to his private, political, and diplomatic careers. (Manuscripts and Archives Section, New York Public Library)

Another collection of Levi Parsons Morton Papers, 1860-1912 (.5 linear foot), contains correspondence and other papers, mostly relating to his term as governor. (Syracuse University, Special Collections, George Arents Research Library)

Theodore Roosevelt, 1899-1900

The Theodore Roosevelt Papers, 1759-1920, at the Library of Congress include family, personal, and official correspondence, diaries, speeches, press releases, and other materials, mostly dating from 1889-1919. These papers are also available in a microfilm publication produced by the Library of Congress. (Library of Congress, Manuscript Division)

The Theodore Roosevelt Collection, 1850s-1970s (175 linear feet), at Harvard University includes microfilm of the Roosevelt Papers at the Library of Congress in addition to original correspondence, diaries, and other papers of Roosevelt and members of his family. (Houghton Library, Harvard University)

A microfilm collection of Theodore Roosevelt Papers, 1759-1931 (485 microfilm reels), includes correspondence, speeches, press releases, and other papers of Roosevelt. (Manuscripts and Archives, Yale University Library)

A collection of Theodore Roosevelt Papers, 1885-1919, contains correspondence relating to Roosevelt's political career at the State and federal level. (William L. Clements Library, Division of Manuscripts, University of Michigan)

The Sagamore Hill National Historic Site Photograph Collection, ca. 1860-1990 (ca. 10,000 items), contains photographs from all stages of Theodore Roosevelt's life and career, photos of his family, friends and associates, and of Sagamore Hill and other places associated with him. Includes pictures of his early political activity in New York State and his service as governor. (Sagamore Hill National Historic Site)

A collection of Theodore Roosevelt Photographs, 1903-1973 (565 photoprints and photonegatives), provides a visual account of Roosevelt's life, including family life, outdoor activities, home correspondence from the White House, election campaign posters, cartoons, and newspaper articles about him. (American Museum of Natural History, Department of Library Services)

Frank W. Higgins, 1905-1906

A collection of Frank Higgins papers (3.5 linear feet), is located at Syracuse University, Special Collections, George Arents Research Library.

APPENDIX E

Charles Evans Hughes, 1907-1910

A collection of Charles Evans Hughes papers is located at the Library of Congress, Manuscript Division.

Horace White, 1910

A collection of Horace White papers, 1903-1914 (10 linear feet), is located at Syracuse University, Special Collections, George Arents Research Library.

William Sulzer, 1913

Fourteen Scrapbooks, 1906-1936, containing political correspondence and leaflets concerning Sulzer, are located in Manuscripts and Special Collections, New York State Library. Additional Sulzer papers are located at the Department of Manuscripts and University Archives, Cornell University Libraries (30.2 cubic feet, 2 microfilm reels), the New-York Historical Society, and Rutgers University Libraries (4 volumes).

A collection of William Sulzer Correspondence, 1898-1941 (40 items), contains mostly outgoing letters, a few of which (Eugene Brewster, Everett Wheeler) refer to Tammany Hall and the impeachment proceedings against Governor Sulzer. (Syracuse University, Special Collections, George Arents Research Library)

Charles S. Whitman, 1915-1918

A collection of Charles Whitman papers, 1868-1947 (115 items), is located at Columbia University, Rare Book and Manuscript Library.

Alfred E. Smith, 1919-1920; 1923-1928

A collection of Alfred E. Smith Papers, 1919-1944 (32 boxes), includes correspondence, 1932-1940; speeches, 1913-1944; clippings concerning the gubernatorial campaign of 1924; subject files, 1924-1939; governor's annual messages to the legislature, 1923, 1924, and 1925; records of Governor Smith's secretary, George B. Graves; 1919 inaugural ceremony materials; and press releases from the governor's office, 1925-1928. (Manuscripts and Special Collections, New York State Library)

Franklin D. Roosevelt, 1929-1932

Records and papers relating to Franklin D. Roosevelt and the Roosevelt family can be found at the Franklin D. Roosevelt Library and the Hyde Park Historical Society, both located in Hyde Park, New York. Roosevelt gubernatorial records that had been deposited at the Franklin D. Roosevelt Library have been returned to the State Archives.

Herbert H. Lehman, 1933-1942

A collection of Herbert Henry Lehman Papers, 1858-1963 (1,250,000 items), includes correspondence, manuscripts of writings, documents, sound recordings, motion pictures, political cartoons, clippings, printed material, and memorabilia documenting Lehman's early business career and his careers as lieutenant governor (1928-1932), governor (1933-1942), director general of the United Nations Relief and Rehabilitation Administration (UNRRA), and senator from New York (1949-1956). Also documented are Lehman's college years, his retirement years, and family and personal life. (Columbia University, Herbert H. Lehman Suite and Papers)

Charles Poletti, 1942

A collection of Charles Poletti Papers, 1920-1983 (ca. 38,400 items), includes correspondence, subject files, speeches, clippings, photographs, and memorabilia of Poletti as counsel to the governor of New York, 1933- 1937; justice of the New York State Supreme Court, 1937-1938; lieutenant governor, 1939-1942; governor, December 1942; and vice president for international relations, New York World's Fair, 1960-1966. Of particular importance are his files on the Allied Military Government in Italy, political campaigns, New York State Defense and War Councils, power projects, and the New York World's Fair, 1960-1966. (Columbia University, Herbert H. Lehman Suite and Papers)

Thomas E. Dewey, 1943-1954

Most records of the Thomas E. Dewey administration and other Dewey papers (735 cubic feet, 283 volumes) are located at the University of Rochester, Rush Rees Library, Department of Rare Books and Special Collections. The gubernatorial records include the original central files, a microfilm copy of which is in the State Archives. This collection includes personal and political correspondence, legislative papers and official correspondence from Dewey's terms as governor, speeches, photographs, clippings, and engagement calendars. The collection also includes recordings of speeches as well as motion picture films of official functions and political campaigns, beginning 1937.

W. Averell Harriman, 1955-1958

Records of the W. Averell Harriman administration and other Harriman papers (1,000 linear feet) are at Syracuse University, Special Collections, George Arents Research Library. The gubernatorial records are among the most complete for any governor, and there is an extensive inventory prepared in 1967. The records include campaign files, press releases, photographs, news clippings, general correspondence and subject files, printed material, and records of key advisors including the counsel, secretary, several assistant secretaries, the consumer counsel, and the industrial commissioner.

Nelson A. Rockefeller, 1959-1973

Over 2,000 cubic feet of Nelson A. Rockefeller administration records, including originals of the microfilmed Central Subject and Correspondence Files which are in the State Archives, and Rockefeller family collections are at the Rockefeller Archive Center, Pocantico Hills.

A collection of Eliot H. Lumbard Papers, 1959-1973 (27.3 linear feet), includes correspondence, notes, clippings, pamphlets, and reprints of Governor Rockefeller's Special Assistant Counsel for Law Enforcement (1961-1967). Materials concern probation, parole, gambling, criminal identifications, the New York State Constitutional Convention

of 1967, New York City crime, the Law Enforcement Act of 1965, and Governor Rockefeller's speeches, 1959-1973. (State University of New York at Albany, Archives, University Libraries)

The David Lawrence Cole Papers, Series 2, Commissions and Boards Materials (16.5 linear feet), Subseries 3, New York State Governor's Committee on Public Employee Relations Files, 1966-1969, includes correspondence, proposals, documents, minutes, drafts, judicial records, and memoranda relating to Governor Rockefeller's Committee on Public Employee Relations and to the Public Employees' Fair Employment Act (the "Taylor Law"), which it helped draft. Also included are documents relating to the Public Employment Relations Board (PERB) covering disputes involving various unions, and data on a number of decisions handed down by PERB. (Cornell University, Labor Management Documentation Center)

Malcolm Wilson, 1973-1974

A collection of Miscellaneous Records, ca. 1925-1985, includes about 100 linear feet of unprocessed papers of Governor Malcolm Wilson. (Fordham University Archives)

Hugh L. Carey, 1975-1982

A collection of Hugh L. Carey Gubernatorial Papers, 1975-1982 (50 cubic feet, 498 microfilm reels), includes files containing biographical materials, correspondence, and social invitations; campaign files including promotional literature; administrative and staff files of the Council on State Priorities highlighting Carey's support of education, housing, transportation, and economic issues; press releases; remarks and statements made during public appearances; speeches; and photographs of Carey and associates attending public events. (St. John's University)

Records and Papers at the New York State Library

The New York State Library, Manuscripts and Special Collections, holds a number of collections relating to New York State governors in addition to those listed above in this appendix. Many of these collections consist of one or two items such as land grants, military appointments, receipts for funds, or letters to or from the governor. However, several larger collections, described below, each contain materials relating to a number of governors.

The William Gorham Rice Papers, 1841-1937 (8 boxes), include correspondence, articles, legislative bills, and other materials relating to Rice's career as secretary to Governors Grover Cleveland and David B. Hill.

The George Stephenson Bixby Papers, 1872-1935 (15 boxes, 12 packages), include materials used in preparing a biography of David B. Hill; letters to Hill; Hill's letter copybooks and speeches; and speeches of Roswell P. Flower.

The James Mahoney Papers, 1925-1942 (2 cubic feet), include personal and business letters addressed to Mahoney, an assistant secretary to Governors Alfred E. Smith, Franklin D. Roosevelt, and Herbert Lehman. The letters deal with issues before the legislature, political matters, requests for the governor's attention, and other matters. Correspondents include a wide variety of individuals representing government agencies, business firms, special interest groups, and politicians.

The New York State Governor's Autograph Collection, 1815-1900 (81 items), includes commissions,

appointments, deeds, recommendations, official correspondence, and personal letters, all bearing the signature of a governor.

Repository Addresses and Telephone Numbers

American Museum of Natural History
Department of Library Services
Central Park West at 79th Street
New York, NY 10024
(212)769-5416

Harvard University
Houghton Library
Manuscript Department
Cambridge, MA 02138
(617)495-2440

Columbia University
Rare Book and Manuscript Library
801 Butler Library
New York, NY 10027
(212)280-2231, 2232

Library of Congress
Manuscript Division
James Madison Building
First Street and Independence Avenue, S.E.
Washington, DC 20540
(202)707-5387

Columbia University Libraries
Herbert H. Lehman Suite and Papers
406 International Affairs Building
420 West 118th Street
New York, NY 10027
(212)280-3060

New York State Library
Manuscripts and Special Collections
Cultural Education Center
Empire State Plaza
Albany, NY 12230
(518)474-6282

Cornell University
Labor-Management Documentation Center
M.P. Catherwood Library
144 Ives Hall
Ithaca, NY 14853-3901
(607)255-3183

New York Public Library
Manuscripts and Archives Section
Room 319
5th Avenue and 42nd Street
New York, NY 10036
(212)930-0804, 0805

Cornell University
Rare and Manuscript Collections
Kroch Library
Ithaca, NY 14853-5302
(607)255-3530

New-York Historical Society
170 Central Park West
New York, NY 10024
(212)873-3400

Detroit Public Library
Burton Historical Collection
5201 Woodward Avenue
Detroit, MI 48202
(313)833-1480

Princeton University Library
Department of Rare Books and Special Collections
One Washington Road
Princeton, NJ 08544
(609)258-3174

Fordham University
Archives
Bronx, NY 10458
(212)579-2037

Rockefeller Archive Center
Pocantico Hills

APPENDIX E

15 Dayton Avenue
N. Tarrytown, NY 10591
(914)631-4505

Rutgers University Libraries
Special Collections/Archives
Alexander Library
169 College Avenue
New Brunswick, NJ 08903
(908)932-7006

Sagamore Hill National Historic Site
Box 304
Oyster Bay, NY 11771
(516)922-4447

St. John's University
Archives
Central and Utopia Parkways
Jamaica, NY 11439
(718)990-6161, ext. 6734

State University of New York at Albany
University Libraries, B-43
Archives
1400 Washington Avenue
Albany, NY 12222
(518)457-8541

Syracuse University
Special Collections
George Arents Research Library
Syracuse, NY 13210
(315)423-3335

University of Rochester
Rush Rees Library
Department of Rare Books and Special Collections
Rochester, NY 14627
(716)275-4477, 4494

University of Michigan
William L. Clements Library
Division of Manuscripts
909 South University Avenue
Ann Arbor, MI 48109
(313)764-2347

Yale University Library
Manuscripts and Archives
P.O. Box 1603A Yale Station
New Haven, CT 06520
(203)432-1742

APPENDIX F. Information about the *Public Papers of the Governor*

The volumes in the published *Public Papers of the Governor* series are compilations of messages to the legislature, approval and veto messages, messages of necessity, executive orders, appointments and judicial designations, requirements upon the attorney general, investigations, pardons, proclamations, addresses, and testimony, correspondence, statements, reports and press releases relating to general government matters.

The earliest identifiable volume in the *Public Papers* series is a one-volume compilation for the 1869-1872 incumbency of Governor John T. Hoffman. There appears to be a gap for the 1873-1876 period. Publication continued on a regular basis after 1877. Generally, a separate volume appeared for each year of a governor's incumbency; since 1899 that has been the norm with the exception of composite volumes for the 1913-14 term of Governor Glynn and the 1973-74 term of Governor Wilson.

There are other publications which address the records of a particular governor or the particular records of a governor, but these are not part of a continuing series. For example, there are the ten-volume *Public Papers of George Clinton, 1777-95 and 1801-04*, the three-volume *Public Papers of Daniel D. Tompkins, 1807-17* dealing with military affairs, the *Messages of Governor E.D. Morgan, 1859-62*, the *Veto Messages of Governor J.A. Dix, 1873*, the *Veto Messages of Governor J.A. Dix, 1874*, the *Veto Messages of Governor Samuel J. Tilden, 1875*, and the *Messages of Governor Samuel J. Tilden, 1875-76*. There also appear to be gaps in the pre-1869 records which are addressed, in part, by the eleven volume *Messages from the Governor, comprising Executive Communications to the Legislature and other Papers relating to Legislation from ... 1683 to ... 1906 ...* edited by Charles Z. Lincoln and published in 1909.

**APPENDIX G. The Governor's Records Law (Executive Law, Section 5)
and the Resolution of the Governor's Conference on Libraries**

Recommendation endorsed by the Governor's Conference on Libraries and Information Services,
and included in its 1991 final report

Preserving records of New York's governors. The Executive Chamber and the State Archives and Records Administration should jointly draft and propose in 1991 a "Gubernatorial and Executive Chamber Records Disposition and Access Law." The proposal should provide that all records, regardless of format or media, created or handled by Governors and their staff in the conduct of any governmental matter shall be reviewed by the State Archives and Records Administration to assess their continuing value; that those of continuing value shall be transferred to and retained in the legal custody of the State Archives and Records Administration after the governor leaves office; and that records in selected categories to be specified in statute may, upon the judgement of the outgoing governor, be available only with the permission of his or her specified agent for a period not to exceed fifteen years. These review, disposition and access provisions should apply to all records except those which relate strictly to the personal affairs of the Governor and his family or staff and which do not relate to governing the State or to any State operations.

Statutory Provisions Relating to Governor's Records

1. The current law, Executive Law Section 5, passed as part of Chapter 800, Laws of 1951, and which added the phrase "or in the appropriate state office" to line 2 of the 1892 law.

§5. **Executive records.** The governor shall cause to be kept in the executive chamber or in the appropriate state office:

1. Journals of the daily transactions of his office.
2. Registers, containing classified statements of such transactions.
3. Separate registers containing classified statements of all applications for pardon, commutation or other executive clemency, and of his action thereon.
4. An account of his official expenses and disbursements, including the incidental expenses of his department.
5. Files of all official records upon which applications for executive clemency are founded; of statements made by judges to him; of sentences to death and of the testimony in capital cases; and of such other papers relating to the transactions of his office as are deemed by him of sufficient value for preservation.

2. The 1892 law, passed as part of Chapter 683, Laws of 1892, which modified the 1858 law.

§5. **Executive records.** The governor shall cause to be kept in the executive chamber,

1. Journals of the daily transactions of his office;
2. Registers, containing classified statements of such transactions;
3. Separate registers containing classified statements of all applications for pardon, commutation or other executive clemency, and of his action thereon;
4. An account of his official expenses and disbursements, including the incidental expenses of his department, and of all rewards offered by him for the apprehension of criminals, and also the expense incurred by him in sending the reports and copies of the laws of this state to other states.
5. Files of all official records upon which applications for executive clemency are founded; of statements made by judges to him; of sentences to death and of the testimony in capital cases; and of such other papers relating to the transactions of his office, as are deemed by him of sufficient value for preservation.

3. The first law, passed as part of Chapter 64, Laws of 1858.

§20. The governor shall cause to be kept in proper books to be provided for that purpose, a full and complete register of all applications or petitions made to him for the discharge of any duty imposed on him by the constitution or laws of the state, or for the exercise of any power in him vested, which register so made shall be and remain in the executive chamber,, and the original papers on which each application or petition is founded, shall remain on file in the executive chamber, and with the register so made, shall be delivered to his successor when he shall have been duly qualified. But whenever an application for appointment to office in his gift, or nomination, shall be refused by the governor, he may, in his discretion, deliver to the unsuccessful applicant, his letters, recommendations and petitions in relation thereto.

§21. The governor shall cause to be provided in his office, proper books, in which shall be entered all applications made to him for the pardon of any prisoner or the commutation of any sentence, with a record of the same, and a list of the official signatures and recommendations in favor of such application, and all the original papers on which such application is founded, shall remain on file in the executive chamber.

§22. The governor shall cause to be preserved and filed in his office the judges' reports made to him pursuant to the provisions of the statute, of the testimony on which capital convictions had taken place. He shall also keep a register of the same, in which shall be recorded any action which he may have taken in relation to such convictions, and the same shall remain in the executive chamber.

§23. The governor shall also cause to be kept a book containing a statement of his disbursements for the incidental expenses of his department; of rewards offered by him for the apprehension of criminals, and expenses incurred in sending the reports of courts and copies of the laws of this state to other states, and of all other official expenses and disbursements.

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