**New York Law**

**Authority to Compromise or Settle Cases**

**Date:** October 22, 2025  
**Prepared by:** Legal Compliance and Administrative Oversight Team

**Purpose**

This document provides evidence supporting New York Law’s adherence to procedural requirements under the regulation governing the **authority of reviewing officials to compromise or settle cases**.  
It presents records and supporting materials that demonstrate internal processes related to notification, settlement timing, and documentation practices.

**Evidence Summary**

| **Requirement** | **Evidence Description** |
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| **Authority to Compromise or Settle** | Documentation confirms that reviewing officials maintain exclusive authority to compromise or settle cases **only after** being authorized to issue a complaint and **before** the Administrative Law Judge (ALJ) issues an initial decision. Copies of signed delegation memos and internal legal authority statements are maintained. |
| **Timing of Settlements** | Case logs and settlement correspondence demonstrate that all case settlements occurred within the authorized window—after complaint issuance but prior to ALJ decision issuance. Timestamped case management records are attached as supporting evidence. |
| **Attorney General Notification** | Written notifications to the Attorney General were prepared and transmitted **no later than 30 days before** entering into settlement agreements. Copies of letters and email confirmations from the Attorney General’s office are included in the evidence archive. |
| **Written Record Retention** | All communications, settlement proposals, and Attorney General notifications are archived in the Legal Document Management System (LDMS) with metadata confirming creation and transmission dates. |
| **Referral to Presiding Officer** | No settlement or compromise agreements were executed after referral of liability allegations to a presiding officer. Documentation from the case tracking system confirms compliance with referral boundaries. |

**Supporting Documentation**

1. **Delegation of Authority Memos** — Documents confirming authorization of reviewing officials to compromise or settle cases.
2. **Settlement Correspondence Logs** — Case files showing timestamps of complaint issuance and settlement execution.
3. **Attorney General Notification Letters** — Copies of official letters sent at least 30 days prior to settlement, with acknowledgment receipts.
4. **Case Tracking Records** — Audit trail reports showing the procedural timeline for complaint issuance, settlement activity, and ALJ decision dates.
5. **LDMS Audit Reports** — Evidence of document retention and verification of communication records stored in the legal repository.

**Observations**

* Internal records demonstrate timely notification to the Attorney General prior to settlement actions.
* Document metadata aligns with procedural timing requirements under the applicable regulation.
* Delegation of authority and legal oversight are supported by current authorization records.
* No records indicate settlement actions occurred outside the prescribed timeframes.

**Document Control**

| **Document ID** | **Version** | **Effective Date** | **Prepared By** | **Reviewed By** |
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| NYL-LGL-AUTH-EVD | 1.0 | October 22, 2025 | **Madeline R. Cooper**, Senior Legal Analyst | **Jonathan P. Ellsworth**, Director of Legal Affairs |