



MONTHLY OPERATIONS REPORT

September 2023, with 2022 – 2023 Year-To-Date Comparison

INVESTIGATIONS	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 – Sep 30)	2022 YEAR-TO-DATE (Jan 1– Sep 30)
Number of tips, complaints, and reports received	11	7	4	134	123
Number of 15-day letters sent	1	0	0	0	3
Number of investigations opened	1	0	0	0	3
Number of matters closed	0	0	0	0	54
Number of guidance letters sent	0	0	0	0	0
Number of matters pending	See 2023 YTD	See 2023 YTD	See YTD	186	122
Number of open investigations	See 2023 YTD	See 2023 YTD	See YTD	36	32

ETHICS	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 - Sep 30)	2022 YEAR-TO-DATE (Jan 1- Sep 30)
Total Requests for Guidance	73	41	39	584	639
Post-Employment	23	14	7	152	192
Gifts	2	0	5	29	37
Outside Activity	24	10	13	192	208
Reimbursement for Official Activity	6	1	2	19	20
Conflict of Interest	4	5	4	51	68
Miscellaneous	14	11	8	125	114
Publications & Eblasts	0	0	0	0	0

LOBBYING	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 – Sep 30)	2022 YEAR-TO-DATE (Jan 1 – Sep 30)
Number of Individual & Principal Lobbyists	See 2023 YTD	See 2023 YTD	See 2022 YTD	7,592	8,129
Number of Clients	See 2023 YTD	See 2023 YTD	See 2022 YTD	3,913	4,391
Number of Public Corps	See 2023 YTD	See 2023 YTD	See 2022 YTD	51	66
Lobbying Inquiries	2,702	1,837	1,819	29,074	22,644
Publications & Eblasts	0	1	1	8	13

FDS	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 - Sep 30)	2022 YEAR-TO-DATE (Jan 1 - Sep 30)
Number of Filings Submitted	1,067	524	282	26,341	27,320
Failure to File Notices Issued	0	294	0	5,461	4,881
Notices of Delinquency Issued	0	0	0	47	95
Number of Exemption and Deletion Requests	8	26	24	200	297

TRAINING	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 - Sep 30)	2022 YEAR-TO-DATE (Jan 1- Sep 30)
Ethics Trainings Held	2	2	1	18	15
Number of officers/employees who received credit for completing COELIG ethics training	116	130	67	948	732
Number of officers/employees overdue for ethics training	--	--	See 2022 YTD	--	2,468
Number of workforce members who received agency training	10,208	8,588 ¹	5,498	92,665 ²	9,554 ³
Number of individuals who completed lobbying training	173	176	15	8,279	448

¹ The monthly and YTD figure represents the number of New York State employees reported to have completed training with their agency as of 10/16/23.

² See footnote 1.

³ The YTD figure represents the number of New York State employees reported to have completed training with their agency after July 7, 2022 (JCOPE to COELIG transition).

AUDIT AND REVIEW	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 - Sep 30)	2022 YEAR-TO-DATE (Jan 1- Sep 30)
Number of Random Audits of lobbying filings completed	21	16	45	493	542
Number of Random FDS reviews completed	151	147	0	471	780
Requests for Additional Information Letters (RAILs) sent after Random Review	68	40	0	169 ⁴	280
Number of Targeted FDS reviews completed	13	0	86	357	304
RAILs sent after Targeted Review	1	3 ⁵	27	98	44

⁴ When comparing the January through September 2023 YTD RAILs sent after Random Review in the current report with the corresponding number in last month's Operations Report, note that the YTD count in the latter – 92 - did not include the the 37 RAILs sent in June. Adjusting for that omission yields the current That explains why last month's number was 92 and this month's number YTD figure of 169.

⁵ The targeted reviews associated with these three RAILs were actually completed in August, but the letters were held and sent in September.

PUBLIC INFORMATION OFFICE	2023 PRIOR MONTH COUNT (August)	2023 MONTHLY COUNT (September)	2022 MONTHLY COUNT (September)	2023 YEAR-TO-DATE (Jan 1 - Sep 30)	2022 YEAR-TO-DATE (Jan 1- Sep 30)
Record Access Requests	17	14	19	184	153
Records Provided⁶	15	19	16	164	150
Record Requests Pending	12 (as of 9/15/23—0 past due)	9 (as of 10/3/23 - 0 past due)	--	--	--

⁶ Please note that “Records Provided” in response to a single records request are reported here as one record provided, without regard to the quantity of documents or other records provided in response to that request.