

# **EXECUTIVE BUDGET APPENDIX I**

## **CONTENTS**

### **PART I — THE BUDGET BY FUNCTIONAL AREA**

#### **EDUCATION, LABOR AND FAMILY ASSISTANCE**

Arts, Council on the .....	5
Children and Families, Council on .....	11
City University of New York .....	15
Education Department, State .....	21
Family Assistance, Department of	
Children and Family Services, Office of .....	39
Temporary and Disability Assistance, Office of .....	49
Higher Education Services Corporation .....	59
Labor, Department of .....	65
Real Property Services, Office of .....	73
State University of New York .....	79
State University Construction Fund .....	85
Veterans' Affairs, Division of .....	89
Welfare Inspector General, Office of .....	93
Workers' Compensation Board .....	97

#### **PUBLIC PROTECTION, HEALTH AND MENTAL HYGIENE**

Advocate for Persons with Disabilities, Office of .....	103
Aging, State Office for the .....	107
Capital Defender Office .....	113
Developmental Disabilities Planning Council .....	117
Health, Department of .....	121
Human Rights, Division of .....	137
Interest on Lawyer Account .....	141
Investigation, Temporary State Commission of .....	145
Judicial Commissions .....	149
Justice, Department of .....	153
Mental Hygiene, Department of	
Alcoholism and Substance Abuse Services, Office of .....	171

PUBLIC PROTECTION, HEALTH AND MENTAL HYGIENE (continued)

Mental Health, Office of	177
Mental Retardation and Developmental Disabilities, Office of	185
Military and Naval Affairs, Division of	193
Motor Vehicles, Department of	199
Quality of Care for the Mentally Disabled, Commission on	205

TRANSPORTATION, ECONOMIC DEVELOPMENT AND ENVIRONMENTAL  
CONSERVATION

Adirondack Park Agency	211
Agriculture and Markets, Department of	215
Economic Development, Department of	221
Empire State Development Corporation	229
Energy Research and Development Authority	233
Environmental Conservation, Department of	235
Environmental Facilities Corporation	247
Housing and Community Renewal, Division of	251
Housing Finance Agency	259
Mortgage Agency, State of New York	261
Hudson River Park Trust	265
Lottery, Division of the	267
Metropolitan Transportation Authority	271
Olympic Regional Development Authority	275
Parks, Recreation and Historic Preservation, Office of	279
Public Authorities, New York State	285
Racing and Wagering Board, State	299
Science, Technology and Academic Research, Office of	303
Thruway Authority	307
Transportation, Department of	309

GENERAL GOVERNMENT

Alcoholic Beverage Control, Division of	319
Audit and Control, Department of	321
Banking Department	327
Budget, Division of the	331
Civil Service, Department of	335
Consumer Protection Board	341
Elections, State Board of	345
Employee Relations, Office of	349
Executive Chamber	353
General Services, Office of	357
Inspector General, Office of the State	363



# ***PART I***

## ***THE BUDGET BY FUNCTIONAL AREA***



***EDUCATION,  
LABOR AND  
FAMILY ASSISTANCE***



# **COUNCIL ON THE ARTS**

## **MISSION**

The primary responsibility for oversight and administration of the State's artistic and cultural resources is assigned to three existing entities — the Council on the Arts, the Empire State Plaza Performing Arts Center Corporation and the New York State Theatre Institute — and a newly established Office of Cultural Resources. Working together, these agencies will expand access to the performing and fine arts, preserve the State's cultural resources and promote greater public awareness of New York's rich cultural heritage.

## **ORGANIZATION AND STAFFING**

The Council on the Arts is headed by a Chair and a Vice Chair and consists of 20 members nominated for five-year terms by the Governor with confirmation by the Senate. The Council's staff, headed by an Executive Director, is organized into an Administrative Division and a Program Division, both in New York City. The latter has expertise in several major artistic disciplines (including dance, theatre and music) and provides advisory services and financial assistance to the arts community of the State. During 2000-01, the Council on the Arts will have a workforce of 64 for the review, processing and administration of arts grants and loans to nonprofit organizations.

The Empire State Plaza Performing Arts Center Corporation (PACC) was established in 1979 as a public benefit corporation to administer a performing arts center in Albany to present the finest artistic talent in New York. An 18-member Board of Directors — consisting of the Commissioner of General Services and members appointed by the Governor, leaders of the Legislature, as well as the Mayor and County Executive of Albany — provides policy direction for PACC and appoints its Executive Director. The Chair of the Board is selected by the Governor. PACC has a full-time staff of 13.

The New York State Theatre Institute Corporation (NYSTI) is a public benefit corporation, established in 1992, committed to provide educational theater experiences for children and families across the State. The Governor appoints the Chair of the Board of Directors whose 15 members are selected by the Governor and the legislative leaders. The chief executive officer of NYSTI is its Producing Director, who is appointed by the Board. NYSTI's staff of 29 works mostly in Troy, where its office, production and instructional facilities are located.

To promote increased recognition and visibility of the important cultural programs administered by the State Museum, the State Library and the State Archives, a transfer of these functions from the State Education Department (SED) is recommended to establish a new entity — the Office of Cultural Resources (OCR) — the sole focus of which will be these cultural functions. The 2000-01 Executive Budget proposes to implement this functional transfer by October 1, 2000 and provides for the related transfer of funds, facilities and staff.

A nine-member Board of Trustees will oversee this new office with members nominated for five-year terms by the Governor subject to Senate confirmation. The Chair of the Board will be designated by the Governor from among the Trustees. The office's chief executive officer will be an Executive Director appointed by the Board. Funds for OCR's operations and grant programs will be transferred from SED's Cultural Education Program and the Office of Management Services. When the realignment is complete, OCR will have a staff of approximately 465.



## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Most of the Council's funding (97 percent) is provided by the State's General Fund. Federal grants from the National Endowment for the Arts are projected to represent approximately 2 percent of 2000-01 disbursements. One Fiduciary Fund account provides funding for short-term loans to arts organizations for acquisition of expensive musical instruments and for capital improvements. A second Fiduciary Fund, established in 1999-2000, enables the Council to receive and expend funds available through donations and gifts.

Grants to not-for-profit arts organizations represent 87 percent of the projected expenditures of the Council. The remainder is used for the administration of grant programs and the statewide advocacy, promotion and development of artistic and cultural programs.

The 2000-01 Executive Budget includes:

- Funding of \$4.9 million for administration of the Council's programs; and
- Funding of \$43.4 million for arts grants which will support general arts grants, decentralization grants and the Empire State Partnership initiative. Recommended 2000-01 funding levels reflect the elimination of \$1.8 million in one-time Community Projects grant funding.

Funding is provided in the Executive Budget for PACC at \$550,000; and for NYSTI at \$1,489,000, which includes the cost of negotiated salary increases. Receipts from ticket sales, private donations, and sales and lease of products and facilities will supplement the State funds provided to these organizations.

The Executive Budget provides \$9.6 million for OCR representing six months funding for the operations of the new office, upon its transfer from SED which is to take place by October 1. In addition, Local Assistance, non-General Fund and Capital appropriations which are necessary to fund OCR activities will be transferred from the corresponding funds and accounts in SED during 2000-01.

## **PROGRAM HIGHLIGHTS**

*Council on the Arts.* Since April 1995, the Council has disbursed over 12,700 grants totaling approximately \$162 million to more than 1,300 cultural organizations. According to a recent study commissioned by the Council, these grants act as a catalyst and generate additional economic benefits that total an estimated \$13 billion. Grant awards to nonprofit arts organizations are approved through an application process overseen by a special appeals panel which ensures fair and equitable treatment of all applicants. Program audits are also conducted to promote accountability by monitoring program quality and contractual compliance.

The Council receives approximately 3,600 requests for funding each year from organizations throughout the State including symphony orchestras, museums, dance companies, theaters and libraries. To recognize program excellence and promote regional diversity, the Council devotes half of its State grant funding to organizations that have recognized standing in the field, and guarantees that each county receives a minimum base grant tied to its population.

*Office of Cultural Resources.* In assuming its redefined role as the custodian of the State's cultural assets, OCR would:

- Provide overall leadership for development of cultural resources in partnership with local governments, nonprofit organizations and the private sector;
- Play an integral role in promoting cultural tourism including implementation of the Cultural Heritage Trail initiative;
- Transform the State Museum into a more vibrant, attractive and high-tech resource to better showcase New York's cultural history and heritage; and
- Provide greater opportunity for the State Library and the State Archives to emerge as world-class information centers.

*Performing Arts Center Corporation.* During the 1998-99 season, PACC presented 41 events which generated a total attendance of 27,589 and produced a special Easter event for children. In 1998-99, subscriptions for PACC increased 6 percent from the previous year.

*New York State Theatre Institute.* More than 65,000 children, teachers and parents attended NYSTI's seven productions in 1998-99. During the same period, NYSTI certified 89 high school units and 168 college credits to 77 high school seniors and college students who participated in its internship program. The Institute received the National American Alliance for Theatre and Education award for artistic achievement and was nominated for an Audie Award for its production of *A Little Princess*.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$18,232,600	\$17,656,200	-\$576,400	\$1,360,000
Aid To Localities .....	45,495,000	43,695,000	-1,800,000	95,000
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$63,727,600</b>	<b>\$61,351,200</b>	<b>-\$2,376,400</b>	<b>\$1,455,000</b>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	56	55	.....	55	-1
Special Revenue Funds - Federal .....	9	9	.....	9	.....
Office of Cultural Resources					
General Fund .....	170	.....	170	170	.....
<b>Total .....</b>	<b>235</b>	<b>64</b>	<b>170</b>	<b>234</b>	<b>-1</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$16,552,600	\$16,565,200	+\$12,600
Special Revenue Funds - Federal .....	680,000	691,000	+11,000
Fiduciary Funds .....	1,000,000	400,000	-600,000
<b>Total .....</b>	<b>\$18,232,600</b>	<b>\$17,656,200</b>	<b>-\$576,400</b>
Adjustments:			
Transfer(s) From			
Education Department, State			
General Fund .....	-9,402,100		
Special Pay Bill			
General Fund .....	-25,000		
Appropriated 1999-00 .....	\$8,805,500		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$4,969,000	\$4,911,000	-\$58,000
Special Revenue Funds - Federal .....	680,000	691,000	+11,000
Fiduciary Funds .....	1,000,000	400,000	-600,000
Office of Cultural Resources			
General Fund .....	9,402,100	9,615,200	+213,100
Empire State Performing Arts Center Corporation			
General Fund .....	550,000	550,000	....
New York State Theatre Institute			
General Fund .....	1,454,000	1,489,000	+35,000
Community Projects			
General Fund .....	177,500	....	-177,500
<b>Total .....</b>	<b><u>\$18,232,600</u></b>	<b><u>\$17,656,200</u></b>	<b><u>-\$576,400</u></b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$3,324,000	-\$14,000	\$3,189,000	-\$14,000	\$127,000	....
<b>Total .....</b>	<b><u>\$3,324,000</u></b>	<b><u>-\$14,000</u></b>	<b><u>\$3,189,000</u></b>	<b><u>-\$14,000</u></b>	<b><u>\$127,000</u></b>	<b><u>....</u></b>

<u>Program</u>	Holiday/Overtime Pay (Annual Salaried)	
	<u>Amount</u>	<u>Change</u>
Administration .....	\$8,000	....
<b>Total .....</b>	<b><u>\$8,000</u></b>	<b><u>....</u></b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$1,587,000	-\$44,000	\$121,400	....
Office of Cultural Resources .....	9,615,200	+213,100	....	....
Empire State Performing Arts Center Corporation .....	550,000	....	....	....
New York State Theatre Institute ..	1,489,000	+35,000	....	....
Community Projects .....	....	-177,500	....	....
<b>Total .....</b>	<b>\$13,241,200</b>	<b>+\$26,600</b>	<b>\$121,400</b>	<b>....</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$251,200	....	\$1,123,000	-\$44,000
<b>Total .....</b>	<b>\$251,200</b>	<b>....</b>	<b>\$1,123,000</b>	<b>-\$44,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$91,400	....	....	....
Office of Cultural Resources .....	....	....	\$9,615,200	+\$213,100
Empire State Performing Arts Center Corporation .....	....	....	550,000	....
New York State Theatre Institute ..	....	....	1,489,000	+35,000
Community Projects .....	....	....	....	-177,500
<b>Total .....</b>	<b>\$91,400</b>	<b>....</b>	<b>\$11,654,200</b>	<b>+\$70,600</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$1,091,000	-\$589,000	\$461,400	....
<b>Total .....</b>	<b>\$1,091,000</b>	<b>-\$589,000</b>	<b>\$461,400</b>	<b>....</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$229,600	+\$11,000	\$400,000	-\$600,000
<b>Total .....</b>	<b>\$229,600</b>	<b>+\$11,000</b>	<b>\$400,000</b>	<b>-\$600,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$45,200,000	\$43,400,000	-\$1,800,000
Special Revenue Funds - Federal .....	95,000	95,000	....
Fiduciary Funds .....	200,000	200,000	....
<b>Total .....</b>	<b>\$45,495,000</b>	<b>\$43,695,000</b>	<b>-\$1,800,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$43,400,000	\$43,400,000	....
Special Revenue Funds - Federal .....	95,000	95,000	....
Fiduciary Funds .....	200,000	200,000	....
Community Projects			
General Fund .....	1,800,000	....	-\$1,800,000
Total .....	<u>\$45,495,000</u>	<u>\$43,695,000</u>	<u>-\$1,800,000</u>

# **COUNCIL ON CHILDREN AND FAMILIES**

## **MISSION**

The Council on Children and Families, established in 1977, ensures that services provided to children and families are coordinated across State agencies and between New York State and its political subdivisions in order to achieve the most rational and effective services system possible.

## **ORGANIZATION AND STAFFING**

The Council consists of the commissioners and directors of the State's thirteen health, education and human services agencies. Chaired by the Governor's Director of State Operations, the Council provides a neutral forum for resolving interagency issues and integrating plans and policies affecting New York's children and families.

The agency consists of three Offices: Executive Director, Counsel, and Administrative Services; and two Bureaus: Policy Analysis and Interagency Coordination and Case Resolution. The Council will have a workforce of 21 in 2000-01. Fourteen of these positions are supported by State tax dollars from the General Fund and seven by Federal grants.

## **BUDGET HIGHLIGHTS**

For fiscal year 2000-01, the Executive Budget provides \$928,000 in General Fund support for the Council, an increase of \$36,000 from the prior year. The Budget also includes new Federal appropriations of \$1.1 million to support a two year project, the New York State Alliance for Family Literacy. This project is intended to raise the quality and standards of family literacy statewide by expanding and strengthening services and through improved coordination of resources.

## **PROGRAM HIGHLIGHTS**

The Council and the Commissioners and Directors of its member agencies have developed a common set of goals, objectives and indicators for improving the lives of children and families throughout the State, known as New York State Touchstones. Interagency activities undertaken by the Council are guided by Touchstones, and by the shared commitment of its member agencies to strengthen families by focusing on preventive strategies, removing barriers to effective service delivery, and coordinating efforts to facilitate outcome-based approaches at the local level. Furthering this goal, the Council annually issues the Touchstones/Kids Count data book. Publication costs are funded through grants from private foundations.

To improve timeliness and enable the sharing of data collected at the State and local level that measures children's well-being, the Council partnered with several organizations to develop an electronic resource to bring together data from multiple sources into a publicly-accessible information repository. This interactive Web Site will be available in SFY 2000-01 to provide up-to-date information and other supportive resources that will help users gather and analyze various indicators, assess needs, and design and improve programs.

The Council's major activities for 2000-01 include the following:

- A Statewide initiative to improve policy and practice in juvenile delinquency diversion for non-violent youth;
- Kids Well-Being Indicator Clearinghouse (KWIC);
- New York State Head Start Collaboration Project;
- Task Force on School-Community Collaboration; and

# CHILDREN AND FAMILIES

— Family Support New York.

The Council provides guidance and direction on policy and program development through participation on the following interagency initiatives and workgroups: coordinated Children's Services Initiative; Mental Health/Juvenile Justice Project; Adolescent Project Team; New York State Task Force on HIV/AIDS Prevention; Governor's State Incentive Task Force/OASAS Cooperative Agreement; and the Interagency Workgroup for the Care and Management of Child and Adolescent Sexual Abusers.

The Council also will assist with the implementation of recommendations made to the Governor by the task forces on Out of Wedlock Pregnancies and Poverty and on School Violence.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$1,742,000	\$2,878,000	+\$1,136,000	\$295,000
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$1,742,000</b>	<b>\$2,878,000</b>	<b>+\$1,136,000</b>	<b>\$295,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	14	14	....	14	....
Special Revenue Funds - Federal .....	2	2	3	5	+3
Subtotal, Direct Funded Programs .....	16	16	3	19	+3
Suballocations:					
Special Revenue Funds - Federal .....	2			2	....
<b>Total .....</b>	<b>18</b>			<b>21</b>	<b>+3</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$892,000	\$928,000	+\$36,000
Special Revenue Funds - Federal .....	550,000	1,650,000	+1,100,000
Fiduciary Funds .....	300,000	300,000	....
<b>Total .....</b>	<b>\$1,742,000</b>	<b>\$2,878,000</b>	<b>+\$1,136,000</b>

# CHILDREN AND FAMILIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund .....	\$892,000	\$928,000	+\$36,000
Special Revenue Funds - Federal .....	550,000	1,650,000	+1,100,000
Expendable Trust Funds .....	300,000	300,000	.....
Total .....	<u>\$1,742,000</u>	<u>\$2,878,000</u>	<u>+\$1,136,000</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration .....	\$837,000	+\$17,000	\$837,000	+\$17,000
Total .....	<u>\$837,000</u>	<u>+\$17,000</u>	<u>\$837,000</u>	<u>+\$17,000</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$91,000	+\$19,000	\$15,200	+\$3,680
Total .....	<u>\$91,000</u>	<u>+\$19,000</u>	<u>\$15,200</u>	<u>+\$3,680</u>

<u>Program</u>	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$20,000	-\$1,760	\$50,000	+\$12,720
Total .....	<u>\$20,000</u>	<u>-\$1,760</u>	<u>\$50,000</u>	<u>+\$12,720</u>

<u>Program</u>	Equipment	
	Amount	Change
Administration .....	\$5,800	+\$4,360
Total .....	<u>\$5,800</u>	<u>+\$4,360</u>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$1,950,000	+\$1,100,000	\$1,950,000	+\$1,100,000
Total .....	<u>\$1,950,000</u>	<u>+\$1,100,000</u>	<u>\$1,950,000</u>	<u>+\$1,100,000</u>





# **CITY UNIVERSITY OF NEW YORK**

## **MISSION**

The City University of New York (CUNY) is the third-largest public university system in the nation. The City University had its origin in the Free Academy established in 1847 under the auspices of the New York City Board of Education. The University's mission is to provide affordable higher education with a focus on the urban community of New York City.

## **ORGANIZATION AND STAFFING**

The City University of New York has 11 senior colleges, a Graduate School and University Center, a Law School, and six community colleges. The University is governed by a 17-member Board of Trustees comprised of: ten members appointed by the Governor, five members appointed by the Mayor, and two ex-officio members — the chairs of the Student Senate and the Faculty Senate.

The chief executive officer of the University is the Chancellor, who is appointed by the Board of Trustees. Individual college presidents are also appointed by the Board of Trustees.

University operations are governed by fewer of the State government controls that are imposed on other State agencies, reflecting executive and legislative interest in providing enhanced administrative and managerial flexibility to both the City University and the State University.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

New York City's fiscal crisis in the 1970's led to State assumption of full financial responsibility for CUNY's senior college operations, begun on a phased basis in 1979 and completed in 1982. In conjunction with the City of New York, the State also supports CUNY's community colleges.

## **SENIOR COLLEGES**

CUNY senior colleges have two major funding sources: State support and tuition revenue. Additional support is secured from New York City and from various fees. New York City provides support for the costs of associate degree programs at CUNY's senior colleges and a share of the central administration costs attributable to the community colleges. New York City also prefinances CUNY's senior college operating costs; the State subsequently reimburses the City for CUNY's net operating expenses.

For the 2000-01 academic year, the senior college operating budget will be \$1.003 billion — an increase of \$19.2 million above its 1999-2000 amount of \$983.8 million. State support for the net operating expenses of the senior colleges in the 2000-01 academic year will be \$587.5 million — an increase of \$19.2 million.

For the 2000-01 fiscal year, which overlaps two academic years, State support for the net operating expenses of the senior colleges will be \$582.5 million — an increase of \$15.3 million. This appropriation is used to reimburse New York City for its prefinancing of senior college expenses.

The budget ensures sufficient resources are available to support the University's academic programs and provides full funding for CUNY's collective bargaining requirements. In addition, tuition at CUNY's senior colleges is not expected to increase

beyond the current level of \$3,200 per year. This tuition level has remained unchanged since 1995-96, allowing CUNY students to receive a quality education at costs comparable to, or below that of, other public universities in the Northeast.

In 2000-01, CUNY will implement a new financial aid pilot program — the Tuition Assistance Program (TAP) Aid for Part-Time Study. Under this program, students with a demonstrated record of achievement will be able to attend a CUNY senior or community college on a part-time basis and be eligible for tuition assistance. This new program is intended to increase the number of students who successfully obtain their college degrees by recognizing the need for certain students to adjust their courseloads to accommodate work and family responsibilities.

Savings from productivity improvements should also be available to offset the cost of ongoing and new University initiatives. One of the University's primary goals is to increase the number of full-time faculty, in order to reduce reliance on adjunct staff. It is anticipated that the Board of Trustees will continue its policy, begun in 1997, of allocating new faculty positions to individual colleges based on performance measures, such as graduation and retention rates, administrative efficiency, student satisfaction and the level of sponsored research.

The budget recommendations for the State Education Department include \$9 million within New York City's school aid allocation to fund academic support services at CUNY senior and community colleges necessitated by the remedial needs of graduates from the City's high schools.

### **COMMUNITY COLLEGES**

CUNY community colleges have three basic funding sources: State support, New York City support and tuition revenue. The majority of State funding is for operating aid, including rental costs. Separate appropriations are provided for Child Care and College Discovery, an educational opportunity program for disadvantaged community college students.

Consistent with their important role in ensuring access to public higher education, State aid to CUNY's community colleges is preserved at the enriched levels provided in the 1999-2000 academic year. The 2000-01 academic year budget is predicated on \$2,125 per full-time equivalent (FTE) student in base aid and aidable enrollment of 55,800. Total operating aid, including rental funding, is \$119.2 million for the 2000-01 academic year. The budget provides \$1.4 million for the Child Care and College Discovery programs and \$1 million for contract courses, workforce development courses and enhanced child care support. The total appropriation for the 2000-01 fiscal year, which overlaps two academic years, is \$121.7 million.

### **CAPITAL PROJECTS**

The State finances all CUNY capital project costs for senior colleges, other than Medgar Evers College, and shares the capital costs for community colleges and Medgar Evers with the City of New York.

In 1998-99, CUNY received appropriations totaling \$1.0 billion in support of the Governor's multi-year Capital Investment Program, with language specifying that amounts to be obligated from subsequent reappropriations were to be pursuant to a plan developed by the Governor. Concomitantly, CUNY's bond cap was increased by \$660 million, for a total bonding authorization of \$3.4 billion, to cover CUNY's planned bond sales for the course of the Capital Investment Program.

CUNY's capital reappropriations support the third year of the Governor's multi-year Capital Investment Program which provides for additional facility and infrastructure improvements at City University senior and community colleges, consistent with the University's needs and priorities. The projects to be advanced in 2000-01 encompass critical health and safety, preservation and handicapped access projects, as well as major renovations and new facilities at Brooklyn, City, John Jay and Staten Island colleges and the CUNY Law School. A bond

sale by the Dormitory Authority of the State of New York will provide \$160 million for the State share of project costs to be obligated during 2000-01.

## **PROGRAM HIGHLIGHTS**

The City University of New York offers a wide variety of educational avenues ranging from vocational courses to doctoral degree programs. More than 194,000 full-time and part-time students — 133,000 at the senior colleges and 61,000 at the community colleges — were enrolled in degree programs for the fall 1999 semester.

Among academic offerings and programs, the following programs are of note:

- The Language Immersion Program was designed to strengthen the language skills of first year students prior to their entry into collegiate coursework. This intensive, full-time program has successfully taken a holistic approach to language development. The program operates at seven sites and, in its brief history, has helped more than 6,700 students to prepare for full collegiate matriculation.
- The College Preparatory Initiative is a system-wide collaboration between the City University and the New York City public schools to improve the academic preparation of high school students. The cooperative effort has enabled CUNY to strengthen its academic prerequisites for admission to the University.
- The Workforce Development Initiative is a University-wide program designed to help meet New York City's current and future labor force needs. The University has been successful in garnering support from the private sector to supplement its State funding for this program.
- The New York City Alliance for Minority Participation is a consortium of 16 CUNY campuses that have joined with the National Science Foundation in a cooperative venture to increase the number of under-represented students successfully completing science, mathematics, engineering and technology baccalaureate programs.
- Approximately 80 research institutes and centers are located throughout the University. Notable examples include the Levich Institute for Physico-Chemical Hydrodynamics at City College and the Institute for Biomolecular Structure and Function at Hunter College. University-wide research activities have been enhanced by the Applied Science Coordinating Institute.

The CUNY Board of Trustees has advanced a series of significant actions since 1995 to improve academic program quality and strengthen the planning and management functions of the University. These actions include establishing more rigorous admissions criteria and implementing a new remedial education policy. The Board of Trustees continues to encourage campuses to use flexibility to set higher standards, reduce time to program completion, and reallocate resources through program consolidation.

Under the City University's new remedial education policy, students will generally obtain such instruction at community colleges, through summer and inter-session skills immersion programs at senior colleges, and through Prelude to Success — a year-round skills immersion program at the senior colleges. Pursuant to the established implementation schedule, four colleges (Baruch, Brooklyn, Hunter and Queens) will be subject to the new policy effective January 1, 2000. Three senior colleges (John Jay, NYC Technical and the College of Staten Island) will be subject to the policy as of the beginning of the 2000-01 academic year. The four remaining senior colleges (City, Lehman, Medgar Evers and York) will be covered in 2001-02.

The University has also begun to implement recommendations of the Mayor's Task Force of the City University of New York, which called for greater reliance on strategic planning and meaningful performance standards; a recommitment to excellence by establishing a tiered University system with one or more selective colleges; and the clear delineation of the roles of the Chancellor and the Board of Trustees with the empowerment of the Chancellor to reconstitute CUNY as an integrated University system.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$1,038,830,000	\$1,093,000,000	+\$54,170,000	.....
Aid To Localities .....	702,242,000	718,469,000	+16,227,000	.....
Capital Projects .....	.....	.....	.....	\$1,082,806,000
Total .....	<u>\$1,741,072,000</u>	<u>\$1,811,469,000</u>	<u>+\$70,397,000</u>	<u>\$1,082,806,000</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$55,000,000	\$90,000,000	+\$35,000,000
Fiduciary Funds .....	983,830,000	1,003,000,000	+19,170,000
Total .....	<u>\$1,038,830,000</u>	<u>\$1,093,000,000</u>	<u>+\$54,170,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$702,242,000	\$718,469,000	+\$16,227,000
Total .....	<u>\$702,242,000</u>	<u>\$718,469,000</u>	<u>+\$16,227,000</u>
Adjustments:			
Prior Year Deficiency			
City University of New York			
General Fund .....	+6,345,000		
Appropriated 1999-00 .....	<u>\$708,587,000</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
Community College Programs			
General Fund .....	\$122,827,000	\$121,744,000	-\$1,083,000
Institutional Support Services			
General Fund .....	567,247,000	582,525,000	+15,278,000
Senior College Pension Payments			
General Fund .....	12,000,000	14,200,000	+2,200,000
Community Projects			
General Fund .....	168,000	.....	-168,000
Total .....	<u>\$702,242,000</u>	<u>\$718,469,000</u>	<u>+\$16,227,000</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Senior Universities				
General Maintenance and Improvements				
Capital Projects Fund .....	.....	.....	.....	\$67,749,000
Capital Projects Fund - Advances .....	.....	.....	.....	516,637,000
Program Changes - Expansion and Improvements				
Capital Projects Fund .....	.....	.....	.....	7,788,000
Capital Projects Fund - Advances .....	.....	.....	.....	.....
Preservation of Facilities				
Capital Projects Fund .....	.....	.....	.....	559,000
New Facilities				
Capital Projects Fund .....	.....	.....	.....	97,000
Capital Projects Fund - Advances .....	.....	.....	.....	352,300,000
City University of New York Capital Projects Fund				
City University of New York Capital Projects Fund .....	.....	.....	.....	4,031,000
Subtotal .....	.....	.....	.....	\$949,161,000
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund .....	.....	.....	.....	\$15,283,000
Capital Projects Fund - Advances .....	.....	.....	.....	116,609,000
Program Changes - Expansion and Improvements				
Capital Projects Fund .....	.....	.....	.....	1,594,000
Capital Projects Fund - Advances .....	.....	.....	.....	.....
New Facilities				
Capital Projects Fund .....	.....	.....	.....	159,000
Subtotal .....	.....	.....	.....	\$133,645,000
Total .....	.....	.....	.....	\$1,082,806,000



# **STATE EDUCATION DEPARTMENT**

## **MISSION**

The State Education Department (SED) is the administrative agency of the Board of Regents. The Department's primary mission is to oversee public elementary and secondary education programs throughout New York and promote educational excellence, equity and cost-effectiveness.

## **ORGANIZATION AND STAFFING**

Oversight of the Department is provided by the Board of Regents, which was originally established by the Legislature in 1784 and subsequently continued in the State Constitution. The Board of Regents is comprised of 16 members — one for each of the State's 12 judicial districts and four statewide members — who are elected by a joint session of the Legislature for staggered five-year terms. The Board elects its chair, who holds the title Chancellor, and appoints the Commissioner of Education as the chief administrative officer of the Department.

SED's central operations are located in the Education Building in Albany. The Department also has regional service facilities at various locations throughout the State.

Recommended funding levels for 2000-01 will support a total of 2,931 positions, of which approximately 19.5 percent will be supported by the General Fund. Various dedicated fees, chargebacks and Federal grants will support the remaining staff.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

In 2000-01, total funding for the State Education Department will increase by \$1.1 billion or 6.2 percent. This year-to-year change is largely due to an increase of over \$723 million for the STAR program, \$432 million in increased fiscal year support for school aid and \$99 million in new Federal funding for such activities as class-size reduction, charter schools and services for persons with disabilities.

The taxpayer-supported General Fund provides about 16.6 percent of SED's operational budget. Federal grants, including programs for individuals with disabilities and disadvantaged pupils, account for 52.2 percent of agency resources. The remaining 31.2 percent is derived from fees, chargebacks and other miscellaneous receipts.

The 2000-01 Executive Budget recommends \$12.63 billion in support for public schools, reflecting a State fiscal year increase of \$432 million in school aid, and \$2.11 billion for school property tax relief through STAR, reflecting an appropriation increase of \$723 million. School aid represents the single largest expenditure item in the State's 2000-01 General Fund budget.

## **SCHOOL TAX RELIEF (STAR)**

The School Tax Relief (STAR) program was enacted in 1997-98 as a multi-year effort to provide needed property tax relief while promoting educational excellence and accountability.

### **School Property Tax Relief and New York City School Tax Reduction**

By the 2001-02 State fiscal year, local taxpayers will benefit from \$2.8 billion in annual school tax relief provided through STAR. In 2000-01, funding appropriated for local taxpayer savings will exceed \$2.1 billion, including funds for continuing the full exemption for eligible senior citizens and the second year of STAR exemptions for other homeowners. School districts and cities with dependent school districts, including New York City, will be fully reimbursed by the State of New York for these foregone local revenues. A portion of the State personal income tax will be dedicated to the School Tax Relief Fund from which the State reimbursement payments will be made. The school tax relief provisions include:



## **EDUCATION**

---

- **Basic Homestead Exemption:** In 2000-01, the basic school property tax homestead exemption will increase from \$10,000 to \$20,000 for residential owner-occupied primary residences that are not eligible for the enhanced senior citizen exemption. When fully implemented in 2001-02, the basic exemption will provide a school property tax exemption of at least \$30,000 for all owner-occupied primary residences.
- **Senior Citizen Homestead Exemption:** The school property tax exemption of at least \$50,000 (on a "full value" basis) is continued for eligible senior citizens;
- **New York City School Tax Reduction:** The multi-year STAR program provides local personal income tax relief for taxpayers in New York City, where a combination of non-property taxes and property taxes is used to support the City's public schools. In 2000-01, this tax reduction will generate \$380 million in local personal income tax savings. This represents both a tax credit and a rate reduction for all New York City resident personal income tax filers. When fully implemented in 2001-02, savings from the New York City School Tax Reduction will total \$470 million. The City of New York will be fully reimbursed by the State for these foregone local revenues; and
- **Property Taxpayers Bill of Rights:** Enacted in 1997, this new Bill of Rights ensures the full disclosure of information to property taxpayers in a more readable and comprehensive format than was previously available. This will enable taxpayers to better understand their property taxes and their rights under the law.

### ***Limiting School Property Tax Increases***

To ensure that STAR results in property tax savings to homeowners, and that STAR benefits are not eroded by excessive tax increases, Governor Pataki is proposing that limits be placed on the ability of school districts to increase total spending. School districts will be subject to a cap on spending increases of the lesser of 4 percent (per year) or 120 percent of the increase in the Consumer Price Index. A two-thirds majority vote will be required to exceed the spending cap.

The same exceptions that are currently allowed in calculating the maximum contingency budget would be allowed in calculating spending increases. Expenditures for increases in enrollment, capital projects, certified emergencies, court orders, judgments and tax certiorari proceedings would be excluded from the cap.

### ***Local Voter Empowerment***

The STAR program enacted in 1997 included a series of school budget voting reforms that gave local voters a greater role in education spending decisions and in controlling property tax growth. As proposed in the 1999-00 Executive Budget, schools are now required to report proposed property tax increases, spending growth and estimated enrollment changes to the State Department of Education prior to the statewide school voting day. A property tax report card is then compiled and released to the public before school budget votes are held.

In 2000-01, additional reforms will be advanced to increase local accountability by ensuring that taxpayers are fully informed prior to school budget votes.

- **Contingency Budget Disclosure:** A school district will be required to demonstrate to voters how a proposed budget would compare to the contingency budget that would be put in place by statute if the voters were to defeat the proposed budget on two successive votes.
- **STAR Erosion from Tax Increases:** Schools will be required to notify voters how STAR savings were affected by school tax increases for a typical homeowner in the current year and the estimated effects of proposed tax changes on estimated STAR savings under the budget proposed for the coming year.

## **SCHOOLS 2000**

To forge a stronger partnership between families and schools throughout the State, Governor Pataki's *Schools 2000* program includes the following comprehensive set of educational initiatives:

- **School Safety:** Consistent with the Governor's Safe Schools Against Violence in Education (SAVE) proposal and recommendations of Lieutenant Governor Donohue's Task Force on School Violence, the *Schools 2000* program will include a range of school safety initiatives including the development of comprehensive school safety plans and fingerprinting requirements for prospective school employees. The Executive Budget includes \$500,000 to fund the cost of integrating character, civility, and citizenship education throughout the K-12 curriculum. In addition, \$500,000 in General Fund support is provided for a State Center for School Safety to coordinate statewide efforts to promote school safety.
- **Charter Schools:** In September 1999, the opening of New York's first charter schools marked the beginning of one of the most significant education reforms in State history. The 2000-01 Executive Budget increases General Fund support for the Charter School Stimulus Fund from \$1 million to \$6 million including \$3.85 million to support charter school start-up costs such as facility expenses and supplies.
- **Reading for Results:** A new "Reading for Results" initiative will fund a range of early grade reading initiatives including summer school and intensive school year reading programs during extended school breaks. In 2001-02, \$40 million will be recommended to fund this initiative.
- **Parental Empowerment:** Schools will be required to report directly to parents on overall school performance, as well as their own child's performance. In addition, each school board will include an ex-officio parent member selected by the PTA.
- **Big Five City Governance Reform:** The mayors of our large cities will be given greater authority over public schools in an effort to improve accountability and strengthen school performance. At the same time, a new maintenance of effort requirement will ensure that Big Five City schools realize the full benefit of State and Federal funding increases, and protect them from disproportionate reductions in local support.
- **Mandate Relief:** School districts will be provided greater flexibility in managing their operations, including Wicks reform to allow school districts to reduce construction costs.

## **SCHOOL AID**

State support for public schools in the 2000-01 State fiscal year will total \$12.63 billion. This represents a 2000-01 fiscal year increase of \$432 million, and supports a 2000-01 school year increase of \$355 million. Since 1996-97, the State will have provided an additional \$2.55 billion in State aid to public schools to enhance educational quality for all students. This increase, together with STAR property tax relief, is responsible for raising the State's share

## **EDUCATION**

---

of total education spending from 39.3 percent in 1996-97 to an estimated 45.1 percent in 1999-2000.

Major recommendations for the 2000-01 school year include:

- **Operating Aid:** To provide schools with flexible support to meet locally identified needs in the implementation of higher standards, an increase of \$140.7 million in operating aid has been recommended. Under the Governor's proposal, all school districts will receive an operating aid increase of at least 1.25 percent and will receive additional State operating aid up to a maximum of 2.25 percent or 10 percent of the amount currently held back by the transition adjustment, whichever is greater.
- **Building Aid:** There will be a total increase of \$210 million in State support for school facilities, raising total State support for school facilities to over \$1.1 billion. To direct additional funding to the highest priority school construction projects, the building aid formula will be reformed to target the 10 percent building aid enrichment to instruction-related projects. In addition, school districts will be provided access to the Dormitory Authority's expertise in construction management to promote cost-efficiency and better facilities. Other school facility reforms will provide greater incentives to properly maintain school facilities and give the Commissioner of Education broader authority to close unsafe schools.
- **Textbook and Computer Aids:** An additional \$29 million is provided in textbook aid, and an increase of \$15.5 million is provided in computer hardware/software aid. By 2001-02, textbook aid will more than double from its 1997-98 level and hardware/software aid will experience a five-fold increase.
- **Reading 2000:** Funds now provided for Categorical Reading and Improving Pupil Performance would be retargeted to support a Reading 2000 program for children in grades 2-4 in Big Five City schools.
- **BOCES Reform:** The current BOCES aid formula has given the BOCES a monopoly on shared services activity that discourages school district efforts to seek true cost efficiencies. Following the 20 percent reduction from present law funding levels proposed for 2000-01, future BOCES aid increases will be limited to the overall growth in operating aid. School districts will also be given greater flexibility to contract for shared services outside the BOCES network.
- **Categorical Aids:** Over \$96 million is eliminated for a number of aid programs that duplicate formula-driven aid categories or are no longer essential. In addition, funding for aid to small cities is reduced by \$6.4 million, consistent with a statutory phase-out of save harmless funding.
- **Teachers of Tomorrow:** A new \$25 million Teachers of Tomorrow program will fund several new initiatives to ensure an adequate supply of qualified teachers and to assist uncertified teachers in securing permanent licensure. Beginning in 2000-01, awards of \$3,400 a year will be provided for 5,000 teachers who agree to teach in shortage areas across the State. The Teachers of Tomorrow program will also fund vouchers up to \$2,000 to assist teachers with temporary licenses in achieving permanent certification. Finally, a "Summer in the City" program will be created to encourage college students from across the State to gain teaching experience in the State's inner-city schools.
- **High Needs School Districts:** A \$25 million program is proposed for school districts that have special needs for additional resources to achieve the State's new higher learning standards through activities including full-day kindergarten and after-school programs.

In addition to a \$355 million increase in State school aid funding, the 2000-01 Executive Budget will target over \$140 million in Federal discretionary funds to support key education reform initiatives including school safety, public school choice and early childhood reading programs.

## ***SPECIAL EDUCATION***

### ***School-Age Special Education***

Faced with a possible loss of Federal funding, changes to the State's special education financing system were enacted in 1999 to encourage school districts to serve more disabled children in regular classroom settings. While these changes take the first step toward improving special education financing systems, more fundamental reforms are necessary to remove existing disincentives that keep New York's special education referral rate well above the national average. Effective in the 2001-02 school year, a comprehensive reform of special education is proposed that includes:

- **Performance-Based Funding:** School districts that demonstrate strong performance or improvement in lowering classification rates and serving disabled children in the least restrictive classroom settings will be eligible for incentive funding totaling \$50 million. Each school district will receive at least its 2000-01 funding level in addition to this performance-based incentive funding.
- **Enrollment Adjustments:** Additional funding will be allocated for enrollment growth and a separate funding set-aside will be created for high cost, special needs children who move into a school district.
- **Funding Flexibility:** School districts will be allowed to retain all funding provided under the new formula, thereby eliminating the current disincentive to remove children from special education simply to maximize State aid.

In addition to the proposed reform of public special education programs, in 2000-01 reimbursement formulas for private special education programs will be conformed to those used for public programs, thereby eliminating the current funding incentive to place children in high cost, restrictive private settings.

### ***Preschool Special Education***

In 1996, the Governor and Legislature enacted fundamental reforms in the preschool special education program to better meet the needs of over 60,000 disabled children, while also controlling rapidly growing program costs. Building on these reforms, Governor Pataki's 2000-01 Budget continues this preschool reform agenda by advancing further program changes to encourage the appropriate placement of disabled preschool children. Specifically, school districts that fail to regularly reevaluate and declassify preschoolers placed in special education will be assigned fiscal responsibility for 10 percent of the program costs currently borne by the State and counties. School districts will be given two years to improve their performance before this reform takes effect in 2002-03.

The 2000-01 recommended level of \$552 million, an increase of \$16 million over 1999-2000, will support the State's 59.5 percent share of preschool special education program costs.

## ***ELEMENTARY, MIDDLE AND SECONDARY EDUCATION PROGRAMS***

The State currently supports nineteen categorical education programs intended to address various special needs of schools and communities across the State. In the coming year, these programs will be continued at 1999-2000 funding levels.

## **EDUCATION**

---

### **Elementary, Middle and Secondary Categorical Programs 2000-01 State Fiscal Year**

<u>Program</u>	<u>2000-2001 Appropriation (in 000's)</u>
Adult Basic Education .....	\$5,000
Adult Literacy Education .....	3,325
AIDS Education .....	990
Apprenticeship Training .....	1,830
Comprehensive School Health .....	525
Consortium for Workers Education .....	8,000
Education of Children of Migrant Workers .....	90
Effective Schools .....	1,889
Extended Day/School Violence Prevention .....	20,200
Missing Children Prevention Education .....	900
Parenting Education .....	506
Primary Mental Health Project .....	570
Professional Development .....	5,000
School Health Demonstration .....	150
Schools as Community Sites .....	6,000
Schools Under Registration Review .....	2,000
Transferring Success .....	630
Youth-at-Risk .....	5,325
Workplace Literacy .....	1,376
<b>TOTAL</b> .....	<b>\$64,306</b>

Funding for Teacher Resource and Computer Training Centers will be limited to remaining obligations totaling \$10.0 million for the 1999-2000 school year.

### **OTHER RECOMMENDATIONS**

To sharpen the focus of the Board of Regents on matters directly related to education and to streamline agency operations, the 2000-01 Executive Budget recommends the following organizational changes:

- Programs related to cultural development and promotion — the State Library, the State Museum, the State Archives — will be reassigned to a new Office of Cultural Resources (OCR) and budgeted within the Council on the Arts. The 2000-01 Executive Budget reflects the implementation of this functional transfer by October 1, 2000 and provides for the related transfer of funds, facilities and staff.
- The Higher Education Program and the Office of the Professions will be consolidated into an Office of Higher Education and the Professions. Additionally, academic reviews of college and university programs currently conducted by SED will be discontinued, with accreditation to be provided through national or regional accreditation services. These actions will eliminate duplication of efforts, provide regulatory relief for higher education institutions and generate \$1.2 million in General Fund savings.

- SED will be required to submit a staff deployment plan to streamline its remaining operations and reduce its General Fund staffing by 10 percent through attrition by March 31, 2001.
- All Federal discretionary funds received by SED will be allocated pursuant to plans that target funding for identified State priorities. Also, SED administrative costs charged against Federal grants generally will be limited to 5 percent of such grants.

The following legislative actions are also recommended to provide an enhanced level of accountability of the Board of Regents and SED to the Executive:

- Authorize the Governor to select the Chancellor of the Regents from among the members of the Board of Regents;
- Authorize the Governor to review and approve the candidate nominated by the Regents as President of the University of the State of New York;
- Authorize the Governor to nominate members of the Board of Regents from a list of candidates developed by a "blue ribbon panel" for submission to the Legislature for final approval; and
- Curtail the State Board of Regents' powers to unilaterally impose costly regulatory mandates on school districts.

Budget recommendations for 2000-01 also include a redirection of \$275,000 for the oversight of charter schools from SED to the State University of New York (SUNY), consistent with the application volume received by the two agencies. SED will continue to receive Federal funds to support its administrative costs associated with charter schools.

## **PROGRAM HIGHLIGHTS**

Under the policy direction of the Board of Regents, operational responsibilities of the State Education Department include administration, regulation and review of numerous education programs. The following provides a description of the major program areas administered by the Department.

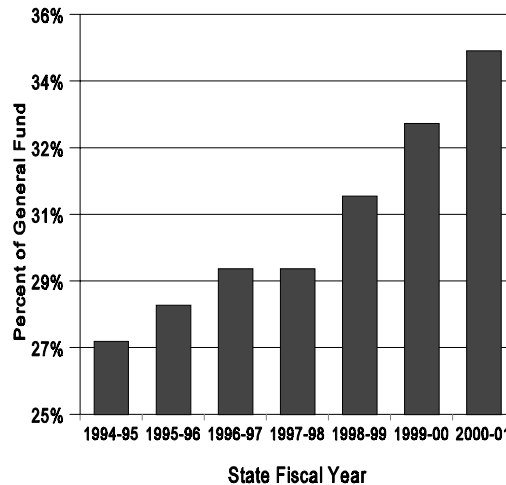
### **SCHOOL AID**

New York currently provides over \$12.5 billion in school aid to nearly 700 school districts throughout the State for educational programs serving nearly 2.9 million students. State school aid increases and property tax relief provided in the 2000-01 Executive Budget will increase total State spending on public education in grades kindergarten through twelve to almost \$12.9 billion in the 2000-01 school year. This major investment will increase the State's share of projected total education spending from 39.3 percent in 1996-97 to over 45.1 percent in 1999-2000. As a percentage of State General Fund spending, support for education has grown from 27 percent in 1994-95 to nearly 35 percent in 2000-01.

School aid is distributed to school districts through formula-based aids and categorical grants. The major formula-based aids include:

- Operating Aid, which provides support for general operational costs of school programs and accounts for approximately 50 percent of overall school aid;
- Excess Cost Aid, which helps school districts fund the cost of providing educational services to disabled students. This aid category has grown more than 180 percent over the past 10 years and now represents almost 14.5 percent of overall school aid;
- Transportation Aid and Building Aid, which provide support to school districts for student transportation and the construction and preservation of school facilities. These two aid categories account for approximately 15 percent of overall school aid; and
- State assistance is also provided through specialized aid and grant programs that address specific educational needs, ranging from textbooks to adult education programs. Notable program recommendations for 2000-01 include \$135.4 million in grants for magnet school programs in 18 cities throughout the State and \$90.2 million to support literacy services for 150,000 adults enrolled in the Employment Preparation Education program.

### **State Support for Education Under Governor Pataki Share of General Fund Spending**



### **SCHOOL TAX RELIEF (STAR)**

When fully implemented in 2001-02, New York's taxpayers will benefit from a total of \$2.8 billion in STAR tax savings from School Property Tax Relief and the New York City School Tax Reduction. School districts and cities with dependent school districts, including the City of New York, will be fully reimbursed by the State for these foregone local revenues. The State's reimbursement payments will be made from the School Tax Relief Fund to which a portion of the personal income tax is dedicated.

#### **School Property Tax Relief**

- In 2000-01, more than 700,000 senior homeowners will be eligible to receive an enhanced exemption of at least \$50,000 (on a "full value" basis) with a statewide average benefit exceeding \$800. To be eligible, senior citizen residential property owners must be at least 65 years of age and have incomes of \$60,000 or less (combined incomes of the owners and their spouses who reside on the premises). A new, more simple definition of senior citizen income using federal Adjusted Gross Income was authorized in 1999 to determine eligibility for the STAR program;
- In 2000-01, the school property tax exemption will continue for owner-occupied primary residences that are not eligible for the senior citizen enhanced exemption. Nearly 3 million homeowners will be eligible to receive a full value equivalent homestead exemption of at least \$20,000. When fully implemented in 2001-02,

- these residential property taxpayers will receive a full value equivalent exemption of at least \$30,000, with an average statewide tax savings of approximately \$600.
- The exemptions provided to homeowners (seniors and non-seniors alike) living in a county whose median home sale price exceeds the statewide median will be adjusted upward to account for the variation in property values for similar homes in different regions of the State.

### ***New York City Tax Reduction***

- In 2000-01, all of New York City's nearly 3 million resident personal income taxpayers will receive a flat refundable credit and a rate reduction. Total local taxpayer savings in 2000-01 will be \$380 million.
- In subsequent years, the credit will increase for non-senior citizens and the tax rates will be reduced to provide even greater savings to New York City taxpayers. When fully implemented in 2000-01, the personal income tax credit and changes in the tax rates will reduce the New York City personal income tax by about 10 percent.

### ***PROGRAMS FOR STUDENTS WITH SPECIAL NEEDS***

New York provides a full spectrum of special educational services for more than 400,000 students from ages 3 to 21. These services range from in-home speech therapy for preschool children to placement in full-time residential schools for school-age children with the most severe disabling conditions. The costs of the preschool special education program are split between the State and county governments. The network of service providers includes school districts, Boards of Cooperative Educational Services (BOCES), private not-for-profit schools and State-operated facilities.

With special education State funding provided within school aid, school districts and BOCES serve 390,000 school-age children in classroom settings. An additional 9,700 students who require particularly intensive programs are served by 140 private schools, 16 Special Act School Districts and 11 State-supported schools for blind and deaf students.

Two State-operated schools provide specialized services for blind and deaf students with multiple disabilities. The New York State School for the Blind in Batavia serves approximately 70 blind and multiply-disabled students including 16 developmentally disabled students served in an Intermediate Care Facility operated by the school. The New York State School for the Deaf in Rome serves approximately 100 deaf and multiply-disabled students.

### ***ELEMENTARY, MIDDLE AND SECONDARY EDUCATION PROGRAMS***

The State Education Department also administers various programs that address specialized student needs or reimburse school districts for education-related services. Major programs include:

- **School Lunch and Breakfast Program:** State funds supplement federal support to provide free and reduced-price meals for low-income students. Approximately 1.7 million lunches and 450,000 breakfasts are served daily under this program;
- **Summer Food Program:** State funds supplement federal support to provide free meals for low-income students participating in summer recreation programs. There are approximately 320 sponsors of summer programs serving almost 275,000 students;
- **Nonpublic School Aid:** The State reimburses 1,400 nonpublic schools for costs incurred in administering pupil evaluations and other data collection efforts.

### ***REGULATION OF THE PROFESSIONS***



## ***EDUCATION***

---

New York State regulates professionals to protect the public by ensuring the quality and integrity of services provided to consumers. The reorganized Office of Higher Education and the Professions will license and provide oversight for members of the 38 professions regulated pursuant to Title VIII of the Education Law, including: Nursing, Optometry, Dentistry, Pharmacy, Veterinary Medicine, Social Work, Architecture, Civil Engineering and Public Accountancy. The Office will also be responsible for enforcing standards of practice, codes of conduct and professional discipline. Professional licensure, oversight and enforcement functions have been self-supporting, through the collection of fines and fees, since 1987.

### ***VOCATIONAL REHABILITATION***

The Vocational and Educational Services for Individuals with Disabilities (VESID) program provides job training, counseling and placement services for disabled persons throughout New York. Using its network of 15 district offices across the State, VESID provides vocational rehabilitation services to disabled clients tailored to their individual goals, capabilities and needs. This program arranges job placements for over 16,700 individuals annually from an active caseload of 54,342.

Program	School Aid (Millions)			
	School Year Payments			
	Estimated 1999-00	Recommended 2000-01	Change Amount	Change Percent
<b>Formula-based Aids:</b>				
Major Operating Aid	\$6,266.52	\$6,407.22	\$140.70	2.25
Operating Standards	102.04	99.91	(2.13)	(2.09)
Extraordinary Needs	665.81	665.81	.....	.....
Limited English Proficiency	68.06	67.23	(0.83)	(1.22)
Gifted & Talented	14.19	14.19	.....	.....
Textbooks	152.68	181.70	29.02	19.01
Computer Hardware	18.13	24.39	6.26	34.53
Computer Software	22.03	31.24	9.21	41.81
Library Materials	18.27	18.69	0.42	2.30
ERSSA	65.18	66.98	1.80	2.76
Excess Cost - Public	1,720.39	1,839.02	118.63	6.90
Excess Cost - Private	134.34	78.34	(56.00)	(41.69)
Transportation	805.85	880.01	74.16	9.20
Building w/o BANS	872.55	1,049.88	177.33	20.32
Special Services: (Career Ed./Computer Admin.)	133.95	131.70	(2.25)	(1.68)
Reorganization Incentive (Operating + Bldg.)	42.45	40.08	(2.37)	(5.58)
Growth Aid	31.60	35.21	3.61	11.42
BOCES	429.31	360.20	(69.11)	(16.10)
Full-Day K *	7.31	0.00	(7.31)	(100.00)
Minor Maintenance	49.97	0.00	(49.97)	(100.00)
Universal Pre-K	85.48	119.78	34.30	40.13
Class Size Reduction	75.00	75.00	.....	.....
<b>Subtotal Formula-based Aids</b>	<b>\$11,781.11</b>	<b>\$12,186.59</b>	<b>\$405.48</b>	<b>3.44</b>
<b>Other Aids:</b>				
Shared Services for Big 5	10.00	0.00	(10.00)	(100.00)
Education Technology Incentive	24.99	22.99	(2.00)	(8.00)
Teacher Support Aid	67.48	0.00	(67.48)	(100.00)
Stabilization Aid	4.00	0.00	(4.00)	(100.00)
Tax Limitation Aid	24.77	0.00	(24.77)	(100.00)
Experimental Pre-K	50.20	50.20	.....	.....
Employment Preparation Education (EPE)	96.18	90.18	(6.00)	(6.24)
Aid to Small City School Districts	81.88	75.53	(6.35)	(7.76)
Urban-Suburban Transfer	1.13	1.13	.....	.....
Homeless Pupils	4.00	4.00	.....	.....
Incarcerated Youth	11.50	11.50	.....	.....
Bilingual	11.20	0.00	(11.20)	(100.00)
Reading 2000/Categorical Reading/IPP	130.30	130.30	.....	.....
Fort Drum	2.63	2.63	.....	.....
Comptroller's Audits	0.25	0.25	.....	.....
Magnet Schools	134.97	135.44	0.47	0.35
Education of OMH/OMR Pupils	20.00	20.00	.....	.....
CIMS	2.50	0.00	(2.50)	(100.00)
AI/DP Grants	0.95	0.00	(0.95)	(100.00)
Special School Districts	1.70	1.70	.....	.....
Chargebacks	(18.00)	(18.00)	.....	.....
CVEEB	0.92	0.92	.....	.....
Building Aid BANS	23.48	56.46	32.98	140.46
BOCES Aid for Special Act Districts	0.66	0.53	(0.13)	(19.70)
Tuition Adjustment	1.18	1.18	.....	.....
Native American Building	1.70	1.70	.....	.....
Learning Technology Grants	3.29	3.29	.....	.....
Shared Services Incentive	0.20	0.20	.....	.....
Bus Driver Safety	0.40	0.40	.....	.....
CUNY Academic Intervention Services	0.00	9.00	9.00	NA
Teacher Certification	0.00	25.00	25.00	NA
Aid for High Needs Districts	0.00	25.00	25.00	NA
Prior Year Claims	64.30	57.00	(7.30)	(11.35)
<b>Grand Total</b>	<b>\$12,539.87</b>	<b>\$12,895.12</b>	<b>\$355.25</b>	<b>2.83</b>

\* Full-day kindergarten and after-school programs are eligible for funding under the new \$25 million Aid for High Needs Districts.

# EDUCATION

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$298,272,700	\$303,084,300	+\$4,811,600	\$187,849,300
Aid To Localities .....	16,839,798,539	18,056,889,300	+1,217,090,761	2,292,252,000
Capital Projects .....	145,909,000	5,065,000	-140,844,000	184,876,000
Total .....	<u>\$17,283,980,239</u>	<u>\$18,365,038,600</u>	<u>+\$1,081,058,361</u>	<u>\$2,664,977,300</u>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

2000-01 Recommended Average Fill Level

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Office of Management Services Program					
General Fund .....	171	166	....	166	-5
Special Revenue Funds - Other .....	136	118	....	118	-18
Elementary, Middle and Secondary Education					
General Fund .....	246	228	....	228	-18
Special Revenue Funds - Federal .....	400	400	....	400	....
School for the Blind					
Special Revenue Funds - Other .....	89	89	....	89	....
Batavia ICF/DD					
Special Revenue Funds - Other .....	35	35	....	35	....
School for the Deaf					
Special Revenue Funds - Other .....	90	90	....	90	....
Office of Higher Education and the Professions					
General Fund .....	38	....	17	17	-21
Special Revenue Funds - Federal .....	28	28	....	28	....
Special Revenue Funds - Other .....	481	504	....	504	+23
Cultural Education					
General Fund .....	148	148	....	148	....
Special Revenue Funds - Federal .....	74	74	....	74	....
Special Revenue Funds - Other .....	43	43	....	43	....
Internal Service Funds .....	25	25	....	25	....
Expendable Trust Funds .....	2	2	....	2	....
Vocational Educational Services for Individuals with Disabilities					
General Fund .....	11	11	....	11	....
Special Revenue Funds - Federal .....	953	953	....	953	....
Total .....	<u>2,970</u>	<u>2,914</u>	<u>17</u>	<u>2,931</u>	<u>-39</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$48,829,500	\$50,214,400	+\$1,384,900
Special Revenue Funds - Federal .....	154,827,300	158,290,900	+3,463,600
Special Revenue Funds - Other .....	75,799,900	75,595,200	-204,700
Internal Service Funds .....	17,484,000	17,651,800	+167,800
Fiduciary Funds .....	1,332,000	1,332,000	.....
<b>Total .....</b>	<b>\$298,272,700</b>	<b>\$303,084,300</b>	<b>+\$4,811,600</b>
Adjustments:			
Prior Year Deficiency			
Education Department, State			
Special Revenue Funds - Other .....	+180,000		
Recommended Deficiency			
Education Department, State			
Special Revenue Funds - Other .....	-2,000,000		
Transfer(s) To			
Arts, Council on the			
General Fund .....	+9,402,100		
Appropriated 1999-00 .....	<u>\$305,854,800</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Office of Management Services Program			
General Fund .....	\$15,192,700	\$17,675,900	+\$2,483,200
Special Revenue Funds - Other .....	12,844,000	12,000,500	-843,500
Internal Service Funds .....	10,028,000	10,195,800	+167,800
Fiduciary Funds .....	600,000	600,000	.....
Elementary, Middle and Secondary Education			
General Fund .....	20,629,300	20,586,100	-43,200
Special Revenue Funds - Federal .....	41,994,700	44,888,000	+2,893,300
Special Revenue Funds - Other .....	978,900	978,900	.....
School for the Blind			
Special Revenue Funds - Other .....	7,142,900	7,142,900	.....
Fiduciary Funds .....	20,000	20,000	.....
Batavia ICF/DD			
General Fund .....	126,100	126,100	.....
Special Revenue Funds - Other .....	2,214,800	2,515,000	+300,200
School for the Deaf			
Special Revenue Funds - Other .....	7,008,000	7,008,000	.....
Fiduciary Funds .....	20,000	20,000	.....
Office of Higher Education and the Professions			
General Fund .....	3,568,000	2,393,000	-1,175,000
Special Revenue Funds - Federal .....	1,808,700	1,938,000	+129,300
Special Revenue Funds - Other .....	41,689,000	41,898,600	+209,600
Cultural Education			
General Fund .....	8,434,100	8,647,200	+213,100
Special Revenue Funds - Federal .....	7,523,900	7,523,900	.....
Special Revenue Funds - Other .....	3,796,000	3,925,000	+129,000
Internal Service Funds .....	7,456,000	7,456,000	.....
Fiduciary Funds .....	692,000	692,000	.....
Vocational Educational Services for Individuals with Disabilities			
General Fund .....	779,300	786,100	+6,800
Special Revenue Funds - Federal .....	103,500,000	103,941,000	+441,000
Special Revenue Funds - Other .....	126,300	126,300	.....
Community Projects			
General Fund .....	100,000	.....	-100,000
<b>Total .....</b>	<b>\$298,272,700</b>	<b>\$303,084,300</b>	<b>+\$4,811,600</b>

# EDUCATION

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Office of Management Services Program .. Elementary, Middle and Secondary	\$8,549,600	+\$70,900	\$8,440,700	+\$70,900	....	....
Education .....	11,948,000	+88,900	10,946,900	+88,900	\$1,000,000	....
Batavia ICF/DD .....	126,100	....	....	....	126,100	....
Cultural Education .....	5,885,100	+43,800	5,885,100	+43,800	....	....
Vocational Educational Services for Individuals with Disabilities .....	733,200	+5,500	733,200	+5,500	....	....
Total .....	<u>\$27,242,000</u>	<u>+\$209,100</u>	<u>\$26,005,900</u>	<u>+\$209,100</u>	<u>\$1,126,100</u>	<u>....</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Office of Management Services Program .. Elementary, Middle and Secondary	\$108,900	....
Education .....	1,100	....
Total .....	<u>\$110,000</u>	<u>....</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Office of Management Services Program .....	\$9,126,300	+\$2,412,300	\$400,000	....
Elementary, Middle and Secondary Education .....	8,638,100	-132,100	282,300	....
Office of Higher Education and the Professions .....	2,393,000	-1,175,000	....	....
Cultural Education .....	2,762,100	+169,300	1,512,700	+\$169,250
Vocational Educational Services for Individuals with Disabilities .....	52,900	+1,300	9,200	....
Community Projects .....	....	-100,000	....	....
<b>Total .....</b>	<b>\$22,972,400</b>	<b>+\$1,175,800</b>	<b>\$2,204,200</b>	<b>+\$169,250</b>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Office of Management Services Program .....	\$350,000	....	\$6,556,300	+\$3,312,300
Elementary, Middle and Secondary Education .....	697,500	....	4,658,300	+142,900
Cultural Education .....	72,900	....	1,105,100	....
Vocational Educational Services for Individuals with Disabilities .....	13,600	....	21,300	+1,300
<b>Total .....</b>	<b>\$1,134,000</b>	<b>....</b>	<b>\$12,341,000</b>	<b>+\$3,456,500</b>

<u>Program</u>	<u>Equipment</u>		<u>General State Charges</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Office of Management Services Program .....	\$250,000	....	\$1,570,000	-\$900,000
Cultural Education .....	71,400	+\$50	....	....
Vocational Educational Services for Individuals with Disabilities .....	8,800	....	....	....
<b>Total .....</b>	<b>\$330,200</b>	<b>+\$50</b>	<b>\$1,570,000</b>	<b>-\$900,000</b>

<u>Program</u>	<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>
Elementary, Middle and Secondary Education .....	\$3,000,000	-\$275,000
Office of Higher Education and the Professions .....	2,393,000	-1,175,000
Community Projects .....	....	-100,000
<b>Total .....</b>	<b>\$5,393,000</b>	<b>-\$1,550,000</b>

# EDUCATION

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Office of Management Services Program .....	\$22,796,300	-\$675,700	\$8,472,200	-\$787,800
Elementary, Middle and Secondary Education .....	45,866,900	+2,893,300	26,145,600	+832,000
School for the Blind .....	7,162,900	.....	4,897,000	.....
Batavia ICF/DD .....	2,515,000	+300,200	1,582,000	+220,000
School for the Deaf .....	7,028,000	.....	4,564,000	.....
Office of Higher Education and the Professions .....	43,836,600	+338,900	3,644,200	+140,000
Cultural Education .....	19,596,900	+129,000	7,199,000	+743,700
Vocational Educational Services for Individuals with Disabilities .....	104,067,300	+441,000	52,855,200	-1,336,100
Total .....	<u>\$252,869,900</u>	<u>+\$3,426,700</u>	<u>\$109,359,200</u>	<u>-\$188,200</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Office of Management Services Program .....	\$10,724,100	-\$2,887,900	\$3,600,000	+\$3,000,000
Elementary, Middle and Secondary Education .....	18,742,400	+2,061,300	978,900	.....
School for the Blind .....	2,265,900	.....	.....	.....
Batavia ICF/DD .....	933,000	+80,200	.....	.....
School for the Deaf .....	2,464,000	.....	.....	.....
Office of Higher Education and the Professions .....	3,827,400	+198,900	36,365,000	.....
Cultural Education .....	12,397,900	-614,700	.....	.....
Vocational Educational Services for Individuals with Disabilities .....	51,085,800	+1,777,100	126,300	.....
Total .....	<u>\$102,440,500</u>	<u>+\$614,900</u>	<u>\$41,070,200</u>	<u>+\$3,000,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available	Recommended	Change
	1999-00	2000-01	
General Fund .....	\$11,936,919,539	\$12,183,357,300	+\$246,437,761
Special Revenue Funds - Federal .....	2,140,729,000	2,236,382,000	+95,653,000
Special Revenue Funds - Other .....	<u>2,762,150,000</u>	<u>3,637,150,000</u>	<u>+875,000,000</u>
Total .....	<u>\$16,839,798,539</u>	<u>\$18,056,889,300</u>	<u>+\$1,217,090,761</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Elementary, Middle and Secondary Education			
General Fund .....	\$11,651,730,700	\$11,932,878,700	+\$281,148,000
Special Revenue Funds - Federal .....	1,738,566,000	1,811,738,000	+73,172,000
Special Revenue Funds - Other .....	1,365,000,000	1,517,000,000	+152,000,000
School Tax Relief			
Special Revenue Funds - Other .....	1,387,000,000	2,110,000,000	+723,000,000
Office of Higher Education and the Professions			
General Fund .....	91,315,000	80,535,000	-10,780,000
Cultural Education			
General Fund .....	105,300,000	105,673,000	+373,000
Special Revenue Funds - Federal .....	4,660,000	4,660,000	....
Special Revenue Funds - Other .....	10,150,000	10,150,000	....
Vocational Educational Services for Individuals with Disabilities			
General Fund .....	64,270,600	64,270,600	....
Special Revenue Funds - Federal .....	397,503,000	419,984,000	+22,481,000
Community Projects			
General Fund .....	24,303,239	....	-24,303,239
<b>Total .....</b>	<b><u>\$16,839,798,539</u></b>	<b><u>\$18,056,889,300</u></b>	<b><u>+\$1,217,090,761</u></b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Design and Construction Supervision				
Capital Projects Fund .....	....	....	....	\$237,000
Education Building				
Capital Projects Fund .....	....	\$1,365,000	+\$1,365,000	673,000
Capital Projects Fund - Advances .....	....	....	....	2,460,000
School for the Blind				
Capital Projects Fund .....	\$159,000	700,000	+541,000	159,000
Capital Projects Fund - Advances .....	....	....	....	2,697,000
School for the Deaf				
Capital Projects Fund .....	....	550,000	+550,000	62,000
Capital Projects Fund - Advances .....	....	....	....	1,971,000
Schools For Native American Reservations				
Capital Projects Fund - Advances .....	....	....	....	500,000
Cultural Education Center				
Capital Projects Fund .....	....	1,500,000	+1,500,000	....
Capital Projects Fund - Advances .....	....	....	....	20,550,000
Administration				
Capital Projects Fund .....	750,000	950,000	+200,000	2,352,000
Rebuild Schools to Uphold Education Program				
Capital Projects Fund .....	145,000,000	....	-145,000,000	145,000,000
Washington Avenue Armory				
Capital Projects Fund - Advances .....	....	....	....	8,215,000
<b>Total .....</b>	<b><u>\$145,909,000</u></b>	<b><u>\$5,065,000</u></b>	<b><u>-\$140,844,000</u></b>	<b><u>\$184,876,000</u></b>





# **OFFICE OF CHILDREN AND FAMILY SERVICES**

## **MISSION**

The Office of Children and Family Services (OCFS) was established in 1998 to strengthen services to children and families. The Office is committed to promoting the well-being and safety of children, families and communities.

## **ORGANIZATION AND STAFFING**

The Office of Children and Family Services is headquartered in Rensselaer with regional offices throughout the State. These offices provide operational support and policy direction to local social services districts and youth bureaus. The Office is also responsible for the operation of 48 residential and day placement facilities statewide serving over 2,200 youth. The workforce for fiscal year 2000-2001 is estimated at 4,702 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Office of Children and Family Services receives 39 percent of its \$3.3 billion budget from State tax dollars and 61 percent from Federal and other funds. The State Operations Budget of \$466.4 million supports oversight of child welfare, child care, adult protection and domestic violence programs, among others. In addition, the State Operations Budget supports the continued operation of juvenile justice facilities.

The Local Assistance Budget of \$2.7 billion provides payments to local governments and not-for-profit providers for programs such as foster care, adoption, child protective services, delinquency prevention and child care.

Capital projects appropriations of \$92.6 million primarily support the maintenance and construction of the State-operated juvenile justice facilities in order to provide a safe living environment and sufficient program space for youth while they are in residential care and at the same time, maintain an appropriate level of security.

Although new appropriations for the Office show a decrease of \$191.3 million, this does not reflect a proposed reduction in overall spending. Rather, the decrease is largely due to a required adjustment for the Child Care Reserve Fund, which was fully appropriated in 1999-00, but which will spend out over three years, and a realignment of appropriations for the Title XX Block Grant to coincide with prior year cuts in Federal funding levels. These, and other lesser decreases, are more than offset by appropriation increases.

## **CHILDREN AND FAMILY SERVICES**

The Executive Budget recommendation continues to provide local governments with substantial funding for child welfare services and maximum flexibility in determining the best use of these monies. The recommendation continues the Family and Children's Services Block Grant (FCSBG) and provides almost \$850 million in State and Federal welfare funding to reimburse local social services districts for foster care, foster care prevention and adoption administration activities. The General Fund recommendation of \$533 million for the FCSBG includes \$6 million in new funding to provide cost-of-living adjustments for foster care and preventive services' voluntary agency staff.

The SFY 2000-2001 recommendation maintains the transfer of Federal Temporary Assistance to Needy Families (TANF) Block Grant funds to the Federal Title XX Social Services Block Grant at \$241 million to support locally provided child welfare services.

## **CHILDREN AND FAMILY SERVICES**

---

In addition, the Executive Budget provides \$30 million in additional funding through the TANF Block Grant for preventive services to low income families with children at risk of foster care placement.

Within the TANF Block Grant, funds are set aside for children and their families facing emergency situations. This recommendation reflects continued use of TANF funding to reimburse local governments for the Juvenile Delinquent/Persons in Need of Supervision (JD/PINS) Foster Care Program and other local foster care expenditures.

TANF Block Grant funds are used to increase the amounts available for the home visiting program to \$9.6 million, thereby allowing an expansion to an additional three or four locations across the State. Finally, since the reduction of out-of-wedlock births is one of the major goals of Federal welfare reform, the Adolescent Pregnancy Prevention Program is funded from the TANF Block Grant and suballocated to the Department of Health where it will be consolidated with several other programs that promote abstinence and maternal and newborn health.

The Executive Budget continues uncapped funding for critical child protective activities that, prior to SFY 1998-1999, were financed through the Family and Children's Services Block Grant. Set at \$70 million, this reimbursement provides local governments with necessary resources to protect abused and neglected children.

The Executive Budget continues to provide local governments with funding to support implementation of the Federal Adoption and Safe Families Act (ASFA). This legislation provides important safeguards for protecting children placed in foster care and ensuring timely resolution of foster care placements through accelerated permanency planning hearings and other mandated case actions. The recommendation includes \$6.4 million for State and local ASFA implementation activities, including staff training, fingerprinting of foster care and adoptive parents, and administrative hearings. The Executive Budget also includes \$1.2 million to promote timely actions on requests for child welfare and child protective special hearings.

The Executive Budget supports a continued emphasis on prevention and early identification of child abuse and neglect. More than \$8 million is included to support operation of the State Child Abuse Hotline. Using funds provided last year, planned improvements to the Hotline will be completed in 2000-2001. Additional funds are recommended to expand OCFS' capability to investigate reports of institutional abuse in residential care facilities.

The Budget includes \$118 million for the State's share of adoption subsidies provided to families who adopt special needs children. These funds will support approximately 35,000 children in adoptive homes, including 4,750 children adopted last year. It is anticipated that an additional 4,850 children will be adopted in 2000-2001. In addition, the Budget continues \$1 million in new funding to help parents cover the legal costs they incur when they adopt children who have been awaiting final placement for longer than six months.

### **CHILD CARE**

The Executive Budget includes Federal, State and local funding of \$711 million for the State Child Care Block Grant, an increase of \$85 million over the 1999-2000 level. The Block Grant supports child care subsidies for low-income families and families in transition from welfare to employment. Those transitioning from welfare are guaranteed subsidized child care for 12 months after leaving Family Assistance. The State also guarantees child care to public assistance recipients with children up to age 13 when such care is required for the parent/guardian to go to work. Each social services district receives a single grant that enables it to tailor its expenditures to meet local needs and to comply with mandated work participation requirements for Family Assistance recipients.

## **CHILDREN AND FAMILY SERVICES**

---

Under the Child Care Block Grant, districts' ability to plan for and meet district-specific child care needs has increased. To foster even greater local flexibility, a new \$200 million Child Care Reserve Fund was established in 1999-2000. This Fund may be accessed by local social services districts over a three-year period as their child care demands change. The Executive Budget anticipates that approximately \$51 million will be allocated from the Child Care Reserve Fund in 2000-2001.

The Executive Budget includes \$18.5 million to fingerprint all regulated child care providers, expand oversight and monitoring activities, and increase the percentage of inspections for registered programs from 20 percent to 50 percent over 3 years. In addition, \$2.5 million is set aside to support child care programs meeting the special needs of migrant workers' children.

During 2000-2001 the Office will initiate the new Child Care Facilities Construction Program. Authorized in 1999-2000, this \$15 million bond-financed program will make grants available to child care providers to build or rehabilitate child care centers.

The Executive Budget also provides \$10 million for the third year of the Advantage After-School initiative, a program offered from the end of classes to the early evening hours during the school year. Funds will be provided to community-based organizations demonstrating the ability to work collaboratively with schools, child care providers and/or other organizations or businesses for after-school programming. This funding is anticipated to leverage additional Federal, local and philanthropic dollars.

### **YOUTH FACILITIES**

The Youth Facilities Program includes the Office's 48 residential facilities and day placement centers serving youth placed by the Family Courts or committed by the Criminal Courts. Through a broad array of programs, the Office provides rehabilitative services that include counseling, education and training designed to promote positive youth development and foster a youth's return to the community as a law-abiding and productive citizen.

The Executive Budget recommendations address a growing demand for residential capacity by including \$75 million in capital funds to construct a new secure center to replace the Harlem Valley facility, which is being sold, and to increase limited secure capacity for boys. In addition, operating funds are provided to add 13 limited secure beds for girls at the Lansing Residential Center.

### **SYSTEMS**

The Executive Budget includes approximately \$66 million in State and Federal funding to operate and continue development of CONNECTIONS, the State's child welfare information system.

CONNECTIONS provides for electronic transmission of reports of child abuse or neglect from the State's Child Abuse Hotline to local governments. This enables local caseworkers to intervene quickly with as much information as possible, affording greater protections for children and enhanced case management. In addition, CONNECTIONS enables local governments to track and approve foster and adoptive homes.

During 1999-2000, a State review involving local governments and other stakeholders identified the need for a third party technical expert to guide improvements to the CONNECTIONS software application and hardware infrastructure. Accordingly, OCFS retained a quality assurance contractor to assist CONNECTIONS project leadership in managing this project. This new project management structure will enable the State to plan critical work for the future full implementation of the system while undertaking improvements to existing functions.

To further strengthen the State's ability to oversee programs serving children and families, the Office has identified the need to upgrade its computer technology to support larger data bases and more powerful analytical software. Accordingly, the Executive Budget continues \$6.5 million to implement a common computer platform agencywide, improve financial management capabilities and develop comprehensive data collection and reporting tools.

# CHILDREN AND FAMILY SERVICES

## PROGRAM HIGHLIGHTS

The Office of Children and Family Services supervises the State's system of family support and child welfare services to help families live independently. County departments of social services and, in many cases, community-based local organizations administer most programs that identify and protect abused and neglected children; provide counseling and other services to strengthen families and avoid foster care; place children in foster care as needed; reunite children and families; find permanent adoptive parents for children who cannot be reunited with birth families; prepare teens for independent living and protect vulnerable adults from family violence.

The State Child Abuse Hotline receives over 300,000 calls each year over a toll-free 800 telephone number reporting alleged child maltreatment or abuse. County protective services staff and/or local law enforcement agencies conduct those resulting investigations which have been initiated by the State. The Register maintains a master database of those found culpable of child abuse so that employers, such as day care centers, can screen out potential employees with a history of familial child abuse.

OCFS also oversees a variety of programs serving the State's neediest and most vulnerable adult residents. Many of these programs serve the public assistance population and play an important role as the State and its localities implement welfare reform. Programs include oversight of locally-administered adult protective services and programs providing services to victims of domestic violence, including emergency shelters and community-based crisis intervention.

Through the Commission for the Blind and Visually Handicapped, the Office provides, directly or through contract, services to help visually handicapped people live independently and achieve self-sufficiency through employment. The Commission also assists over 3,800 children and elderly individuals with services such as orientation and mobility, social casework, adaptive equipment, interpreter services, low-vision examinations, diagnostic examinations and intensive adaptive skills training.

The Office provides significant funding to counties and municipalities, and community-based not-for-profit agencies for the provision of youth development and delinquency prevention programs.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$456,693,000	\$466,418,100	+\$9,725,100	\$284,000,000
Aid To Localities .....	3,008,569,796	2,741,931,900	-266,637,896	2,054,466,300
Capital Projects .....	26,950,000	92,600,000	+65,650,000	61,261,000
Total .....	<u>\$3,492,212,796</u>	<u>\$3,300,950,000</u>	<u>-\$191,262,796</u>	<u>\$2,399,727,300</u>

# CHILDREN AND FAMILY SERVICES

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Central Administration					
General Fund	383	383	....	383	....
Special Revenue Funds - Other	98	98	....	98	....
Child Care					
General Fund	57	32	....	32	-25
Special Revenue Funds - Federal	60	170	85	255	+195
Commission for the Blind and Visually Handicapped					
Special Revenue Funds - Federal	196	196	....	196	....
Special Revenue Funds - Other	3	....	3	3	....
Expendable Trust Funds	4	....	4	4	....
Family and Children Services					
General Fund	404	404	....	404	....
Special Revenue Funds - Federal	26	....	26	26	....
Systems Support					
General Fund	216	221	....	221	+5
Training and Development					
Special Revenue Funds - Federal	91	91	....	91	....
Youth Facilities					
General Fund	2,884	2,884	....	2,884	....
Subtotal, Direct Funded Programs	4,422	4,479	118	4,597	+175
Suballocations:					
Special Revenue Funds - Federal	105	....	....	105	....
Total	4,527	....	....	4,702	+175

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$223,879,000	\$241,110,100	+\$17,231,100
Special Revenue Funds - Federal	119,600,000	111,810,000	-7,790,000
Special Revenue Funds - Other	109,389,000	109,673,000	+284,000
Enterprise Funds	500,000	500,000	....
Internal Service Funds	100,000	100,000	....
Fiduciary Funds	3,225,000	3,225,000	....
Total	\$456,693,000	\$466,418,100	+\$9,725,100

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Central Administration			
General Fund	\$28,924,600	\$32,154,900	+\$3,230,300
Special Revenue Funds - Other	9,100,000	9,100,000	.....
Internal Service Funds	100,000	100,000	.....
Fiduciary Funds	1,825,000	1,825,000	.....
Child Care			
General Fund	3,778,000	2,477,100	-1,300,900
Special Revenue Funds - Federal	10,800,000	10,800,000	.....
Children's Services			
Special Revenue Funds - Federal	.....	.....	.....
Commission for the Blind and Visually Handicapped			
General Fund	8,378,700	8,379,000	+300
Special Revenue Funds - Federal	28,000,000	22,210,000	-5,790,000
Special Revenue Funds - Other	500,000	500,000	.....
Fiduciary Funds	1,400,000	1,400,000	.....
Departmental Administrative Reimbursement			
General Fund	-37,233,000	-32,093,000	+5,140,000
Special Revenue Funds - Other	37,233,000	38,593,000	+1,360,000
Family and Children Services			
General Fund	32,984,700	29,173,800	-3,810,900
Special Revenue Funds - Federal	16,800,000	17,800,000	+1,000,000
Special Revenue Funds - Other	956,000	1,046,000	+90,000
Systems Support			
General Fund	43,212,000	53,986,300	+10,774,300
Special Revenue Funds - Federal	.....	25,000,000	+25,000,000
Special Revenue Funds - Other	.....	10,000,000	+10,000,000
Training and Development			
General Fund	10,000,000	10,000,000	.....
Special Revenue Funds - Federal	64,000,000	36,000,000	-28,000,000
Special Revenue Funds - Other	61,300,000	50,134,000	-11,166,000
Enterprise Funds	200,000	200,000	.....
Youth Facilities			
General Fund	133,834,000	137,032,000	+3,198,000
Special Revenue Funds - Other	300,000	300,000	.....
Enterprise Funds	300,000	300,000	.....
<b>Total</b>	<b>\$456,693,000</b>	<b>\$466,418,100</b>	<b>+\$9,725,100</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Central Administration	\$19,275,700	-\$517,300	\$18,337,500	-\$546,500	\$808,100	+\$25,100
Child Care	1,526,800	-1,309,200	1,526,800	-1,309,200	.....	.....
Family and Children Services	18,396,800	+275,800	17,634,200	+252,200	5,200	+200
Systems Support	9,388,300	+240,300	9,363,300	+240,300	.....	.....
Youth Facilities	112,564,000	+1,993,000	102,796,500	+1,626,500	5,194,500	+235,500
<b>Total</b>	<b>\$161,151,600</b>	<b>+\$682,600</b>	<b>\$149,658,300</b>	<b>+\$263,300</b>	<b>\$6,007,800</b>	<b>+\$260,800</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Central Administration	\$130,100	+\$4,100
Family and Children Services	757,400	+23,400
Systems Support	25,000	.....
Youth Facilities	4,573,000	+131,000
<b>Total</b>	<b>\$5,485,500</b>	<b>+\$158,500</b>

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Central Administration .....	\$12,879,200	+\$3,747,600	\$208,000	....
Child Care .....	950,300	+8,300	74,000	....
Commission for the Blind and Visually Handicapped .....	8,379,000	+300	....	....
Family and Children Services .....	10,777,000	-4,086,700	577,500	....
Systems Support .....	44,598,000	+10,534,000	340,000	....
Training and Development .....	10,000,000	....	....	....
Youth Facilities .....	24,468,000	+1,205,000	10,514,000	....
<b>Total .....</b>	<b>\$112,051,500</b>	<b>+\$11,408,500</b>	<b>\$11,713,500</b>	<b>....</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Central Administration .....	\$755,000	....	\$9,317,200	+\$2,547,600
Child Care .....	184,000	....	662,300	+8,300
Family and Children Services .....	356,500	....	7,614,000	-4,186,700
Systems Support .....	99,000	....	2,719,000	....
Youth Facilities .....	820,000	....	11,679,000	+955,000
<b>Total .....</b>	<b>\$2,214,500</b>	<b>....</b>	<b>\$31,991,500</b>	<b>-\$675,800</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Administration .....	\$136,000	....	\$2,463,000	+\$1,200,000
Child Care .....	30,000	....	....	....
Commission for the Blind and Visually Handicapped .....	....	....	8,379,000	+300
Family and Children Services .....	29,000	....	2,200,000	+100,000
Systems Support .....	140,000	....	41,300,000	+10,534,000
Training and Development .....	....	....	10,000,000	....
Youth Facilities .....	1,205,000	....	250,000	+250,000
<b>Total .....</b>	<b>\$1,540,000</b>	<b>....</b>	<b>\$64,592,000</b>	<b>+\$12,084,300</b>



# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Central Administration .....	\$11,025,000	....	....	....
Child Care .....	10,800,000	....	....	....
Commission for the Blind and Visually Handicapped .....	24,110,000	-\$5,790,000	....	....
Family and Children Services .....	18,846,000	+1,090,000	....	....
Systems Support .....	35,000,000	+35,000,000	....	....
Training and Development .....	86,334,000	-39,166,000	\$1,434,000	....
Youth Facilities .....	600,000	....	....	....
<b>Total .....</b>	<b>\$186,715,000</b>	<b>-\$8,866,000</b>	<b>\$1,434,000</b>	<b>....</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Administration .....	\$1,925,000	....	\$9,100,000	....
Child Care .....	....	....	10,800,000	....
Commission for the Blind and Visually Handicapped .....	....	....	24,110,000	-\$5,790,000
Family and Children Services .....	5,000,000	....	13,846,000	+1,090,000
Systems Support .....	....	....	35,000,000	+35,000,000
Training and Development .....	2,566,000	....	82,334,000	-39,166,000
Youth Facilities .....	600,000	....	....	....
<b>Total .....</b>	<b>\$10,091,000</b>	<b>....</b>	<b>\$175,190,000</b>	<b>-\$8,866,000</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available	Recommended	Change
	1999-00	2000-01	
General Fund .....	\$1,058,942,796	\$1,039,311,900	-\$19,630,896
Special Revenue Funds - Federal .....	1,925,097,000	1,678,090,000	-247,007,000
Special Revenue Funds - Other .....	21,000,000	21,000,000	....
Fiduciary Funds .....	3,530,000	3,530,000	....
<b>Total .....</b>	<b>\$3,008,569,796</b>	<b>\$2,741,931,900</b>	<b>-\$266,637,896</b>
Adjustments:			
Transfer(s) From			
Children and Family Services, Office of General Fund .....	-12,270,000		
Transfer(s) To			
Children and Family Services, Office of Special Revenue Funds - Federal .....	+12,270,000		
Appropriated 1999-00 .....	<u>\$3,008,569,796</u>		

## CHILDREN AND FAMILY SERVICES

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Child Care			
General Fund .....	\$96,066,000	\$96,066,000	.....
Special Revenue Funds - Federal .....	730,000,000	551,000,000	-\$179,000,000
Family and Children Services			
General Fund .....	934,415,900	938,245,900	+3,830,000
Special Revenue Funds - Federal .....	1,171,270,000	1,098,652,000	-72,618,000
Special Revenue Funds - Other .....	21,000,000	21,000,000	.....
Fiduciary Funds .....	3,530,000	3,530,000	.....
Training and Development			
General Fund .....	5,000,000	5,000,000	.....
Special Revenue Funds - Federal .....	23,827,000	28,438,000	+4,611,000
Community Projects			
General Fund .....	23,460,896	.....	-23,460,896
<b>Total .....</b>	<b>\$3,008,569,796</b>	<b>\$2,741,931,900</b>	<b>-\$266,637,896</b>

### CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Design and Construction Supervision				
Youth Facilities Improvement Fund .....	.....	\$1,000,000	+\$1,000,000	\$1,000,000
Child Care Facilities Development Program				
Capital Projects Fund .....	\$15,000,000	.....	-15,000,000	15,000,000
Maintenance and Improvement of Facilities				
Capital Projects Fund .....	4,250,000	1,900,000	-2,350,000	4,250,000
Youth Facilities Improvement Fund .....	4,000,000	7,700,000	+3,700,000	18,300,000
Executive Direction and Administrative Services				
Capital Projects Fund .....	700,000	.....	-700,000	769,000
Misc. Capital Projects .....	.....	4,000,000	+4,000,000	.....
Youth Facilities Improvement Fund .....	.....	.....	.....	1,178,000
New Construction				
Youth Facilities Improvement Fund .....	.....	75,000,000	+75,000,000	.....
Program Improvement or Program Change				
Youth Facilities Improvement Fund .....	3,000,000	3,000,000	.....	10,200,000
Youth Center				
Capital Projects Fund .....	.....	.....	.....	9,838,000
Rehabilitative Services				
Youth Facilities Improvement Fund .....	.....	.....	.....	726,000
<b>Total .....</b>	<b>\$26,950,000</b>	<b>\$92,600,000</b>	<b>+\$65,650,000</b>	<b>\$61,261,000</b>



# **OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE**

## **MISSION**

Working in close collaboration with the Department of Labor and Office of Children and Family Services, the Office of Temporary and Disability Assistance (OTDA) helps needy adults and families achieve economic self-sufficiency through work, job training, and child support enforcement. The Office also provides economic assistance to aged and disabled persons who are unable to work, and transitional support to welfare recipients while they are working toward self-sufficiency.

## **ORGANIZATION AND STAFFING**

Core responsibilities of the Office of Temporary and Disability Assistance include providing policy and technical support to social services districts responsible for implementing welfare reform and administering programs serving the homeless and refugees. Through its Division of Disability Determinations, the agency also evaluates the medical eligibility of disability claimants for Supplemental Security Income and Social Security Disability Insurance.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

A total of \$4.8 billion is recommended from all funding sources in SFY 2000-2001 to support State Operations and Aid to Localities programs including Family Assistance, Safety Net, Supplemental Security Income (SSI), Food Assistance Program, Home Energy Assistance (HEAP), child support enforcement and food stamp administration.

Aid to Localities is funded by \$4.3 billion in Federal funds, the General Fund, and other revenue. Within this amount, the General Fund cost for direct welfare programs — Family Assistance and Safety Net — will decrease by approximately \$89 million in 2000-2001 reflecting continued welfare caseload declines and available Federal funding. Partially offsetting this decrease are increases in General Fund spending for Supplemental Security Income (SSI) for the aged and disabled.

For State Operations, an appropriation of approximately \$555 million is recommended from all funding sources. These funds will support a workforce of approximately 2,468, including 1,360 federally funded positions in the Division of Disability Determinations.

The recommended \$77 million General Fund appropriation includes funding for staff and other costs related to the oversight of social services district administration of public assistance and child support enforcement programs; administrative hearings for public assistance, Food Stamp, and Medicaid applicants and recipients; and operation of the major computer systems supporting public assistance programs. Approximately \$435 million in Federal funds and other revenues are recommended for the administration of the Division of Disability Determinations, the Home Energy Assistance program (HEAP), and the Bureau of Refugee and Immigration Affairs.

Approximately \$210 million in State and Federal funds are appropriated for the costs of the redesign of the Welfare Management System (WMS) and development of the Welfare-to-Work Caseload Management System. WMS is the primary data management tool used by districts to support eligibility determinations and other critical welfare administration activities.

## ***TEMPORARY AND DISABILITY ASSISTANCE***

---

Specific priorities for the Office of Temporary and Disability Assistance for 2000-2001 are as follows:

- In partnership with social services districts, the Department of Labor and the Office of Children and Family Services, operate programs enacted through the State Welfare Reform Act of 1997 so that the welfare system can more effectively transition participants to work and self-sufficiency;
- Develop and implement regulations and administrative policies consistent with the objectives of welfare reform;
- Improve, redesign, and more effectively use technology, information, and communication to support program operations; and
- Continue to strengthen program integrity and anti-fraud activities throughout the welfare system.

### ***PROGRAM HIGHLIGHTS***

The welfare system in New York State has changed in basic philosophy and approach, bringing to fruition the overall objectives of State welfare reform. These changes include transforming welfare into a system of temporary income support while recipients secure employment and child support payments; promoting individual responsibility; and providing social services districts with the flexibility, incentives, and rewards they need to effectively administer a work-oriented welfare system. The system has evolved from one that focused primarily on determining client eligibility and distributing benefit payments to one that now focuses on securing alternative non-welfare means of income support such as employment, child support, or temporary assistance.

The new emphasis has resulted in a dramatic decline in welfare caseloads. The total public assistance caseload in New York State in 2000-2001 is projected at 850,000 recipients, a decrease of 70,000 persons from 1999-2000. When compared to caseload levels in January 1995, welfare caseloads are projected to decline by over 820,000 recipients as of March 31, 2001, or by approximately 49 percent.

### ***FAMILY ASSISTANCE***

The Family Assistance program provides employment assessments, support services and time-limited cash assistance to eligible families with children while the parent acquires the necessary work skills to secure and retain employment.

With certain statutorily prescribed exceptions, those who receive benefits must participate in work activities to remain eligible. Cash benefits for Family Assistance participants are limited to a cumulative period of five years. If the head of a Family Assistance household is unable to become employed during this period, the family is limited to non-cash benefits through the Safety Net program (discussed below) while the head of household continues to search for a job.

The new welfare system fosters recipient self-sufficiency. All Family Assistance participants undergo an assessment of their employability skills and training needs and, unless disabled, must participate in assigned work activities. Participants are covered by a larger and greatly strengthened earned income disregard than was historically the case and may retain a higher level of savings and other resources to help the transition from welfare.

Social services districts are required to meet Federal work activity participation targets. The Federal Department of Health and Human Services (DHHS) recently announced that New York exceeded these Federal standards for Federal Fiscal Year 1998. Reflecting scheduled increases in work participation requirements in Federal law, for FFY 2000, districts must place at least 40 percent of all family assistance cases in an allowable work activity for not less than 30 hours per week. State law places the focus of participant employment plans directly on work or work-like activities such as job training, community service, or workfare. This approach will position the State to continue to meet or exceed required employment targets in future years. Under Federal law, the targets increase incrementally

## ***TEMPORARY AND DISABILITY ASSISTANCE***

---

until the year 2002 when 50 percent of the Family Assistance caseload must participate in work activities for not less than 30 hours per week.

The Governor's welfare reform program also fosters individual responsibility to help break the cycle of long-term dependency. All applicants and recipients are required to participate in screening and assessment to determine if the need for welfare results from use of illegal drugs or excessive consumption of alcoholic beverages. If a participant is unable to work because of such circumstances, he or she is referred to an appropriate treatment program and welfare benefits are restricted to non-cash assistance. Students in Family Assistance cases participate in Learnfare to encourage school attendance and teen parents must attend high school or other approved education programs to receive welfare benefits.

Welfare reform also requires each social services district to screen its Family Assistance caseload for domestic violence. Acting through its designated domestic violence liaison, each district informs the individual of voluntary services which may be available. Districts waive application of welfare program rules, including but not limited to child support cooperation, work requirements, and residency requirements, if the district determines that these provisions would cause further risk or make it more difficult for the person to escape domestic violence.

The Governor's welfare reform program has strengthened child support enforcement. Improvements include automated updating of child support awards to reflect inflation; interstate reciprocity in child support proceedings; a strengthened role for child support staff in welfare case processing; and administrative authority for social services districts to order genetic tests, subpoena information, and collect relevant data from Federal, State and local agencies. These measures have helped to increase total child support collections to their current level of over \$1 billion.

For SFY 2000-2001, the Governor is proposing to increase the maximum monthly amount of child support (from \$50 to \$100) that can be passed-through to a custodial parent receiving family assistance and to strengthen provisions relating to medical support enforcement. The Executive Budget would also re-invest Federal incentive bonuses in child support initiatives to strengthen performance in "hard-to-collect" cases, update asset information on non-custodial parents, expand private health care coverage for children in support cases, and expand the "Celebrating Fatherhood" media campaign to encourage voluntary compliance. These initiatives will further strengthen the child support enforcement system, thus helping to ensure that parents provide for the income support of their children.

Welfare reform also protects taxpayer investments in the welfare system by strengthening sanctions for persons who refuse to comply with work requirements and prohibiting welfare payments to fugitive felons, persons who have been convicted of a felony and failed to abide by the terms of their probation or parole, or who have been convicted of fraudulently seeking to obtain benefits in two or more states.

### ***SAFETY NET PROGRAM***

Article XVII of the State Constitution requires the State and its social services districts to provide for the needy. State welfare reform meets this obligation through the Safety Net program for persons who are not eligible for Family Assistance or Supplemental Security Income.

Safety Net participants, primarily single adults and childless couples, can receive cash allowances for a two year period after which benefits can be provided on a non-cash basis. Other groups that may receive non-cash benefits include families that have exhausted their five year limit on Family Assistance, certain non-citizens, households where the adult is unable to work because of substance abuse, and households where the adult has refused to participate in drug/alcohol screening or treatment. In addition to providing for essential needs, the Safety Net is a work program which provides such services as job search, work training, and workfare. Unless prevented from doing so by a physical or mental disability, Safety Net participants must engage in assigned work activities to receive assistance.

### ***DISABILITY ASSISTANCE***

## ***TEMPORARY AND DISABILITY ASSISTANCE***

---

Participants in both Family Assistance and Safety Net can be exempt from work assignments, or given limited work activities, if necessary because of a medically verifiable physical or mental impairment. The social services district is responsible for determining if such a disability exists. In making this determination, the district must consider information provided by the participant's treating physician, but also can conduct its own medical examination.

### ***SUPPLEMENTAL SECURITY INCOME***

Federal Supplemental Security Income (SSI) provides cash assistance to the aged, visually handicapped, and disabled. New York's SSI benefit, is \$599 per month for an individual living alone in the community, including a scheduled January 2000 cost-of-living adjustment in the Federal portion of the grant. The State's SSI benefit currently is one of the highest nationally. The 2000-2001 recommendation of \$621 million funds the State cost of SSI benefits for a projected 610,440 recipients.

### ***STATE FOOD ASSISTANCE PROGRAM***

The State Welfare Reform Act of 1997 created New York's Food Assistance Program, (FAP) for non-citizens who lost Federal Food Stamps solely due to their alien status. FAP was designed to target the most vulnerable immigrants — children, disabled adults, and persons 60 years of age or older. On November 1, 1998, Federal Food Stamps were restored to children, disabled adults, and those over age 67. The 2000-2001 Aid to Localities recommendation provides \$8.2 million, combined State and local funds, to continue food benefits to an estimated 5,000 immigrant seniors who remain ineligible for the Federal program.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$493,023,000	\$555,010,000	+\$61,987,000	\$384,590,000
Aid To Localities .....	4,400,350,000	4,256,931,000	-143,419,000	3,404,160,000
Capital Projects .....	32,000,000	30,000,000	-2,000,000	139,903,000
Total .....	<u>\$4,925,373,000</u>	<u>\$4,841,941,000</u>	<u>-\$83,432,000</u>	<u>\$3,928,653,000</u>

# TEMPORARY AND DISABILITY ASSISTANCE

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund	180	180	....	180	....
Special Revenue Funds - Federal	133	....	133	133	....
Special Revenue Funds - Other	59	....	59	59	....
Child Support Enforcement					
General Fund	57	....	....	....	-57
Special Revenue Funds - Other	....	57	....	57	+57
Disability Determinations					
Special Revenue Funds - Federal	1,360	1,360	....	1,360	....
Special Revenue Funds - Other	111	....	111	111	....
Executive Direction					
General Fund	21	21	....	21	....
Legal Affairs					
General Fund	164	164	....	164	....
Refugee and Immigrant Affairs					
Special Revenue Funds - Federal	19	19	....	19	....
Shelter and Supported Housing					
General Fund	22	22	....	22	....
Special Revenue Funds - Federal	2	....	2	2	....
System Support and Information Services					
General Fund	193	163	30	193	....
Special Revenue Funds - Federal	30	30	....	30	....
Special Revenue Funds - Other	19	19	....	19	....
Temporary and Disability Assistance Programs					
General Fund	59	59	....	59	....
Special Revenue Funds - Federal	21	....	21	21	....
Special Revenue Funds - Other	18	....	18	18	....
Subtotal, Direct Funded Programs	2,468	2,094	374	2,468	....
Suballocations:					
Special Revenue Funds - Federal	18	....	....	18	....
Total	2,486	....	....	2,486	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$67,408,000	\$76,559,000	+\$9,151,000
Special Revenue Funds - Federal	320,570,000	347,870,000	+27,300,000
Special Revenue Funds - Other	104,045,000	129,581,000	+25,536,000
Internal Service Funds	1,000,000	1,000,000	....
Total	\$493,023,000	\$555,010,000	+\$61,987,000



# **TEMPORARY AND DISABILITY ASSISTANCE**

---

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$19,964,000	\$18,019,000	-\$1,945,000
Special Revenue Funds - Federal .....	7,000,000	7,000,000	.....
Special Revenue Funds - Other .....	18,850,000	18,850,000	.....
Internal Service Funds .....	1,000,000	1,000,000	.....
Child Support Enforcement			
General Fund .....	4,164,000	.....	-4,164,000
Special Revenue Funds - Federal .....	2,300,000	2,900,000	+600,000
Special Revenue Funds - Other .....	.....	25,000,000	+25,000,000
Departmental Administrative Reimbursement			
General Fund .....	-61,926,000	-62,462,000	-536,000
Special Revenue Funds - Other .....	65,495,000	66,031,000	+536,000
Disability Determinations			
Special Revenue Funds - Federal .....	162,500,000	169,200,000	+6,700,000
Special Revenue Funds - Other .....	10,400,000	10,400,000	.....
Executive Direction			
General Fund .....	1,686,000	1,684,000	-2,000
Legal Affairs			
General Fund .....	11,185,000	11,367,000	+182,000
Refugee and Immigrant Affairs			
Special Revenue Funds - Federal .....	2,270,000	2,270,000	.....
Shelter and Supported Housing			
General Fund .....	1,357,000	1,338,000	-19,000
Special Revenue Funds - Federal .....	500,000	500,000	.....
System Support and Information Services			
General Fund .....	86,275,000	101,655,000	+15,380,000
Special Revenue Funds - Federal .....	140,000,000	160,000,000	+20,000,000
Special Revenue Funds - Other .....	6,800,000	6,800,000	.....
Temporary and Disability Assistance Programs			
General Fund .....	4,703,000	4,958,000	+255,000
Special Revenue Funds - Federal .....	6,000,000	6,000,000	.....
Special Revenue Funds - Other .....	2,500,000	2,500,000	.....
Total .....	<u>\$493,023,000</u>	<u>\$555,010,000</u>	<u>+\$61,987,000</u>

## **TEMPORARY AND DISABILITY ASSISTANCE**

### **STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$8,789,000	-\$118,000	\$8,675,000	-\$207,000	\$83,600	+\$83,600
Child Support Enforcement .....	.....	-2,961,000	.....	-2,961,000	.....	.....
Executive Direction .....	1,340,000	-2,000	1,255,500	-46,500	83,000	+49,000
Legal Affairs .....	8,408,000	+182,000	8,118,000	-8,000	.....	.....
Shelter and Supported Housing .....	1,199,000	-19,000	1,184,000	-34,000	.....	.....
System Support and Information Services .....	9,060,000	-164,000	8,750,000	-191,000	.....	.....
Temporary and Disability Assistance Programs .....	3,656,000	+255,000	3,196,000	+8,000	440,000	+227,000
<b>Total .....</b>	<b>\$32,452,000</b>	<b>-\$2,827,000</b>	<b>\$31,178,500</b>	<b>-\$3,439,500</b>	<b>\$606,600</b>	<b>+\$359,600</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$30,400	+\$5,400
Executive Direction .....	1,500	-4,500
Legal Affairs .....	290,000	+190,000
Shelter and Supported Housing .....	15,000	+15,000
System Support and Information Services .....	310,000	+27,000
Temporary and Disability Assistance Programs .....	20,000	+20,000
<b>Total .....</b>	<b>\$666,900</b>	<b>+\$252,900</b>

# TEMPORARY AND DISABILITY ASSISTANCE

---

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$9,730,000	-\$1,827,000	\$150,300	.....
Child Support Enforcement .....	.....	-1,203,000	.....	-\$34,000
Executive Direction .....	344,000	.....	22,200	+200
Legal Affairs .....	2,959,000	.....	137,500	-21,000
Shelter and Supported Housing ...	139,000	.....	10,400	.....
System Support and Information Services .....	92,595,000	+15,544,000	414,100	.....
Temporary and Disability Assistance Programs .....	1,302,000	.....	25,000	+23,400
<b>Total .....</b>	<b>\$107,069,000</b>	<b>+\$12,514,000</b>	<b>\$759,500</b>	<b>-\$31,400</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$183,300	.....	\$5,530,900	+\$898,000
Child Support Enforcement .....	.....	-\$57,800	.....	-446,200
Executive Direction .....	61,100	+300	235,000	.....
Legal Affairs .....	116,100	-17,000	2,639,400	-22,300
Shelter and Supported Housing ...	35,500	.....	87,800	.....
System Support and Information Services .....	154,100	.....	2,943,400	.....
Temporary and Disability Assistance Programs .....	200,000	-10,200	987,000	-100,200
<b>Total .....</b>	<b>\$750,100</b>	<b>-\$84,700</b>	<b>\$12,423,500</b>	<b>+\$329,300</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$1,220,500	+\$1,150,000	\$2,645,000	-\$3,875,000
Child Support Enforcement .....	.....	.....	.....	-665,000
Executive Direction .....	25,700	-500	.....	.....
Legal Affairs .....	66,000	+60,300	.....	.....
Shelter and Supported Housing ...	5,300	.....	.....	.....
System Support and Information Services .....	209,400	.....	88,874,000	+15,544,000
Temporary and Disability Assistance Programs .....	90,000	+87,000	.....	.....
<b>Total .....</b>	<b>\$1,616,900</b>	<b>+\$1,296,800</b>	<b>\$91,519,000</b>	<b>+\$11,004,000</b>

## **TEMPORARY AND DISABILITY ASSISTANCE**

### **STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$26,350,000	.....	\$600,000	.....
Child Support Enforcement .....	27,900,000	+\$25,600,000	.....	.....
Disability Determinations .....	179,600,000	+6,700,000	71,300,000	+\$4,600,000
Refugee and Immigrant Affairs .....	2,270,000	.....	.....	.....
Shelter and Supported Housing .....	500,000	.....	.....	.....
System Support and Information Services .....	166,800,000	+20,000,000	.....	.....
Temporary and Disability Assistance Programs .....	8,500,000	.....	.....	.....
<b>Total .....</b>	<b>\$411,920,000</b>	<b>+\$52,300,000</b>	<b>\$71,900,000</b>	<b>+\$4,600,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$250,000	.....	\$25,500,000	.....
Child Support Enforcement .....	.....	.....	27,900,000	+\$25,600,000
Disability Determinations .....	97,900,000	+\$2,100,000	10,400,000	.....
Refugee and Immigrant Affairs .....	.....	.....	2,270,000	.....
Shelter and Supported Housing .....	.....	.....	500,000	.....
System Support and Information Services .....	.....	.....	166,800,000	+20,000,000
Temporary and Disability Assistance Programs .....	.....	.....	8,500,000	.....
<b>Total .....</b>	<b>\$98,150,000</b>	<b>+\$2,100,000</b>	<b>\$241,870,000</b>	<b>+\$45,600,000</b>

### **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

Fund Type	Available	Recommended	Change
	1999-00	2000-01	
General Fund .....	\$1,810,650,000	\$1,707,231,000	-\$103,419,000
Special Revenue Funds - Federal .....	2,493,500,000	2,453,500,000	-40,000,000
Special Revenue Funds - Other .....	86,200,000	86,200,000	.....
Fiduciary Funds .....	10,000,000	10,000,000	.....
<b>Total .....</b>	<b>\$4,400,350,000</b>	<b>\$4,256,931,000</b>	<b>-\$143,419,000</b>

# TEMPORARY AND DISABILITY ASSISTANCE

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other .....	\$65,000,000	\$65,000,000	.....
Child Support Enforcement			
General Fund .....	26,600,000	27,010,000	+\$410,000
Special Revenue Funds - Federal .....	72,000,000	84,000,000	+12,000,000
Special Revenue Funds - Other .....	100,000	100,000	.....
Employment Services			
General Fund .....	50,650,000	47,278,000	-3,372,000
Food Assistance Program			
General Fund .....	4,100,000	4,100,000	.....
Special Revenue Funds - Other .....	4,100,000	4,100,000	.....
Food Stamp Administration Program			
General Fund .....	112,928,000	113,911,000	+983,000
Special Revenue Funds - Federal .....	214,000,000	219,000,000	+5,000,000
Special Revenue Funds - Other .....	6,000,000	6,000,000	.....
Refugee and Immigrant Affairs			
General Fund .....	5,050,000	5,000,000	-50,000
Special Revenue Funds - Federal .....	41,500,000	41,500,000	.....
Shelter and Supported Housing			
General Fund .....	120,950,000	110,750,000	-10,200,000
Special Revenue Funds - Federal .....	20,000,000	20,000,000	.....
Special Revenue Funds - Other .....	10,000,000	10,000,000	.....
Temporary and Disability Assistance Administration			
General Fund .....	215,472,000	218,182,000	+2,710,000
Temporary and Disability Assistance Programs			
General Fund .....	1,274,900,000	1,181,000,000	-93,900,000
Special Revenue Funds - Federal .....	2,146,000,000	2,089,000,000	-57,000,000
Special Revenue Funds - Other .....	1,000,000	1,000,000	.....
Agency Trust Funds .....	10,000,000	10,000,000	.....
<b>Total .....</b>	<b><u>\$4,400,350,000</u></b>	<b><u>\$4,256,931,000</u></b>	<b><u>-\$143,419,000</u></b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Information Management Technology Program				
Capital Projects Fund .....	.....	.....	.....	\$361,000
Supported Housing Program				
Capital Projects Fund .....	.....	.....	.....	13,750,000
Housing Program Fund .....	\$32,000,000	\$30,000,000	-\$2,000,000	125,792,000
<b>Total .....</b>	<b><u>\$32,000,000</u></b>	<b><u>\$30,000,000</u></b>	<b><u>-\$2,000,000</u></b>	<b><u>\$139,903,000</u></b>

# **HIGHER EDUCATION SERVICES CORPORATION**

## **MISSION**

The Higher Education Services Corporation was established in 1974 to provide centralized processing of student financial aid programs. The Corporation administers the State's Tuition Assistance Program, the Federal Family Education Loan Program and other State and federal aid programs.

## **ORGANIZATION AND STAFFING**

The Corporation is governed by a 15-member Board of Trustees, ten of whom are appointed by the Governor to six-year terms. The ten gubernatorial appointees include two student representatives, a representative of the general public, a college financial aid administrator, a chief executive officer of a proprietary institution, two presidents of independent institutions, one chief executive officer of a proprietary school and two banking representatives. The remaining five ex-officio members include the Commissioner of Education, the Chancellors of the State University of New York and the City University of New York and student government leaders representing the public university systems.

The Corporation's chief executive officer is the President, who is appointed by the Governor, subject to Senate confirmation. The President's responsibilities include administrative oversight of key program areas including legal counsel, data processing, operations, grants and scholarships, loans and research.

The agency will have a workforce of 830 employees in 2000-01. Of this total, 688 positions (83 percent) are paid through funds received for the administration of federal student loans and 142 positions (17 percent) are paid from State funds for administration of State student financial aid programs. General administrative operations are located in Albany and Menands, while data processing operations are located in Troy.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends over \$713 million in support of agency operations and programs. Of this amount, \$92 million will be available to support administration of State and federal student aid programs and \$621 million will be awarded in financial aid to students or colleges to provide access to postsecondary opportunities and help maintain New York's leadership in higher education.

General Fund support of \$9.4 million is recommended for administration of State grants and scholarships. Over \$83 million of the operating budget represents federal loan-related functions, which are supported from non-General Fund sources and include funding for administration of the new federal GEAR UP program. Costs for shared data processing, personnel, finance and other administrative activities are allocated proportionately according to time expended for State or federal activities.

Of the \$621 million invested in financial aid and institutional grants, General Fund dollars account for nearly \$612 million. Support for the remaining expenditures is provided from federal funds and non-General Fund revenues.

## **STATE OPERATIONS**

The Corporation will continue to improve its administrative operations in 2000-01 through investments in enhanced employee skills, modern technological infrastructure, and streamlined administrative practices. In addition to a renewed emphasis on providing comprehensive services to its clientele, the Corporation continues to develop partnerships with other student

## **HIGHER EDUCATION SERVICES**

---

loan guaranty agencies to streamline costs, improve services, and increase responsiveness through shared development efforts.

### **FINANCIAL AID PROGRAMS**

The 2000-01 recommendation for the Tuition Assistance Program (TAP) is \$575 million on an academic year basis. This level of funding maintains the current structure of the TAP program with no changes in award levels or eligibility criteria. The \$40 million year-to-year decrease in the TAP appropriation reflects a natural decline in program participation due to the State's strong economy, and related income growth that will reduce average award amounts.

New York's TAP program will facilitate access to higher education for approximately 250,000 students. Yet, access to higher education is not sufficient if students are not able to graduate on a timely basis and reap the economic benefits of a college degree. In the coming year, our higher education community, both public and private, will be called upon for their guidance in developing strengthened academic standards and changes that enable and encourage students to complete their degrees in a timely manner.

In 2000-01, CUNY will implement a new financial aid pilot program which will enable students with a demonstrated record of achievement to attend a CUNY college on a part-time basis and be eligible for financial assistance under TAP. This program should help increase the number of students who successfully obtain their college degrees by recognizing the need of certain students to adjust their courseloads to accommodate work and family responsibilities.

A total of \$14 million, an increase of \$3.5 million, will support the full implementation of the Scholarships for Academic Excellence program. Under this program, 2,000 of New York's top scholars will be eligible for annual awards of \$1,500 and 6,000 academically distinguished high school students will be eligible for annual awards of \$500 for four years of undergraduate study. By recognizing high school achievement, this program encourages our most academically talented students to pursue their postsecondary education in New York State.

### **PROGRAM HIGHLIGHTS**

#### **STATE OPERATIONS**

The Corporation continues to streamline and improve its computer systems for the payment and tracking of student financial aid funds. The Corporation's goal is to provide payments more quickly to students, parents and colleges and to improve the accuracy of State financial aid data.

In 2000-01, the Corporation will administer the State's project under the new \$120 million Federal GEAR-UP program. In 1999, the Corporation was awarded a five-year Federal GEAR-UP grant to provide early college preparation and guidance services to low income communities. New York GEAR UP will serve participating students, as early as seventh grade, with mentoring, counseling, outreach, and support services designed to help them aspire to and prepare for higher education. The Corporation's GEAR UP staff will coordinate statewide activities for the 11 local GEAR UP partners — in the metropolitan New York City area, the Capital Region, the Southern Tier and Buffalo — which received competitive grants under the GEAR UP Partnership project.

### **FEDERAL LOAN GUARANTEE PROGRAM**

The largest part of agency operations is the administration of the Federal Family Education Loan program. Under this program, the Corporation guarantees over \$9 billion in outstanding loans made by banks to students. When banks are unable to collect loan repayments, the agency intervenes to avert default. If unsuccessful, loans are purchased from banks and measures are taken to bring such defaulted loans into repayment. The Corporation also provides customer services for lenders, schools and students, which include the distribution of loan information, as well as training and technical assistance related to loan applications and processing.

Federal loan activities administered by the Corporation include:

- \$1.5 billion in new guaranteed loans estimated for 1999-2000;
- Loans guaranteed for approximately 350,000 individual borrowers; and
- Projected defaulted loan collections of over \$143 million and \$174 million in defaulted loan purchases for 1999-2000.

### **FINANCIAL AID PROGRAMS**

The Corporation's State-funded responsibilities include processing student applications for State student financial aid programs, determining award amounts, processing and auditing aid payments to students and colleges, conducting reviews of participating institutions, collecting disallowed amounts identified in audits of participating institutions and providing information services to the public, students and schools for the following programs:

- Tuition Assistance Program: \$575 million in aid will be provided to students in the public and private sectors.
- Aid for Part Time Study: \$14.6 million will be available to nearly 23,000 part-time students in all sectors of higher education.
- Scholarships and Fellowships: 5,200 recipients are projected to receive aid for special employment preparation or targeted needs under fifteen State and Federal programs; 29,000 Scholarships for Academic Excellence will be available in 2000-01 to students pursuing their college education in New York State.

### **COLLEGE CHOICE TUITION SAVINGS PROGRAM**

Signed into law in 1997, the College Choice Tuition Savings Program presents a major commitment by the State to encourage families throughout New York to save for the college education of their children or grandchildren. Under this program, families can save for their children's education at accredited public and private colleges in New York or anywhere in the country by providing tax benefits on contributions made to, and interest earned on, college savings accounts.

Jointly administered by the Corporation and the Office of the State Comptroller, the program has been well received by the general public. Since its inception in September 1998, close to 70,000 accounts have been opened, with contributions exceeding \$280 million. New York's program has already received national recognition as one of the top college savings plans in the nation and, in the coming year, consideration will be given to further improvements in the program to encourage even greater participation.

Recently, Governor Pataki announced that the minimum amount required to open an account has been reduced from \$250 to \$25.



# HIGHER EDUCATION SERVICES

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$87,797,000	\$92,458,000	+\$4,661,000	\$750,000
Aid To Localities .....	657,548,000	620,948,000	-36,600,000	.....
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$745,345,000</b>	<b>\$713,406,000</b>	<b>-\$31,939,000</b>	<b>\$750,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	50	42	.....	42	-8
Special Revenue Funds - Other .....	241	219	.....	219	-22
Guaranteed Loan Programs					
Special Revenue Funds - Other .....	469	469	.....	469	.....
Grants and Scholarships					
General Fund .....	105	100	.....	100	-5
<b>Total .....</b>	<b>865</b>	<b>830</b>	<b>.....</b>	<b>830</b>	<b>-35</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$10,660,000	\$9,425,000	-\$1,235,000
Special Revenue Funds - Federal .....	.....	3,930,000	+3,930,000
Special Revenue Funds - Other .....	77,137,000	79,103,000	+1,966,000
<b>Total .....</b>	<b>\$87,797,000</b>	<b>\$92,458,000</b>	<b>+\$4,661,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund .....	\$5,248,000	\$4,769,000	-\$479,000
Special Revenue Funds - Other .....	30,637,000	31,703,000	+1,066,000
Guaranteed Loan Programs			
Special Revenue Funds - Federal .....	.....	3,930,000	+3,930,000
Special Revenue Funds - Other .....	46,500,000	47,400,000	+900,000
Grants and Scholarships			
General Fund .....	5,412,000	4,656,000	-756,000
<b>Total .....</b>	<b>\$87,797,000</b>	<b>\$92,458,000</b>	<b>+\$4,661,000</b>

# HIGHER EDUCATION SERVICES

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$2,122,000	-\$578,000	\$2,099,000	-\$571,000	.....	.....
Grants and Scholarships .....	3,345,000	-184,000	3,311,000	-183,000	\$34,000	-\$1,000
<b>Total .....</b>	<b>\$5,467,000</b>	<b>-\$762,000</b>	<b>\$5,410,000</b>	<b>-\$754,000</b>	<b>\$34,000</b>	<b>-\$1,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$23,000	-\$7,000
<b>Total .....</b>	<b>\$23,000</b>	<b>-\$7,000</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$2,647,000	+\$99,000	\$170,000	+\$6,000
Grants and Scholarships .....	1,311,000	-572,000	42,000	-19,000
<b>Total .....</b>	<b>\$3,958,000</b>	<b>-\$473,000</b>	<b>\$212,000</b>	<b>-\$13,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$5,000	.....	\$2,438,000	+\$92,000
Grants and Scholarships .....	5,000	-\$3,000	1,249,000	-\$45,000
<b>Total .....</b>	<b>\$10,000</b>	<b>-\$3,000</b>	<b>\$3,687,000</b>	<b>-\$453,000</b>

Program	Equipment	
	Amount	Change
Administration .....	\$34,000	+\$1,000
Grants and Scholarships .....	15,000	-5,000
<b>Total .....</b>	<b>\$49,000</b>	<b>-\$4,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$31,703,000	+\$1,066,000	\$8,772,000	-\$721,800
Guaranteed Loan Programs .....	51,330,000	+4,830,000	16,600,000	+100,000
<b>Total .....</b>	<b>\$83,033,000</b>	<b>+\$5,896,000</b>	<b>\$25,372,000</b>	<b>-\$621,800</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$22,431,000	+\$1,787,800	\$500,000	.....
Guaranteed Loan Programs .....	30,800,000	+800,000	3,930,000	+\$3,930,000
<b>Total .....</b>	<b>\$53,231,000</b>	<b>+\$2,587,800</b>	<b>\$4,430,000</b>	<b>+\$3,930,000</b>

# HIGHER EDUCATION SERVICES

---

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$648,148,000	\$611,548,000	-\$36,600,000
Special Revenue Funds - Federal .....	2,400,000	2,400,000	.....
Special Revenue Funds - Other .....	7,000,000	7,000,000	.....
Total .....	<u>\$657,548,000</u>	<u>\$620,948,000</u>	<u>-\$36,600,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Scholarships and Fellowships			
General Fund .....	\$18,418,000	\$21,918,000	+\$3,500,000
Special Revenue Funds - Other .....	7,000,000	7,000,000	.....
State Grant Programs			
General Fund .....	615,100,000	575,000,000	-40,100,000
Special Revenue Funds - Federal .....	2,400,000	2,400,000	.....
Tuition Awards for Part-Time Students			
General Fund .....	14,630,000	14,630,000	.....
Total .....	<u>\$657,548,000</u>	<u>\$620,948,000</u>	<u>-\$36,600,000</u>

# **DEPARTMENT OF LABOR**

## **MISSION**

The Department of Labor (DOL) helps prepare the people of our State for employment, and delivers dozens of services that help people find jobs and employers find workers. The Department administers Federal Unemployment Insurance benefits for people who have lost jobs through no fault of their own. DOL also enforces regulations that maintain safety and health in the workplace and ensure fair compensation.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner and is organized into six programs: Employment and Training; Occupational Safety and Health; Labor Standards; Unemployment Insurance; Employment Relations Board; and Administration.

The Department of Labor's Central Office is located in Albany. The Department also has 71 Employment Service Centers located throughout the State and eight employment service regional offices, located in Endicott, Hicksville, New York City, Rochester, Glens Falls, Buffalo, Utica and White Plains. In addition, the Department has nine worker protection district offices which enforce child labor laws, foster workplace health and safety, and ensure that employees are paid in accordance with provisions of the Labor Law. Offices are staffed based upon the workload in each geographic area.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Department of Labor will have a workforce of 4,591 employees in SFY 2000-01. Approximately 86 percent of these positions are financed by Federal grants; ten percent are supported by fees and assessments; and the remaining four percent are paid by State tax dollars from the General Fund.

General Fund appropriations will provide partial support for agency administration, job training, welfare employment services, and enforcement activities as well as funding for the Employment Relations Board (ERB). ERB helps to mediate disputes between private sector employers and employees to avoid and settle strikes.

General Fund and Federal Temporary Assistance for Needy Families (TANF) Block grant appropriations totaling \$8,958,700 will support the current level of Youth Education, Employment and Training program (YEETP) contracts that serve economically disadvantaged youth. The use of TANF dollars in support of some YEETP contracts reflects the State's continuing efforts to use Federal funds wherever feasible to provide General Fund savings without reducing service levels. In addition, a General Fund appropriation of \$2,287,000 will continue support for Green Teams program contracts that provide vocational training and work experience for approximately 300 youth and 100 adults.

Federal Fund appropriations support approximately 27 percent of the Department's overall budget. Specific programs and activities include Unemployment Insurance, re-employment services for persons who may be affected adversely by international trade agreements, and Workforce Investment Act (WIA) services that will replace the Job Training Partnership Act program on July 1, 2000. Federally funded local assistance appropriation authority includes \$336 million for 2000-01 from WIA and the close-out of JTPA.

Under the State Welfare Reform Act of 1997, the Department is responsible for supervising social services district operation of welfare employment programs. The programs are supported by the General Fund, Federal Temporary Assistance for Needy Families (TANF) block grant dollars, and Federal Food Stamp Employment and Training money. Highlights

## **LABOR**

---

include continued support of the InVest program which helps welfare recipients upgrade skills needed for employment and earn higher wages and provision of the New York Works Block Grant (NYWBG) to social services districts to address specific local employment and training needs including a district option to set-aside up to 25 percent of funding for services to low income former welfare families. Eligibility for work support programs such as InVest and transportation services has been expanded to include families with income up to 200 percent of the poverty level.

Federal appropriations also include funding to assist families that are the victims of natural disasters. Adjustments to federally funded State Operations appropriations mostly reflect additional authority for work training programs.

Fee revenues support approximately one percent of the Department of Labor's overall budget, funding worker protection and compensation enforcement activities and job training programs. These accounts are financed by fees for health and safety inspections, revenue from Workers' Compensation Board assessments, and interest on overdue Unemployment Insurance taxes owed by employers. The Unemployment Insurance benefit appropriation of \$2.5 billion comprises 71 percent of the Department of Labor's overall budget. These benefits are funded from Unemployment Insurance taxes paid by employers.

The Department's budget also includes an appropriation of \$245,000 which partially finances construction projects by local governments to correct workplace hazards.

### **PROGRAM HIGHLIGHTS**

#### **JOB SERVICES**

Consistent with requirements under the Federal Workforce Investment Act (WIA), and in conjunction with local governments, the Department of Labor continues to assist with the expansion of local One-Stop Centers that offer access to a variety of employment services including job referral and placement, education and training, resume preparation, employer information, and support services such as child care and transportation. The Centers benefit employers by providing them with access to worker resumes and information on tax credits, workplace safety issues and apprenticeship services. Department of Labor employment services also help move individuals from welfare to work and help prevent public assistance dependency by focusing on disadvantaged youth, displaced homemakers, and persons who may lose their jobs because of plant closings or relocations.

Through the use of computers and the Internet, the Department of Labor has made it easier for job seekers and employers to use and benefit from agency services. For example, employers and job seekers can immediately access relevant information without assistance from Department staff. In addition, using Federal funds, the Department is implementing new software that will make it easier to match welfare and Unemployment Insurance case management information with job opportunities on various national job bank Internet sites. In program year 1998, the Department served approximately 393,000 individuals and successfully placed an estimated 56,400 individuals in jobs.

In addition to the development of One-Stop Centers across the State, the Department is working with other State and local agencies, community colleges and others to build a workforce development system that provides access to information and services across agency lines regardless of where a person may initially go for assistance — State office, local government office, community service agency or college placement office.

#### **WORKFORCE INVESTMENT ACT (WIA)**

Beginning July 1, 2000, the Federal Workforce Investment Act (WIA) will replace the Job Training Partnership Act, providing job training to youth, adults, and dislocated workers.

WIA also will upgrade the skills of those currently working, thus helping employers meet the changing needs of their business operations. Eligible participants can access WIA services through a network of local one-stop centers for the delivery of employment and training services. WIA will also improve customer choice and program effectiveness, as participants will be able to choose training providers based on past performance through the use of vouchers.

Legislation enacted in 1999 established a State Workforce Investment Board that will assist in the development of the State's plan for using WIA funds.

### **WORKER PROTECTION**

Worker Protection functions are carried out by two Department of Labor programs: Occupational Safety and Health, and Labor Standards.

The Occupational Safety and Health program is responsible for health and safety inspections and granting licenses to qualified persons to operate or handle dangerous equipment or substances. Statistics for recent years show that the Division inspected 19,447 amusement park devices, 906 ski lifts, 7,864 places of public assembly (e.g., bleachers at concerts), and 34,597 commercial boilers. It also reviewed applications for 669 Radioactive Materials licenses and 55,795 asbestos licenses and certificates. The Labor Standards program enforces the Labor Law in such areas as minimum and prevailing wage, child labor, and garment industry registration. Statistics for recent years indicate the Division inspected 1,677 businesses for compliance with child labor laws, and found actual violations in 728 cases (43 percent). It also collected almost \$10 million in back wages, unpaid fringe benefits, and minimum wage underpayments for approximately 18,149 employees.

### **UNEMPLOYMENT INSURANCE**

The Unemployment Insurance (UI) program makes weekly payments to eligible unemployed workers who have lost a job through no fault of their own. These temporary payments, available for up to 26 weeks, help workers and their families pay bills and buy basic household items while looking for work.

To help unemployed workers find work as quickly as possible, the Department of Labor operates a Self-Employment program to help workers establish businesses and become self-employed. Workers whom the Department identifies as least likely to find another job without such assistance are referred to this program. Since April 1996 the program has served 7,802 workers. In addition, the Department also operates a re-employment services program to further strengthen efforts to move individuals back to work.

As part of Governor Pataki's continuing efforts to make government more efficient, the Department of Labor operates a telephone claims system that uses computer technology and information received over the phone to determine if applicants are eligible to receive Unemployment Insurance benefits and handle all other processing issues related to an individual's benefits. The system operates through three Tele-Claims Centers located in Troy, Endicott, and New York City that currently process about 62 percent of the statewide claims workload. A second New York City center, and fourth center overall, is scheduled to open by late summer of 2000. This system replaces the less efficient process of requiring DOL staff to determine eligibility from paper forms filled out by applicants at local Department of Labor offices.

# LABOR

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$3,008,464,000	\$3,176,380,900	+\$167,916,900	\$478,872,200
Aid To Localities .....	550,180,700	345,287,700	-204,893,000	824,802,000
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$3,558,644,700</u>	<u>\$3,521,668,600</u>	<u>-\$36,976,100</u>	<u>\$1,303,674,200</u>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

2000-01 Recommended Average Fill Level

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Administration					
General Fund .....	83	83	.....	83	.....
Special Revenue Funds - Federal .....	3,943	.....	3,943	3,943	.....
Employment Relations Board					
General Fund .....	14	16	.....	16	+2
Employment and Training					
General Fund .....	48	48	.....	48	.....
Special Revenue Funds - Other .....	74	.....	74	74	.....
Labor Standards					
General Fund .....	21	21	.....	21	.....
Special Revenue Funds - Other .....	192	173	19	192	.....
Occupational Safety and Health					
Special Revenue Funds - Other .....	214	214	.....	214	.....
Total .....	<u>4,589</u>	<u>555</u>	<u>4,036</u>	<u>4,591</u>	<u>+2</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$10,760,900	\$11,474,800	+\$713,900
Special Revenue Funds - Federal .....	451,167,300	617,834,600	+166,667,300
Special Revenue Funds - Other .....	46,535,800	47,071,500	+535,700
Fiduciary Funds .....	2,500,000,000	2,500,000,000	.....
Total .....	<u>\$3,008,464,000</u>	<u>\$3,176,380,900</u>	<u>+\$167,916,900</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$4,633,700	\$4,881,000	+\$247,300
Special Revenue Funds - Federal .....	417,067,300	583,734,600	+166,667,300
Employment Relations Board			
General Fund .....	1,811,700	2,043,000	+231,300
Employment and Training			
General Fund .....	3,319,800	3,537,200	+217,400
Special Revenue Funds - Other .....	12,205,500	12,284,000	+78,500
Labor Standards			
General Fund .....	995,700	1,013,600	+17,900
Special Revenue Funds - Other .....	11,671,700	11,784,500	+112,800
Occupational Safety and Health			
Special Revenue Funds - Other .....	22,658,600	23,003,000	+344,400
Unemployment Insurance Benefit Fund			
Special Revenue Funds - Federal .....	34,100,000	34,100,000	.....
Expendable Trust Funds .....	2,500,000,000	2,500,000,000	.....
<b>Total .....</b>	<b>\$3,008,464,000</b>	<b>\$3,176,380,900</b>	<b>+\$167,916,900</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>		<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$3,858,600	+\$99,000	\$3,858,600	+\$99,000	.....	.....
Employment Relations Board .....	1,070,400	+70,200	1,053,700	+70,200	\$16,700	.....
Employment and Training .....	827,400	.....	827,400	.....	.....	.....
Labor Standards .....	866,700	+14,500	866,700	+14,500	.....	.....
<b>Total .....</b>	<b>\$6,623,100</b>	<b>+\$183,700</b>	<b>\$6,606,400</b>	<b>+\$183,700</b>	<b>\$16,700</b>	<b>.....</b>



# LABOR

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$1,022,400	+\$148,300	\$50,900	+\$1,200
Employment Relations Board .....	972,600	+161,100	18,600	+400
Employment and Training .....	2,709,800	+217,400	35,900	+900
Labor Standards .....	146,900	+3,400	5,500	....
<b>Total .....</b>	<b>\$4,851,700</b>	<b>+\$530,200</b>	<b>\$110,900</b>	<b>+\$2,500</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$71,300	+\$1,700	\$472,600	+\$11,000
Employment Relations Board .....	64,000	+1,500	388,000	+9,100
Employment and Training .....	24,800	+600	15,600	+400
Labor Standards .....	7,600	....	116,700	+3,400
<b>Total .....</b>	<b>\$167,700</b>	<b>+\$3,800</b>	<b>\$992,900</b>	<b>+\$23,900</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$100,600	+\$2,400	\$327,000	+\$132,000
Employment Relations Board .....	2,000	+100	500,000	+150,000
Employment and Training .....	24,500	+500	2,609,000	+215,000
Labor Standards .....	17,100	....	....	....
<b>Total .....</b>	<b>\$144,200</b>	<b>+\$3,000</b>	<b>\$3,436,000</b>	<b>+\$497,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$583,734,600	+\$166,667,300	....	....
Employment and Training .....	12,284,000	+78,500	....	....
Labor Standards .....	11,784,500	+112,800	\$8,015,700	+\$59,700
Occupational Safety and Health ...	23,003,000	+344,400	10,786,300	+196,800
Unemployment Insurance Benefit Fund .....	2,534,100,000	....	....	....
<b>Total .....</b>	<b>\$3,164,906,100</b>	<b>+\$167,203,000</b>	<b>\$18,802,000</b>	<b>+\$256,500</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	....	....	\$583,734,600	+\$166,667,300
Employment and Training .....	....	....	12,284,000	+78,500
Labor Standards .....	\$2,763,400	+\$53,100	1,005,400	....
Occupational Safety and Health ...	12,216,700	+147,600	....	....
Unemployment Insurance Benefit Fund .....	....	....	2,534,100,000	....
<b>Total .....</b>	<b>\$14,980,100</b>	<b>+\$200,700</b>	<b>\$3,131,124,000</b>	<b>+\$166,745,800</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$73,349,700	\$4,690,700	-\$68,659,000
Special Revenue Funds - Federal .....	476,586,000	340,352,000	-136,234,000
Special Revenue Funds - Other .....	245,000	245,000	.....
Total .....	<u>\$550,180,700</u>	<u>\$345,287,700</u>	<u>-\$204,893,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Employment and Training			
General Fund .....	\$69,358,700	\$4,690,700	-\$64,668,000
Special Revenue Funds - Federal .....	476,586,000	340,352,000	-136,234,000
Occupational Safety and Health			
General Fund .....	350,000	.....	-350,000
Special Revenue Funds - Other .....	245,000	245,000	.....
Community Projects			
General Fund .....	3,641,000	.....	-3,641,000
Total .....	<u>\$550,180,700</u>	<u>\$345,287,700</u>	<u>-\$204,893,000</u>



# **OFFICE OF REAL PROPERTY SERVICES**

## **MISSION**

The Office of Real Property Services is charged with the general supervision of local property tax administration in New York. The Office plays a major role in developing the State's property tax policy and helps local governments with property tax administration pursuant to constitutional provisions for the supervision, review and equalization of local assessments for purposes of taxation. Its aim is that all municipalities assess real property equitably.

## **ORGANIZATION AND STAFFING**

The Office of Real Property Services is headed by the State Board of Real Property Services, a five-member Board appointed by the Governor, and its day-to-day administration is conducted by a Board-appointed Executive Director. The agency has a central office in Albany and five regional offices in Batavia, Syracuse, Newburgh, Melville and Saranac Lake.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2000-01 Executive Budget will support a staffing level of 480 positions for the Office of Real Property Services. State tax dollars from the General Fund will support 75 percent of these positions, with the remaining 25 percent supported by various fees.

General Fund appropriations of \$29.6 million will finance 66 percent of the Office's \$45.1 million operating budget in 2000-01. The remaining agency operations are supported by the following three revenue accounts: the Improvement of Real Property Tax Administration Account; the Industrial and Utility Services Account; and the Local Services Account. These accounts are funded from the State's share of the real property transfer recording fee, chargebacks for assessments made on industrial, utility and railroad property and charges for miscellaneous consulting and computing services.

Budget recommendations for the Office of Real Property Services for 2000-01 include:

- The continuation of \$12 million in State aid for ongoing administration of the School Tax Relief (STAR) program and \$11.5 million for the State's administrative responsibilities for STAR;
- An increase of \$1.7 million for financial incentives for local governments to conduct annual updates of their assessment rolls pursuant to the higher standards enacted in 1999; and
- Realignment of certain functions from the General Fund to a Special Revenue Fund account dedicated to the improvement of real property tax administration, resulting in General Fund savings of \$800,000.

## **PROGRAM HIGHLIGHTS**

The Office of Real Property Services is involved with all State-level responsibilities relating to the real property tax, which represents the largest revenue source for counties, municipalities, school districts and special districts. Accordingly, the Office has programs to establish equalization rates which are used to estimate the full market value of taxable real property in each municipality, to provide policy guidance as well as technical and

## ***REAL PROPERTY SERVICES***

---

financial assistance to local assessing units, and to assist other State agencies with information and administrative support in areas that relate to property tax policy or administration.

### ***DETERMINATION OF MUNICIPAL FULL VALUE***

State laws permit New York's local governments to select the percentage of full value they use in assessing properties. However, every assessing unit is required to indicate its assessment ratio — i.e., the ratio of the assessed value to the full value of properties — on the assessment roll and tax bills. Using statistical tests on sample data, the Office of Real Property Services verifies the accuracy of the assessment ratio stated annually by each of the approximately 1000 assessing units (i.e., cities, towns and the counties of Nassau and Tompkins). If the assessment ratio provided by a local assessor is determined to be accurate, it is established as the State equalization rate for that assessing unit; otherwise, the Office will prepare an independent estimate of the local assessment ratio which will be established as the equalization rate.

By adhering to statewide standards, the Office ensures that equalization rates can be used to estimate full values of properties in a consistent manner. Full value estimates are necessary to distribute taxes for counties and school districts when tax levies are based upon assessments by more than one assessing unit. They are also used as indicators of local fiscal capacity for several purposes, including allocation of State aid.

### ***ASSISTANCE AND SERVICES TO LOCAL GOVERNMENTS***

Since many municipal assessing units are very small-scale operations, local property tax administrators are dependent on technical assistance provided by the Office of Real Property Services. Centralized assistance to assessors and taxing jurisdictions includes administrative, legal and other technical services. In helping municipalities, the Office works closely with county offices of real property tax services, many of which have developed programs for coordinating reassessment projects on a countywide basis.

In furthering the State-local partnership in property tax administration, the Office also administers various State aid programs in support of local assessment administration, including:

- Annual aid of up to \$5 per parcel for assessing units that meet State standards that include annual revisions of assessments and comprehensive re-inventory and revaluation at least once every six years;
- Consolidation aid providing a one-time financial incentive of up to \$7 per parcel to encourage cost-efficiency through the coordination of assessment functions performed by two or more assessing units;
- Assessor training aid to reimburse local assessment officials (including assessors and county directors of property tax services) for their cost of attending State-mandated training courses;
- STAR administration aid to ensure that localities are compensated for their workload associated with the implementation of the State's school tax relief program;
- Software support which includes the development, maintenance, training and consulting relating to a state-of-the-art software program to facilitate cost-efficient administration of local property taxes; and
- Advisory appraisals for certain complex properties — such as utilities and large manufacturing plants — which require highly specialized resources that are not available to most local assessors.

These State aid programs have been a catalyst for enhancing the equity and cost-efficiency of local property tax administration throughout the State. According to recent data, nearly

## REAL PROPERTY SERVICES

two-thirds of the State's assessing units prepare assessment rolls that are reasonably equitable and current. Additionally, since the introduction of consolidation aid in 1994, 73 towns in 18 counties have come together to form 31 coordinated assessment programs.

### OTHER SERVICES AND RESPONSIBILITIES

The Office of Real Property Services maintains inventory and valuation data on approximately 3.9 million acres of State-owned land and conservation easements that are subject to local taxation. Local assessments on taxable State-owned properties are scrutinized by the agency and either certified for payment or brought to administrative and judicial review, as appropriate.

In conjunction with the State Education Department and the Department of Taxation and Finance, the Office is responsible for administering the School District Income Verification program. This program verifies and corrects the school district codes reported on personal income tax returns to accurately assign personal income to school districts. These data are then used as a measure of local fiscal capacity in school aid formulas.

Special assessments are statutorily authorized for agricultural properties, transportation properties owned by railroad companies and oil and gas wells. The Office establishes values of agricultural land, ceilings on assessments of railroad properties and values of oil- and gas-producing facilities.

#### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$37,037,200	\$45,126,400	+\$8,089,200	....
Aid To Localities .....	16,911,000	18,600,000	+1,689,000	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$53,948,200</b>	<b>\$63,726,400</b>	<b>+\$9,778,200</b>	<b>....</b>

#### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Policy and Organizational Support Services					
General Fund .....	224	215	....	215	-9
Special Revenue Funds - Other .....	32	36	....	36	+4
Regional Operations					
General Fund .....	140	140	....	140	....
Special Revenue Funds - Other .....	75	84	....	84	+9
School District Income Verification					
General Fund .....	5	5	....	5	....
<b>Total .....</b>	<b>476</b>	<b>480</b>	<b>....</b>	<b>480</b>	<b>+4</b>

# REAL PROPERTY SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$22,686,100	\$29,631,400	+\$6,945,300
Special Revenue Funds - Other .....	14,351,100	15,495,000	+1,143,900
Total .....	<u>\$37,037,200</u>	<u>\$45,126,400</u>	<u>+\$8,089,200</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Policy and Organizational Support Services			
General Fund .....	\$16,061,100	\$22,954,200	+\$6,893,100
Special Revenue Funds - Other .....	4,389,100	4,438,900	+49,800
Regional Operations			
General Fund .....	6,381,500	6,430,900	+49,400
Special Revenue Funds - Other .....	9,962,000	11,056,100	+1,094,100
School District Income Verification			
General Fund .....	243,500	246,300	+2,800
Total .....	<u>\$37,037,200</u>	<u>\$45,126,400</u>	<u>+\$8,089,200</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Policy and Organizational Support				
Services .....	\$8,903,600	-\$330,700	\$8,903,600	-\$330,700
Regional Operations .....	6,342,200	+47,200	6,342,200	+47,200
School District Income Verification .....	195,000	+1,500	195,000	+1,500
Total .....	<u>\$15,440,800</u>	<u>-\$282,000</u>	<u>\$15,440,800</u>	<u>-\$282,000</u>

# REAL PROPERTY SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services .....	\$14,050,600	+\$7,223,800	\$252,700	.....
Regional Operations .....	88,700	+2,200	70,160	+\$1,760
School District Income				
Verification .....	51,300	+1,300	.....	.....
Total .....	<u>\$14,190,600</u>	<u>+\$7,227,300</u>	<u>\$322,860</u>	<u>+\$1,760</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services .....	\$368,200	.....	\$1,234,600	-\$776,200
Regional Operations .....	18,540	+\$440	.....	.....
Total .....	<u>\$386,740</u>	<u>+\$440</u>	<u>\$1,234,600</u>	<u>-\$776,200</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services .....	\$695,100	.....	\$11,500,000	+\$8,000,000
School District Income				
Verification .....	51,300	+1,300	.....	.....
Total .....	<u>\$746,400</u>	<u>+1,300</u>	<u>\$11,500,000</u>	<u>+\$8,000,000</u>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services .....	\$4,438,900	+\$49,800	\$2,903,600	+\$21,600
Regional Operations .....	11,056,100	+1,094,100	3,875,900	+425,900
Total .....	<u>\$15,495,000</u>	<u>+\$1,143,900</u>	<u>\$6,779,500</u>	<u>+\$447,500</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services .....	\$1,535,300	+\$28,200	.....	.....
Regional Operations .....	6,180,200	+668,200	\$1,000,000	.....
Total .....	<u>\$7,715,500</u>	<u>+\$696,400</u>	<u>\$1,000,000</u>	<u>.....</u>



# ***REAL PROPERTY SERVICES***

---

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$16,911,000	\$18,600,000	+\$1,689,000
Total .....	<u>\$16,911,000</u>	<u>\$18,600,000</u>	<u>+\$1,689,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Policy and Organizational Support Services			
General Fund .....	\$16,911,000	\$18,600,000	+\$1,689,000
Total .....	<u>\$16,911,000</u>	<u>\$18,600,000</u>	<u>+\$1,689,000</u>

# **STATE UNIVERSITY OF NEW YORK**

## **MISSION**

Created in 1948, the State University of New York is the largest public university system in the nation with 64 campuses offering a complete range of academic, professional and vocational programs. The State University system is uniquely positioned to provide New Yorkers with postsecondary educational programs of the highest quality and with the broadest possible access.

## **ORGANIZATION AND STAFFING**

The three major components of the State University's mission — teaching, public service and research — are carried out by:

- Eight campuses (including four health science centers) offering academic programs through the doctoral level and serving as research centers.
- Fourteen comprehensive colleges providing undergraduate education in a variety of academic fields.
- Seven colleges of technology focusing on the development of a workforce with the advanced skills required by an increasingly technology-dependent economy.
- Five statutory and contract colleges at Alfred and Cornell universities that offer nationally-acclaimed programs in ceramics, veterinary medicine, agriculture and life sciences, industrial and labor relations, and human ecology.
- Thirty community colleges offering access to a wide array of higher education opportunities that prepare students for transfer to senior colleges or train them for a variety of technical or paraprofessional occupations.

The University is governed by a Board of Trustees consisting of 16 members, with 15 appointed by the Governor to staggered seven-year terms and approved by the Senate, and one ex-officio trustee representing the student assembly of the State University. The Board oversees the operations of the University's State-operated campuses and also exercises general supervisory authority over the community colleges, which are sponsored by local governments and governed by local boards of trustees.

The chief executive officer of the University is the Chancellor who is appointed by, and serves at the pleasure of, the Board of Trustees. Individual college presidents are also appointed by, and serve at the pleasure of, the Board.

The State University's operating budget supports an estimated 35,500 full-time equivalent positions consisting of 22,900 positions that are supported through a combination of State tax dollars and tuition revenues and 12,600 positions supported by other funds. Community college staff are not included in these totals as they are not employees of the State.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

### **STATE-OPERATED COLLEGES**

The 2000-01 Executive Budget recommends over \$3.3 billion to support the operations of the State University's campuses, central administration and University-wide programs. In addition to over \$1 billion in support from the General Fund (\$921 million for operations and \$128 million for certain fringe benefit costs), the University's budget includes approximately \$2.3 billion in activities funded by other revenues. Revenue-generating entities and programs include: three teaching hospitals at Brooklyn, Stony Brook and

Syracuse; the Long Island Veterans' Home administered by the Stony Brook Health Science Center; dormitory operations; food services; and tuition-supported activities, including summer session and overseas academic studies.

The State University's general operating budget for the 2000-01 academic year is \$1.689 billion, representing a year-to-year net increase of \$74 million. This net amount reflects an \$87 million increase to fully support collective bargaining requirements, cover inflation, and provide \$13 million in discretionary funding for priority initiatives identified by SUNY. There are offsetting reductions totaling \$13 million, including \$7.3 million in non-recurring expenses for the one-time \$500 bonus provided in 1999 under the UUP contract and \$5.6 million in 1999-2000 legislative adds.

The Budget also proposes statutory changes to authorize SUNY Board of Trustees to establish campus-based graduate and professional level tuition rates. At the present time, all SUNY campuses are required to charge the same tuition rate for like degree programs, regardless of the cost or demand for such programs at individual campuses.

For 2000-01, federal appropriations totaling \$136 million will support the Pell grant program and various other student financial aid programs, while fiduciary fund appropriations totaling \$51 million support low-interest loans to needy students and the expenditure of earnings on SUNY endowment funds.

### **SUNY HOSPITALS**

Over the past decade, the SUNY hospitals have been moving toward self-sufficiency by assuming responsibility for financing an increasing portion of their fringe benefit and capital debt service costs. Since 1996-97, the hospitals have been contributing \$116 million toward their fringe benefit and capital debt service costs of approximately \$128 million, with the State continuing to subsidize the remaining \$12 million of costs.

With the enactment of Chapter 363 of the Laws of 1998, the SUNY hospitals were given additional tools — authority to enter into networking and managed care contracts and greater autonomy in contracting for management services and purchasing goods and services — to improve their competitiveness in the health care markets and enhance their revenues. Yet, the SUNY hospitals, like other teaching hospitals across the nation, are still experiencing financial pressures caused, in large part, by reductions in Medicare payments and the growth of managed care. The fiscal challenges facing the SUNY hospitals are further exacerbated by the operational inflexibility caused by their State agency status. A nationally recognized health care consulting firm has been engaged to assess the current finances of SUNY's teaching hospitals and recommend short-term and long-term actions needed to maintain their fiscal viability in today's changing health care environment.

### **COMMUNITY COLLEGES**

SUNY community colleges have three primary funding sources — State aid, support from local sponsors and tuition revenue. Recommended State aid of \$302 million includes an increase of \$3.3 million to fully fund the \$75 per full-time student base aid enhancement provided for the 1999-2000 academic year. Overall funding reflects a year-to-year net decrease of \$2.2 million attributable largely to the proposed elimination of \$3.1 million for 1999-2000 academic year payments under the Fashion Institute of Technology (FIT) chargeback reimbursement program and \$2.4 million in 1999-2000 legislative adds. While General Fund support for community colleges reflects the discontinuation of the State's reimbursement to counties for their cost of resident students attending FIT, funding is included to reimburse remaining 1998-99 payments to FIT.

Components of State aid include: basic operating aid (\$292 million), rental aid (\$4.8 million), child care (\$1.1 million), workforce training (\$1 million) and reimbursement to counties outside New York City for remaining 1998-99 payments made to FIT (\$3.1 million).

***Cornell Cooperative Extension***

County cooperative extension associations — funded by State, county and federal contributions — provide specialized information and assistance in community development, agricultural technology, 4-H youth development, and consumer and family education. The Executive Budget recommends nearly \$3.4 million in continued State support for this program.

***CAPITAL***

The 2000-01 Executive Budget recommendations represent the third year of the Governor's Capital Investment Program that will provide over \$2.0 billion for facility and infrastructure improvements at SUNY State-operated and community college campuses, consistent with needs and priorities established by the University.

Overall capital recommendations for State-operated colleges total \$302 million including \$259 million in bonded projects and \$43 million in hard dollar capital funding for academic and other facilities. Of the \$259 million total for bonded projects, \$239 million reflects the awarding of major construction contracts anticipated in the coming year for educational facilities. Capital spending will address not only critical health, safety and preservation needs, but also the construction and renovation of facilities necessary to meet the educational and technological challenges of the next millennium.

Community college capital projects are funded through State aid and direct sponsor support. Recommendations for 2000-01 total \$40 million, including \$35 million in high priority bonded projects for which financial commitments have already been obtained from local sponsors. The remaining \$5 million will fund hard dollar projects addressing critical health, safety and preservation issues

***PROGRAM HIGHLIGHTS***

The State University of New York is the nation's largest comprehensive public university, offering 5,000 degree programs from research universities, community colleges, medical schools and colleges of technology among its 64 campuses. The State University now enrolls 40 percent of the college-bound students graduating from New York State high schools. More than 369,000 full-time and part-time students — 190,400 at State-operated campuses and 178,800 in community colleges — are pursuing studies ranging from one-year certificate programs to a doctorate. More than 4,600 students are now studying at home through the SUNY Learning Network, which offers 1,000 different courses over the Internet.

More than ever before, the University is devoted to excellence and dedicated to achievement. SUNY is currently engaged in an unprecedented process of reviewing the missions of all 64 of its academic institutions, from community colleges to university centers and initiating ways to measure success and build greater accountability into its academic administration. As part of this effort, the University will be implementing one of the most rigorous undergraduate curricular reforms in the nation beginning in the 2000-01 academic year. This initiative will ensure that all State University students have a solid foundation in key academic subjects and strengthen the ability of students to transfer from the University's 30 community colleges to its four-year colleges and universities.

The State University has also embarked upon a significant initiative in the area of technology that will place it at the forefront of higher education institutions across the nation. *SUNY Connect* is a path-breaking project which will electronically tie together all the University's library resources, creating a single university-wide "virtual library" that can be accessed anytime, anywhere at the touch of a computer key pad.

# STATE UNIVERSITY

The State University's 30 locally-sponsored community colleges serve as an essential source of skilled employees and play a critical role in the State's efforts to attract and retain businesses seeking an able workforce. Through their policy of open admissions, the community colleges also ensure access to post-secondary education. The five colleges of technology of the State University of New York recently joined forces in a new management structure that will allow each campus to operate more efficiently, while helping these schools fulfill the increasing demand for highly-skilled technicians.

From the curriculum and instruction in its classrooms, research in its laboratories, support from its alumni and its appeal to a growing number of high school graduates and other prospective students, the State University continues to elevate its ranking among the nation's finest universities while improving its responsiveness to student demands and its accountability to State taxpayers.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$3,220,866,000	\$3,385,697,000	+\$164,831,000	\$27,000,000
Aid To Localities .....	308,884,600	305,581,000	-3,303,600	.....
Capital Projects .....	.....	.....	.....	2,574,337,000
Total .....	<u>\$3,529,750,600</u>	<u>\$3,691,278,000</u>	<u>+\$161,527,400</u>	<u>\$2,601,337,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$973,675,000	\$1,048,556,000	+\$74,881,000
Special Revenue Funds - Federal .....	129,100,000	136,150,000	+7,050,000
Special Revenue Funds - Other .....	2,063,791,000	2,144,891,000	+81,100,000
Internal Service Funds .....	5,000,000	5,000,000	.....
Fiduciary Funds .....	49,300,000	51,100,000	+1,800,000
Total .....	<u>\$3,220,866,000</u>	<u>\$3,385,697,000</u>	<u>+\$164,831,000</u>
Adjustments:			
Prior Year Deficiency			
State University of New York			
Special Revenue Funds - Federal .....	+10,000,000		
Transfer(s) From			
Special Pay Bill			
General Fund .....	-21,948,000		
Appropriated 1999-00 .....	<u>\$3,208,918,000</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$308,884,600	\$305,581,000	-\$3,303,600
<b>Total</b> .....	<b>\$308,884,600</b>	<b>\$305,581,000</b>	<b>-\$3,303,600</b>
Adjustments:			
Prior Year Deficiency			
State University of New York			
General Fund .....	+12,800,000		
Appropriated 1999-00 .....	<u>\$321,684,600</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Community Colleges			
General Fund .....	\$304,462,000	\$302,218,400	-\$2,243,600
County Cooperative Extension Program - Cornell University			
General Fund .....	3,362,600	3,362,600	.....
Community Projects			
General Fund .....	1,060,000	.....	-1,060,000
<b>Total</b> .....	<b>\$308,884,600</b>	<b>\$305,581,000</b>	<b>-\$3,303,600</b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Senior Universities				
General Maintenance and Improvements				
Capital Projects Fund .....				\$149,356,000
Capital Projects Fund - Advances .....				1,713,033,000
State University Capital Projects Fund .....				.....
State University Residence Hall Rehabilitation Fund .....				.....
Program Changes - Expansion and Improvements				
Capital Projects Fund - Advances .....				.....
State University Capital Projects Fund				
State University Capital Projects Fund .....				129,701,000
State University Residence Hall Rehabilitation Fund				
State University Residence Hall Rehabilitation Fund .....				<u>270,371,000</u>
<b>Subtotal</b> .....				<b>\$2,262,461,000</b>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund .....				\$31,777,000
Capital Projects Fund - Advances .....				260,433,000
State University Residence Hall Rehabilitation Fund				
Capital Projects Fund - Advances .....				.....
New Facilities				
Capital Projects Fund - Advances .....				<u>19,666,000</u>
<b>Subtotal</b> .....				<b>\$311,876,000</b>
<b>Total</b> .....				<b>\$2,574,337,000</b>



# **STATE UNIVERSITY CONSTRUCTION FUND**

## **MISSION**

The State University Construction Fund is a public benefit corporation established in 1962 to serve as the construction agent for academic buildings, dormitories and other facilities at State-operated institutions and statutory colleges under the jurisdiction of the State University of New York (SUNY). Consistent with the State University's approved Master Capital Construction Plan, the Fund oversees construction, acquisition, reconstruction and rehabilitation or improvement of such facilities.

## **ORGANIZATION AND STAFFING**

The Fund is administered by a Board of Trustees consisting of three members appointed by the Governor, one of whom must be a State University Trustee. Members other than the State University Trustee are confirmed by the Senate. The Board appoints a General Manager who serves as chief administrative officer of the agency.

The agency's workforce of 113 positions for 2000-01 represents an increase of 6 positions to administer the anticipated increase in design and construction workload. The Fund's positions are supported entirely from proceeds of revenue bonds issued to finance the construction and reconstruction of academic facilities.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The State University Construction Fund is supported by proceeds from the sale of State University Educational Facilities Revenue bonds. The 2000-01 Executive Budget recommendation of \$10,000,000, an increase of \$600,000, reflects an increased workload associated with the implementation of the Capital Investment Program.

## **PROGRAM HIGHLIGHTS**

The 1998-99 Budget authorized a \$2.0 billion investment in the infrastructure and facilities of the State University of New York system. This strategic infrastructure investment will enable the State University to remain competitive into the 21<sup>st</sup> Century. Both appropriation levels and bonding authority are sufficient to allow the University to develop and implement a comprehensive multi-year construction program that addresses both the current and future capital needs of the University.

As of March 31, 1999, the Fund has completed more than 3,920 academic, dormitory and dining hall capital projects with a replacement value exceeding \$11.7 billion. During the 1999-2000 State fiscal year, the Fund initiated the design of 225 projects for a total value of \$67 million and began construction of 155 projects at an estimated cost of \$264 million. This reflects a 365 percent increase in the number of design starts and a 56 percent increase in the number of construction starts over the level attained prior to enactment of the new capital plan. Additionally, the Fund continues work on 236 projects — at an estimated cost of \$646 million — under construction prior to 1999-2000 and 337 projects in various stages of design.

In addition to design and construction of new and rehabilitated academic facilities, other key agency functions include:

- Preparation and development of the State University's Master Capital Construction Plan, as well as master plans for individual campuses, that go beyond the 2003-2004 timeframe.



# STATE UNIVERSITY CONSTRUCTION

- Preparation of the State University's annual capital budget request and facility program.
- Development and maintenance of energy conservation and telecommunications programs.
- Development and maintenance of on-line interactive data processing systems on space and property inventories, real property, State building codes, and other related plant management functions.
- Management and administration of University-wide programs including minor rehabilitation and repair accounts, dormitory rehabilitation and other programs.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$9,400,000	\$10,000,000	+\$600,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$9,400,000</b>	<b>\$10,000,000</b>	<b>+\$600,000</b>	<b>....</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
Special Revenue Funds - Other .....	107	113	....	113	+6
<b>Total .....</b>	<b>107</b>	<b>113</b>	<b>....</b>	<b>113</b>	<b>+6</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$9,400,000	\$10,000,000	+\$600,000
<b>Total .....</b>	<b>\$9,400,000</b>	<b>\$10,000,000</b>	<b>+\$600,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
Special Revenue Funds - Other .....	\$9,400,000	\$10,000,000	+\$600,000
<b>Total .....</b>	<b>\$9,400,000</b>	<b>\$10,000,000</b>	<b>+\$600,000</b>

**STATE UNIVERSITY CONSTRUCTION**

---

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Personal Service Amount</u>	<u>Change</u>
Administration .....	\$10,000,000	+\$600,000	\$6,877,000	+\$877,000
Total .....	<u>\$10,000,000</u>	<u>+\$600,000</u>	<u>\$6,877,000</u>	<u>+\$877,000</u>

<u>Program</u>	<u>Nonpersonal Service Amount</u>	<u>Change</u>
Administration .....	\$3,123,000	-\$277,000
Total .....	<u>\$3,123,000</u>	<u>-\$277,000</u>



# ***DIVISION OF VETERANS' AFFAIRS***

## ***MISSION***

The Division of Veterans' Affairs assists veterans, members of the armed forces and their families and dependents in securing benefits earned through military service. The Division coordinates veterans' programs and services offered by other State agencies, works closely with the Federal Department of Veterans' Affairs and advocates State and Federal actions to meet veterans' needs. The Division serves more than 1.4 million New Yorkers who are veterans, as well as their dependents and those on active duty.

## ***ORGANIZATION AND STAFFING***

The Division is headed by the Director who is appointed by the Governor. The Division's central office is in Albany, with regional offices in Albany, Hauppauge and Buffalo. The Division is also supported by a network of approximately 60 community field offices in nearly all of the State's counties and New York City.

The Division will have a workforce of 128 employees during 2000-01. Approximately 86 percent of these positions are paid for by State tax dollars from the General Fund and 14 percent of the staff are supported by Federal Medicaid and Veterans' Education funds.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 2000-01 recommendation of \$9.0 million for the Division of Veterans' Affairs will fund veterans' counseling services at current levels, and will increase funding for the Blind Veteran Annuity Assistance Program to \$1.8 million, an increase of \$100,000. In addition, State aid to local county and city veterans' service agencies, which defrays the operating costs of these organizations, is continued. Federal appropriations are reduced to equal actual Federal support for the Veterans' Education Program.

## ***PROGRAM HIGHLIGHTS***

During 2000-01, the Division of Veterans' Affairs will operate four principal programs. The largest provides veterans' counseling and claims services. A statewide network of approximately 60 State Veterans' Counselors — all veterans — and 28 support staff review eligibility and help veterans complete applications for benefits and services, obtain necessary documentation and file for Federal, State, local and private veterans' benefits. Counselors also serve constituents through outreach to Veterans' Affairs Medical Centers, senior centers, State Veterans' Homes and local nursing homes, public assistance offices and correctional facilities.

The Division of Veterans' Affairs continues to maintain its community outreach activities through senior citizens seminars and similar forums for women veterans, and is the driving force behind the Interagency Veterans' Council, a consortium of Federal, State and local agencies and non-profit organizations that meets periodically to address and resolve problems and concerns within the veteran community. The Division is also collaborating with the New York State Department of Health and the United States Department of Veterans' Affairs in constructing a 252-bed long-term health care facility for veterans in the Lower Hudson Valley.

The Division of Veterans' Affairs is responsible for securing a substantial portion of the nearly \$1 billion in recurring Federal VA payments made directly to New York State veterans and dependents. During 1998, State Veterans' Counselors made more than 158,000 contacts — an average of over 2,600 a year per counselor — and provided some 275,000 services, filing nearly 14,000 applications for benefits for New York's veterans and dependents. In doing so, State Veterans' Counselors obtained 5,200 VA benefits awards worth approximately \$50 million in Federal payments, most of which are recurring.

# VETERANS' AFFAIRS

Effective April 1, 1999, the Blind Veteran Annuity Assistance Program was extended to include all eligible surviving spouses. As a result, the Division received a dramatic increase in the number of applications, with a nearly 50 percent increase in the number of annuitants receiving the monthly benefit. To meet the increased workload, the Division streamlined its application process and utilized electronic technology to ensure effective and efficient program administration.

The agency will continue to maintain the New York State Vietnam Veterans' Memorial, which was created in 1984 as a living memorial to citizens who served in the Armed Forces during the war in Southeast Asia. The memorial includes a courtyard in honor of those killed or missing in action, an information resource room, and an art gallery that features a revolving art exhibit and educational programs. Memorial staff also provide educational outreach programs to school districts.

Staff of the Veterans' Education Program also investigate and certify post-secondary educational and vocational institutions for eligibility for student veterans' education benefits.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$6,561,000	\$6,510,300	-\$50,700	\$2,913,400
Aid To Localities .....	5,188,951	2,525,000	-2,663,951	.....
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$11,749,951</b>	<b>\$9,035,300</b>	<b>-\$2,714,651</b>	<b>\$2,913,400</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	12	12	.....	12	.....
Higher Education					
Special Revenue Funds - Federal .....	13	13	.....	13	.....
Veteran Counseling Services Program					
General Fund .....	103	103	.....	103	.....
<b>Total .....</b>	<b>128</b>	<b>128</b>	<b>.....</b>	<b>128</b>	<b>.....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$5,097,000	\$5,149,300	+\$52,300
Special Revenue Funds - Federal .....	1,464,000	1,361,000	-103,000
<b>Total .....</b>	<b>\$6,561,000</b>	<b>\$6,510,300</b>	<b>-\$50,700</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$701,200	\$701,200	....
Higher Education			
Special Revenue Funds - Federal .....	1,200,000	1,097,000	-\$103,000
Veteran Counseling Services Program			
General Fund .....	4,395,800	4,448,100	+52,300
Special Revenue Funds - Federal .....	264,000	264,000	....
<b>Total .....</b>	<b><u>\$6,561,000</u></b>	<b><u>\$6,510,300</u></b>	<b><u>-\$50,700</u></b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$596,200	....	\$596,200	....
Veteran Counseling Services Program .....	4,331,100	-\$8,700	4,331,100	-\$8,700
<b>Total .....</b>	<b><u>\$4,927,300</u></b>	<b><u>-\$8,700</u></b>	<b><u>\$4,927,300</u></b>	<b><u>-\$8,700</u></b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$105,000	....	\$15,000	....
Veteran Counseling Services				
Program .....	381,000	+\$61,000	30,000	....
<b>Total .....</b>	<b><u>\$486,000</u></b>	<b><u>+\$61,000</u></b>	<b><u>\$45,000</u></b>	<b><u>....</u></b>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$27,000	....	\$52,000	....
Veteran Counseling Services				
Program .....	58,000	....	213,000	+\$61,000
<b>Total .....</b>	<b><u>\$85,000</u></b>	<b><u>....</u></b>	<b><u>\$265,000</u></b>	<b><u>+\$61,000</u></b>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$11,000	....	....	....
Veteran Counseling Services				
Program .....	15,000	....	\$65,000	....
<b>Total .....</b>	<b><u>\$26,000</u></b>	<b><u>....</u></b>	<b><u>\$65,000</u></b>	<b><u>....</u></b>

# VETERANS' AFFAIRS

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Higher Education .....	\$1,097,000	-\$103,000	\$695,000	-\$5,000
Veteran Counseling Services Program .....	264,000	....	....	....
Total .....	<u>\$1,361,000</u>	<u>-\$103,000</u>	<u>\$695,000</u>	<u>-\$5,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Higher Education .....	\$402,000	-\$98,000	....	....
Veteran Counseling Services Program .....	....	....	\$264,000	....
Total .....	<u>\$402,000</u>	<u>-\$98,000</u>	<u>\$264,000</u>	<u>....</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$5,188,951	\$2,525,000	-\$2,663,951
Total .....	<u>\$5,188,951</u>	<u>\$2,525,000</u>	<u>-\$2,663,951</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Blind Veteran Annuity Assistance General Fund .....	\$1,700,000	\$1,800,000	+\$100,000
Veteran Counseling Services Program General Fund .....	1,295,000	725,000	-570,000
Community Projects General Fund .....	2,193,951	....	-2,193,951
Total .....	<u>\$5,188,951</u>	<u>\$2,525,000</u>	<u>-\$2,663,951</u>

# **OFFICE OF WELFARE INSPECTOR GENERAL**

## **MISSION**

The Office of Welfare Inspector General was established in 1992 to prevent, investigate, and prosecute public assistance fraud. The agency acts on allegations that welfare recipients are dishonestly receiving benefits for which they are not eligible, or that Medicaid, day care or other providers or administrators of services are accepting payments fraudulently.

In carrying out its responsibilities, the Office works closely with the Office of Temporary and Disability Assistance, local social services offices, the Office of Children and Family Services, the Department of Health and the Department of Law.

## **ORGANIZATION AND STAFFING**

The Office is headed by the Welfare Inspector General who is appointed for a five year term by the Governor with the advice and consent of the Senate. In addition to the Inspector General, personnel include fraud investigators, legal counsel and administrative support staff. The Welfare Inspector General's statewide operations are administered from New York City, and a field office in Albany.

The Office will have a workforce of 12 for SFY 2000-2001, which is consistent with SFY 1999-2000 staffing levels.

## **BUDGET HIGHLIGHTS**

The SFY 2000-2001 General Fund support for the Office of Welfare Inspector General is \$522,000. This represents an increase of \$166,000 compared with SFY 1999-00 levels. The increase is largely due to costs associated with moving to a new location in New York City. Approximately 56 percent of the Office's operations are supported by the General Fund and the remaining 44 percent are supported by funds the agency receives from the Federal government for fraud investigations related to welfare, Food Stamps and Medicaid. The All Funds appropriation for the Office will increase by \$202,000 in SFY 2000-2001, including funding to support scheduled increases in staffing costs.

## **PROGRAM HIGHLIGHTS**

In the current year, the number of complaints of alleged fraud and abuse within the welfare system reported to the Office of Welfare Inspector General remained consistently high as the agency continued its aggressive anti-fraud effort. In addition, 1997 Welfare Reform legislation provides effective tools to prevent and prosecute welfare fraud including increased penalties for fraudulent activities, such as applying for welfare benefits in more than one state.

In 1999, the Office received approximately 600 complaints about alleged welfare fraud originating from citizens, government agencies, or the Office's own related investigations. Fraud investigations generate savings for the State, local and Federal governments by uncovering unreported income or inappropriate claiming practices by those who provide day care, employment, health care or other services to welfare recipients. The Office of Welfare Inspector General completes hundreds of new investigations each year which substantiate allegations of some form of fraudulent activity by a member of a household receiving welfare.

In addition to these investigations of individual welfare recipients, the Office completes investigations to uncover patterns of abuse within the welfare system including investigation of internal corruption within social services offices. The Office works with the Department of Law to strengthen welfare fraud prosecution and also acts directly through its prosecutions



# **WELFARE INSPECTOR GENERAL**

unit. In addition to fraud investigations, the Office's activities include making recommendations to the Department of Family Assistance and county and New York City social services offices so that welfare programs and services are more effectively administered throughout the State.

## **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$690,000	\$892,000	+\$202,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$690,000</b>	<b>\$892,000</b>	<b>+\$202,000</b>	<b>....</b>

## **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

<u>Program</u>	<u>Available 1999-00</u>	2000-01 Recommended Average Fill Level			<u>Change</u>
		<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 2000-01</u>	
Welfare Inspector General, Office of the General Fund .....	12	12	....	12	....
<b>Total .....</b>	<b>12</b>	<b>12</b>	<b>....</b>	<b>12</b>	<b>....</b>

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$356,000	\$522,000	+\$166,000
Special Revenue Funds - Other .....	334,000	370,000	+36,000
<b>Total .....</b>	<b>\$690,000</b>	<b>\$892,000</b>	<b>+\$202,000</b>

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Welfare Inspector General, Office of the General Fund .....	\$356,000	\$522,000	+\$166,000
Special Revenue Funds - Other .....	334,000	370,000	+36,000
<b>Total .....</b>	<b>\$690,000</b>	<b>\$892,000</b>	<b>+\$202,000</b>

# WELFARE INSPECTOR GENERAL

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Welfare Inspector General, Office of the .....	\$688,000	+\$47,000	\$688,000	+\$47,000
Total .....	<u>\$688,000</u>	<u>+\$47,000</u>	<u>\$688,000</u>	<u>+\$47,000</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Welfare Inspector General, Office of the .....	\$204,000	+\$155,000	\$60,000	+\$50,000
Total .....	<u>\$204,000</u>	<u>+\$155,000</u>	<u>\$60,000</u>	<u>+\$50,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Welfare Inspector General, Office of the .....	\$14,000	....	\$128,000	+\$105,000
Total .....	<u>\$14,000</u>	<u>....</u>	<u>\$128,000</u>	<u>+\$105,000</u>

Program	Equipment	
	Amount	Change
Welfare Inspector General, Office of the .....	\$2,000	....
Total .....	<u>\$2,000</u>	<u>....</u>



# **WORKERS' COMPENSATION BOARD**

## **MISSION**

Most private and public sector employers in New York are required to carry workers' compensation and disability benefits insurance for their employees or demonstrate their ability to self-insure. The Workers' Compensation Board reviews claims for workers' compensation payments and assists in resolving disputed claims. In performing these responsibilities, the Board administers provisions of the following laws: the Workers' Compensation Law, the Disability Benefits Law, the Civil Defense Volunteers' Law, the Volunteer Firefighters' Benefit Law and the Volunteer Ambulance Workers' Benefit Law.

Because of its broad mission, the Board is responsible for implementing many of the reforms included in the Governor's New York Employment, Safety and Security Act that made historic reforms in the workers' compensation system. The Act has improved workplace safety and reduced employer premiums by an average of 18 percent in 1996. Premiums were further reduced by 8 percent in 1997 and by 6 percent in 1998 — a 32 percent reduction since enactment of the reforms.

The Board has continued to institute several efficiencies during 1999 that have reduced costs and improved services. Among other advances, the Board increased the number of hearings held, made greater use of such electronic tools as video conferencing and created a new, expedited hearing process. The Board also, as required by the Governor's reform bill, created a new Workers' Compensation Inspector General with staff located across the State.

## **ORGANIZATION AND STAFFING**

The Board is headed by a Chairperson selected by the Governor and includes 12 additional full-time members nominated by the Governor and confirmed by the Senate for seven year terms. District offices are located in Albany, Brooklyn, Binghamton, Buffalo, Hauppauge, Hempstead, Peekskill, Rochester, and Syracuse, with administrative offices in Albany. To make the hearing process as convenient as possible, the Board has 29 customer service centers located throughout the State. The Board's authorized staffing for 2000-01 is 1,727 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Board is funded with assessments on the Workers' Compensation and Disability Benefits insurance industry and with revenues produced by various services provided by the Board. The assessments paid by insurers are allocated to three major programs: Disability Benefits, Systems Modernization and Workers' Compensation.

The 2000-01 Executive Budget recommends approximately \$147.6 million for the Board, an increase of \$7.4 million. The recommended funding will enable the Board to continue to fulfill the Governor's commitment to revamp the operations of the Board and thereby improve service to businesses and injured workers. Major recommendations are as follows:

- A \$2 million reduction in the System Modernization program reflects the elimination of the remaining start-up costs for the new "electronic case folder" system, which became fully operational in 1999-2000 and which transformed the Board into a "paperless" operation.
- A \$3.5 million reduction reflects the completion of the consolidation of the Board's administrative offices.

## ***WORKERS' COMPENSATION***

---

- An \$8.9 million increase for the relocation of the Brooklyn office to 3 new, smaller offices, which is required by the expiration of the lease at the Brooklyn location and which will make the Board more accessible to its customers.

An additional \$3.5 million is also recommended for the maintenance of the Board's technology and for various management improvements. These improvements include creating a customer call center, developing a data warehouse to link the Board's separate data bases into a single, agency-wide information system and installing a new financial management information system.

### ***PROGRAM HIGHLIGHTS***

#### ***DISABILITY BENEFITS PROGRAM***

Disability Benefits provide cash payments in lieu of lost wages to temporarily disabled employees. Coverage is required for employers of one or more employees with such selected exceptions as agricultural enterprises and public employers. Weekly statutory cash benefits equal one-half of a disabled worker's weekly wage, with a maximum of \$170 per week for a 26 week period.

#### ***SYSTEMS MODERNIZATION PROGRAM***

The Office for Systems Modernization manages a multi-year effort to overhaul the Board's capacity to manage and use information. This program also maintains computerized systems vital to various Board operations and collects and analyzes data that measure performance and identify potential problems. Now that the Board has automated and improved the claims processing operation, its focus is being directed to other functional areas in need of automation and re-engineering, including Administration, Research and Compliance and Regulatory Services. When the modernization program is complete, the Board will have a new Workers' Compensation Board Information System that will automate and streamline all business activities. This has already increased productivity by enhancing the Board's capacity to process the millions of pieces of information it receives each year.

#### ***WORKERS' COMPENSATION PROGRAM***

The Workers' Compensation Board reviews worker's claims for benefits, reports of injury filed by employers and medical reports from physicians and other health care providers. The Board adjudicates all issues, and law judges make awards and findings to ensure that an entitled claimant promptly receives benefits and medical treatment. The decisions by the law judges may subsequently be appealed to Board panels and eventually to the courts. The Board, through its Bureau of Compliance, also monitors employers to ensure that they properly provide coverage for their employees and levies penalties on those employers who fail to do so. In addition, the Board's Regulatory Services Bureau authorizes physicians to treat compensation cases, awards licenses to medical providers and arbitrates disputed medical bills.

# WORKERS' COMPENSATION

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$140,210,300	\$147,579,400	+\$7,369,100	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$140,210,300</b>	<b>\$147,579,400</b>	<b>+\$7,369,100</b>	<b>....</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Disability Benefits					
Special Revenue Funds - Other .....	65	65	....	65	....
Systems Modernization					
Special Revenue Funds - Other .....	85	87	....	87	+2
Workers' Compensation					
Special Revenue Funds - Other .....	1,623	1,575	....	1,575	-48
<b>Total .....</b>	<b>1,773</b>	<b>1,727</b>	<b>....</b>	<b>1,727</b>	<b>-46</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$140,210,300	\$147,579,400	+\$7,369,100
<b>Total .....</b>	<b>\$140,210,300</b>	<b>\$147,579,400</b>	<b>+\$7,369,100</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Disability Benefits			
Special Revenue Funds - Other .....	\$6,652,000	\$6,980,400	+\$328,400
Systems Modernization			
Special Revenue Funds - Other .....	33,823,500	37,371,200	+3,547,700
Workers' Compensation			
Special Revenue Funds - Other .....	99,734,800	103,227,800	+3,493,000
<b>Total .....</b>	<b>\$140,210,300</b>	<b>\$147,579,400</b>	<b>+\$7,369,100</b>

# WORKERS' COMPENSATION

---

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Disability Benefits .....	\$6,980,400	+\$328,400	\$3,928,100	+\$29,000
Systems Modernization .....	37,371,200	+3,547,700	4,058,400	+99,900
Workers' Compensation .....	103,227,800	+3,493,000	58,507,300	-1,090,300
Total .....	<u>\$147,579,400</u>	<u>+\$7,369,100</u>	<u>\$66,493,800</u>	<u>-\$961,400</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Disability Benefits .....	\$3,052,300	+\$299,400	.....	.....
Systems Modernization .....	33,312,800	+3,447,800	.....	.....
Workers' Compensation .....	43,951,100	+4,747,300	\$769,400	-\$164,000
Total .....	<u>\$80,316,200</u>	<u>+\$8,494,500</u>	<u>\$769,400</u>	<u>-\$164,000</u>

***PUBLIC PROTECTION,  
HEALTH AND  
MENTAL HYGIENE***





# ***OFFICE OF ADVOCATE FOR PERSONS WITH DISABILITIES***

## ***MISSION***

The Office of Advocate for Persons with Disabilities (APD) assists persons with disabilities in seeking opportunities to be productive, active citizens and provides access to emerging technology and current information on the legal rights, services and programs available to them.

## ***ORGANIZATION AND STAFFING***

Headed by the State Advocate who is appointed by the Governor, the Agency is administered from Albany. APD will have a workforce of 20 positions for 2000-2001. Approximately 75 percent of these positions are paid by State tax dollars from the General Fund and 25 percent are financed by Federal grants and other funding sources.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 2000-2001 All Funds Executive Budget recommendation of \$1,577,000 maintains APD's ability to disseminate comprehensive information on services and programs available to persons with disabilities and to collaborate with other agencies, businesses and organizations to increase the effectiveness of public and private sector services. Despite a loss of \$120,000 in Federal grants, all core services will be preserved.

## ***PROGRAM HIGHLIGHTS***

APD operates a statewide clearinghouse through which individuals can access information and obtain referrals to a variety of disability-related services. Key components of the system are a statewide telephone hotline (800-522-4369), an electronic bulletin board service, and a website. It is anticipated that more than 60,000 individuals will utilize these services in 2000-2001.

The Agency's Federally funded Technology Related-Assistance for Individuals with Disabilities (TRAID) Project supports a statewide system which helps New Yorkers with disabilities access technology devices and services to strengthen their ability to participate in the mainstream workplace and community. This program is coordinated through an Interagency Partnership on Assistive Technology and twelve Regional TRAIID Centers, which are funded collaboratively with the Department of Health. During 1998, these Regional TRAIID Centers provided awareness training, device demonstrations, information, and referrals to over 17,000 persons with disabilities.

APD also provides comprehensive education, public awareness, and technical assistance programs which promote increased voluntary compliance with the Americans with Disabilities Act (ADA). During 2000-2001, more than 4,900 individuals are expected to participate in ADA-related activities conducted by APD.

# ADVOCATE FOR PERSONS WITH DISABILITIES

---

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$1,712,000	\$1,577,000	-\$135,000	\$600,000
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$1,712,000</b>	<b>\$1,577,000</b>	<b>-\$135,000</b>	<b>\$600,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Advocate for the Disabled					
General Fund .....	15	15	....	15	....
Special Revenue Funds - Federal .....	3	3	....	3	....
Expendable Trust Funds .....	1	1	....	1	....
<b>Subtotal, Direct Funded Programs .....</b>	<b>19</b>	<b>19</b>	<b>....</b>	<b>19</b>	<b>....</b>
Suballocations:					
Special Revenue Funds - Federal .....	2			1	-1
<b>Total .....</b>	<b>21</b>			<b>20</b>	<b>-1</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$1,040,000	\$1,015,000	-\$25,000
Special Revenue Funds - Federal .....	580,000	460,000	-120,000
Enterprise Funds .....	15,000	25,000	+10,000
Fiduciary Funds .....	77,000	77,000	....
<b>Total .....</b>	<b>\$1,712,000</b>	<b>\$1,577,000</b>	<b>-\$135,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Advocate for the Disabled			
General Fund .....	\$1,040,000	\$1,015,000	-\$25,000
Special Revenue Funds - Federal .....	580,000	460,000	-120,000
Enterprise Funds .....	15,000	25,000	+10,000
Expendable Trust Funds .....	77,000	77,000	....
<b>Total .....</b>	<b>\$1,712,000</b>	<b>\$1,577,000</b>	<b>-\$135,000</b>

# ADVOCATE FOR PERSONS WITH DISABILITIES

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Advocate for the Disabled .....	\$895,000	....	\$889,000	....	\$6,000	....
Total .....	\$895,000	....	\$889,000	....	\$6,000	....

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Advocate for the Disabled .....	\$120,000	-\$25,000	\$18,000	....
Total .....	\$120,000	-\$25,000	\$18,000	....

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Advocate for the Disabled .....	\$23,000	....	\$76,900	....
Total .....	\$23,000	....	\$76,900	....

Program	Equipment	
	Amount	Change
Advocate for the Disabled .....	\$2,100	....
Total .....	\$2,100	....

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Advocate for the Disabled .....	\$562,000	-\$110,000	\$562,000	-\$110,000
Total .....	\$562,000	-\$110,000	\$562,000	-\$110,000



# **STATE OFFICE FOR THE AGING**

## **MISSION**

The New York State Office for the Aging is responsible for promoting, coordinating and administering State, Federal and local programs and services for 3.2 million New Yorkers aged 60 or older. The Office provides leadership and direction to 59 Area Agencies on Aging, as well as to numerous other local programs and providers that comprise the network of services to the aged.

## **ORGANIZATION AND STAFFING**

The State Office for the Aging is headed by a Director and is composed of four divisions: Executive, Finance and Administration, Local Program Operations, and Policy and Program Development. The Office will have a workforce of 159 employees during SFY 2000-01: 142 funded within the agency, and an additional 17 positions funded by other State agencies. Approximately 36 percent of agency operations are funded by the General Fund, and the remaining 64 percent is financed by Federal grants and grants from private organizations.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2000-01 Executive Budget recommends nearly \$173 million in State and Federal funds for the continued operations of the agency and the expansion of community-based support services for the elderly. Within the aging system, State support is used to match Older Americans Act and other Federal funding and establish a service-delivery network that attracts a variety of other public and private contributions. When combined, this results in total network spending of over \$340 million, excluding the value of volunteer labor which has been estimated at upwards of \$35 million.

A centerpiece of these recommendations is the addition of \$1.6 million to expand services under the Community Services for the Elderly (CSE) program, bringing the total amount of State support for this program to over \$15 million. Serving nearly 87,000 elderly statewide, this program supports a locally-coordinated continuum of support services designed to assist the elderly, their families and informal caregivers. The goal of the program is to maximize independence and reduce unnecessary reliance on institutional care.

Services available under this program include: case management, nutrition/meals, housekeeping/chore services, personal care, home health aide services, adult day care, transportation and other individualized support services. In contrast with the agency's other major programs, which are limited to certain prescribed services, CSE affords Area Agencies on Aging maximum flexibility in selecting which services to offer and/or expand. Strongly linked to local planning efforts, CSE provides a comprehensive array of services that will allow the State to continue to meet the ever-changing needs of our growing elderly population.

## **PROGRAM HIGHLIGHTS**

The full array of programs offered through the Office for the Aging are aimed at keeping seniors independent as long as possible by utilizing family and other informal caregivers, as well as through the limited use of formal support services. These community-based services help keep people healthy and in their homes and out of hospitals and nursing homes.

## **STATEWIDE COMMUNITY-BASED ASSISTANCE**

In addition to the CSE program, the State supports other statewide aging programs administered through Area Agencies on Aging from a combination of State and Federal funding.

The Expanded In-home Services for the Elderly Program (EISEP) provides non-medical in-home services, case management, respite and ancillary services to the frail elderly, most of whom are low income but not eligible for Medicaid. Recipients are required to cost-share, based on their annual income level, for EISEP program services received. More than 29,000 persons are served under this program.

The Congregate Services Initiative (CSI) provides services in community settings where people come together for services and activities, including: information and assistance, counseling, transportation, support services for families/caregivers, volunteer opportunities and employment information and health promotion and disease prevention services.

### ***NUTRITION SERVICES***

Through a combination of State tax dollars and Federal grants, the State annually provides more than 25 million congregate and home-delivered meals or other nutritional services to non-institutionalized frail elderly clients. These seniors are at risk of malnutrition because they are no longer able to obtain an adequate diet without assistance. The Office receives \$29 million in appropriation authority for Federal grants in support of congregate meals, \$10 million in support of home-delivered meals, and \$17 million to support the purchase of food. The State counterpart to these Federal programs — the Supplemental Nutrition Assistance Program (SNAP) — provides another \$16 million. The SNAP program serves nearly 4 million meals annually, at an average cost of only \$4.72 per meal.

### ***PARTNERSHIPS AND TARGETED PROGRAMS***

The Office participates in a number of partnerships with businesses, foundations and not-for-profit organizations, and also coordinates programs targeted for special populations.

The term "Naturally Occurring Retirement Community" (NORC) describes a phenomenon experienced by certain housing complexes, cooperatives and apartment buildings where the population has "aged in place". The NORC Supportive Service Program was created to deliver on-site services, thereby allowing residents to continue to remain independent. Fourteen such programs exist, with the State's public funds matched dollar for dollar by private contributions from the retirement communities themselves. Now in its sixth year, this public/private partnership cares for an estimated 20,000 clients.

Under the Caregiver Assistance Program, 17 Caregiver Resource Centers provide a single focal point of assistance for family members and other informal providers of long-term care to homebound elderly. The primary responsibilities of the Centers are to assist caregivers through training programs, support groups and counseling; and to link them with Area Agency on Aging services, as well as other community services. More than 8,500 people are served by this program.

The Long-Term Care Ombudsman Program (LTCOP) supports the advocacy in 54 counties of more than 600 trained volunteers on the behalf of the approximately 150,000 residents of the New York State's nursing homes and adult care facilities. Under this program, the State Office for the Aging and community agencies receive, investigate and resolve a wide range on concerns and complaints regarding conditions and treatment in long-term care facilities, with the goal of ensuring the quality of life for residents.

Through its network of Area Agencies on Aging and local not-for-profit agencies, the Office also provides State grant funding for long-term respite care, the Retired and Senior Volunteer Program and the Foster Grandparent Program.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$13,971,000	\$14,055,000	+\$84,000	\$6,432,000
Aid To Localities .....	165,740,312	158,862,000	-6,878,312	83,700,000
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$179,711,312</b>	<b>\$172,917,000</b>	<b>-\$6,794,312</b>	<b>\$90,132,000</b>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
<b>Administration</b>					
General Fund .....	21	21	.....	21	.....
Special Revenue Funds - Federal .....	45	45	.....	45	.....
<b>Community Services</b>					
General Fund .....	25	25	.....	25	.....
Special Revenue Funds - Federal .....	51	51	.....	51	.....
<b>Subtotal, Direct Funded Programs .....</b>	<b>142</b>	<b>142</b>	<b>.....</b>	<b>142</b>	<b>.....</b>
<b>Suballocations:</b>					
General Fund .....	5			5	.....
Special Revenue Funds - Federal .....	12			12	.....
<b>Total .....</b>	<b>159</b>			<b>159</b>	<b>.....</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$2,619,000	\$2,703,000	+\$84,000
Special Revenue Funds - Federal .....	10,199,000	10,199,000	.....
Enterprise Funds .....	200,000	200,000	.....
Fiduciary Funds .....	953,000	953,000	.....
<b>Total .....</b>	<b>\$13,971,000</b>	<b>\$14,055,000</b>	<b>+\$84,000</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
<b>Administration</b>			
General Fund .....	\$1,165,000	\$1,206,000	+\$41,000
Special Revenue Funds - Federal .....	2,615,000	2,615,000	.....
Enterprise Funds .....	200,000	200,000	.....
<b>Community Services</b>			
General Fund .....	1,454,000	1,497,000	+43,000
Special Revenue Funds - Federal .....	7,584,000	7,584,000	.....
Expendable Trust Funds .....	953,000	953,000	.....
<b>Total .....</b>	<b>\$13,971,000</b>	<b>\$14,055,000</b>	<b>+\$84,000</b>



# AGING

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$1,021,000	+\$33,000	\$1,019,000	+\$33,000	.....	.....
Community Services .....	1,305,000	+39,000	1,296,000	+39,000	\$3,000	.....
<b>Total .....</b>	<b>\$2,326,000</b>	<b>+\$72,000</b>	<b>\$2,315,000</b>	<b>+\$72,000</b>	<b>\$3,000</b>	<b>.....</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$2,000	.....
Community Services .....	6,000	.....
<b>Total .....</b>	<b>\$8,000</b>	<b>.....</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$185,000	+\$8,000	\$18,000	+\$1,000
Community Services .....	192,000	+4,000	23,000	+1,000
<b>Total .....</b>	<b>\$377,000</b>	<b>+\$12,000</b>	<b>\$41,000</b>	<b>+\$2,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$34,000	+\$2,000	\$127,000	+\$5,000
Community Services .....	52,000	.....	114,000	+3,000
<b>Total .....</b>	<b>\$86,000</b>	<b>+\$2,000</b>	<b>\$241,000</b>	<b>+\$8,000</b>

Program	Equipment	
	Amount	Change
Administration .....	\$6,000	.....
Community Services .....	3,000	.....
<b>Total .....</b>	<b>\$9,000</b>	<b>.....</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$2,815,000	.....	\$2,369,000	.....
Community Services .....	8,537,000	.....	5,749,000	.....
<b>Total .....</b>	<b>\$11,352,000</b>	<b>.....</b>	<b>\$8,118,000</b>	<b>.....</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$246,000	.....	\$200,000	.....
Community Services .....	1,835,000	.....	953,000	.....
<b>Total .....</b>	<b>\$2,081,000</b>	<b>.....</b>	<b>\$1,153,000</b>	<b>.....</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$67,040,312	\$60,162,000	-\$6,878,312
Special Revenue Funds - Federal .....	95,600,000	95,600,000	....
Fiduciary Funds .....	3,100,000	3,100,000	....
Total .....	<u>\$165,740,312</u>	<u>\$158,862,000</u>	<u>-\$6,878,312</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Community Services			
General Fund .....	\$58,562,000	\$60,162,000	+\$1,600,000
Special Revenue Funds - Federal .....	95,600,000	95,600,000	....
Fiduciary Funds .....	3,100,000	3,100,000	....
Community Projects			
General Fund .....	<u>8,478,312</u>	....	<u>-8,478,312</u>
Total .....	<u>\$165,740,312</u>	<u>\$158,862,000</u>	<u>-\$6,878,312</u>



# CAPITAL DEFENDER OFFICE

## MISSION

The Capital Defender Office, which has been in operation since September 1, 1995, is authorized to defend any indigent person charged with a capital crime. With the restoration of the death penalty, persons convicted of first-degree murder may be sentenced to death by lethal injection, life imprisonment without parole, or 20 to 25 years in prison. To be sentenced to death, a person must be found guilty of first-degree murder which includes the killing of a police officer, killing for hire, and certain other heinous murders.

## ORGANIZATION AND STAFFING

A three-member board oversees the work of the Capital Defender Office. The Board members are appointed, one each by the Temporary President of the Senate, the Speaker of the Assembly and the Chief Judge of the Court of Appeals. The Office has a staff of 75 located in a central office in New York City and regional offices in Albany and Rochester.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

A total of \$15.2 million in State tax dollars is recommended to fund death penalty defense costs in 2000-01. This will support the agency's staff attorneys, investigators and experts as well as legal aid societies and private attorneys appointed to represent indigent defendants in capital cases.

## PROGRAM HIGHLIGHTS

The purpose of the Capital Defender Office is to ensure that offenders who face the death penalty receive the full legal protection to which they are entitled under law. The Capital Defender Office is required to provide legal, investigative and expert services to indigent defendants charged with crimes eligible for the death penalty. Since not all defendants in capital cases will be represented by the Office, the law also requires the agency to set minimum standards for lawyers appointed to defend such cases, provide training and assistance to these attorneys and provide judges with lists of qualified lawyers.

<b>ALL FUNDS APPROPRIATIONS</b>				
<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$14,756,500	\$15,197,500	+\$441,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$14,756,500</u>	<u>\$15,197,500</u>	<u>+\$441,000</u>	<u>....</u>

# CAPITAL DEFENDER

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Capital Defense General Fund .....	69	75	....	75	+6
Total .....	69	75	....	75	+6

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$14,756,500	\$15,197,500	+\$441,000
Total .....	\$14,756,500	\$15,197,500	+\$441,000

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Capital Defense General Fund .....	\$14,756,500	\$15,197,500	+\$441,000
Total .....	\$14,756,500	\$15,197,500	+\$441,000

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Capital Defense .....	\$4,684,700	+\$361,000	\$4,595,700	+\$354,000	\$89,000	+\$7,000
Total .....	\$4,684,700	+\$361,000	\$4,595,700	+\$354,000	\$89,000	+\$7,000

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Supplies and Materials	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense .....	\$10,512,800	+\$80,000	\$180,400	+\$5,400
Total .....	<u>\$10,512,800</u>	<u>+\$80,000</u>	<u>\$180,400</u>	<u>+\$5,400</u>

<u>Program</u>	Travel		Contractual Services	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense .....	\$304,200	+\$9,200	\$2,017,700	+\$60,700
Total .....	<u>\$304,200</u>	<u>+\$9,200</u>	<u>\$2,017,700</u>	<u>+\$60,700</u>

<u>Program</u>	Equipment		Maintenance Undistributed	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense .....	\$154,700	+\$4,700	\$7,855,800	.....
Total .....	<u>\$154,700</u>	<u>+\$4,700</u>	<u>\$7,855,800</u>	<u>.....</u>



# ***DEVELOPMENTAL DISABILITIES PLANNING COUNCIL***

## ***MISSION***

The New York State Developmental Disabilities Planning Council is fully funded under the Federal Disabilities Assistance and Bill of Rights Act of 1975 to prepare, implement and monitor a plan for improving the quality of life for people with developmental disabilities.

## ***ORGANIZATION AND STAFFING***

Located in Albany, the Council is composed of 32 members, who have been appointed by the Governor to three-year staggered terms. Federal law requires that at least 50 percent of the Council membership be composed of persons with developmental disabilities, parents and guardians of children with developmental disabilities, and immediate relatives and guardians of adults with mentally impairing developmental disabilities who cannot advocate for themselves. Other required members represent State agencies, educational and training providers, and local public and private services agencies.

The Chairperson of the Council is appointed by the Governor from within the Council. In addition, a full-time staff of 18, under the leadership of an Executive Director, will assist the Council in carrying out its mission in 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

Federal funds fully support all Council operations, including State staff and contracts with non-profit agencies to develop new services and service delivery methods. The contracts are monitored by the Council to ensure that Federal funds provided to the State are used to augment — rather than duplicate or replace — existing services for people with developmental disabilities.

The 2000-01 recommendation of \$4,250,000 in Federal funds represents no change from the prior year, based on a projection of level Federal funding. This funding is sufficient to support the Council's role in coordinating information about persons with developmental disabilities and the services available to them, and in overseeing grant funds.

## ***PROGRAM HIGHLIGHTS***

Through its Council membership of State agency heads, including the Commissioner of the Office of Mental Retardation and Developmental Disabilities, the Council employs an interagency approach to advocate improved and enhanced services, supports, and assistance for persons with developmental disabilities. Its activities include quarterly meetings, task forces, white papers, conferences, training, technical assistance and the development of a three-year State Plan. The Council also works closely with public and private entities that provide services for individuals with developmental disabilities and their families to jointly design new service delivery methods and share insights and approaches that may have statewide application.



# DEVELOPMENTAL DISABILITIES PLANNING COUNCIL

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$4,250,000	\$4,250,000	....	\$6,218,000
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$4,250,000</b>	<b>\$4,250,000</b>	<b>....</b>	<b>\$6,218,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Developmental Disabilities Planning Special Revenue Funds - Federal .....	18	18	....	18	....
<b>Total .....</b>	<b>18</b>	<b>18</b>	<b>....</b>	<b>18</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Federal .....	\$4,250,000	\$4,250,000	....
<b>Total .....</b>	<b>\$4,250,000</b>	<b>\$4,250,000</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Developmental Disabilities Planning Special Revenue Funds - Federal .....	\$4,250,000	\$4,250,000	....
<b>Total .....</b>	<b>\$4,250,000</b>	<b>\$4,250,000</b>	<b>....</b>

# ***DEVELOPMENTAL DISABILITIES PLANNING COUNCIL***

---

## **STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Personal Service Amount</u>	<u>Change</u>
Developmental Disabilities				
Planning .....	\$4,250,000	.....	\$790,000	+\$30,000
Total .....	<u>\$4,250,000</u>	<u>.....</u>	<u>\$790,000</u>	<u>+\$30,000</u>
<u>Program</u>	<u>Nonpersonal Service Amount</u>	<u>Change</u>	<u>Maintenance Undistributed Amount</u>	<u>Change</u>
Developmental Disabilities				
Planning .....	\$582,000	+\$59,000	\$2,878,000	-\$89,000
Total .....	<u>\$582,000</u>	<u>+\$59,000</u>	<u>\$2,878,000</u>	<u>-\$89,000</u>



# **DEPARTMENT OF HEALTH**

## **MISSION**

The Department of Health strives to ensure that high quality, appropriate health services are available to all New York State residents at a reasonable cost. Department functions and responsibilities include:

- Promoting and supervising public health activities throughout the State;
- Ensuring sound and cost-effective quality medical care for all residents; and,
- Reducing infectious diseases such as tuberculosis, measles, mumps and rubella and chronic disabling illnesses such as heart disease, cancer, stroke and respiratory diseases.

The Department of Health is also the principal State agency that interacts with the Federal and local governments, health care providers and program participants for the State's Medicaid program.

## **ORGANIZATION AND STAFFING**

Under the direction of the Commissioner, the Department of Health meets its responsibilities through the Office of Medicaid Management, the Office of Managed Care, the Office of Continuing Care, the centers located in the Office of Public Health, and the Office of Health Systems Management. These entities provide policy and management direction to the Department's system of regional offices. Department staff located in regional offices conduct health facility surveillance, public health monitoring and direct services, and oversee county health department activities.

Additionally, the Department is responsible for five health care facilities engaged in advanced medical research and patient care including the Roswell Park Cancer Institute in Buffalo, the Helen Hayes Hospital in West Haverstraw, and three nursing homes for the care of veterans and their dependents in Oxford, New York City and Batavia. In fiscal year 2000-01, construction is expected to be substantially complete on a fourth veterans' nursing home located in Montrose. In early 1999, responsibility for the operations of the Roswell Park Cancer Institute was transferred to a public benefit corporation, the Roswell Park Cancer Institute Corporation, pursuant to an operating agreement between the Corporation and the Department. This has provided Roswell with the flexibility needed to compete more effectively in a changing health care environment.

In fiscal year 2000-01, the Department of Health will have a workforce of approximately 6,000 positions, with almost twenty-four percent of those positions employed in the Department's health care facilities. Since 1995-96, the number of positions has decreased by approximately 800, reflecting the transfer to the Department of more than 950 positions for Medicaid program and audit activities, and new program initiatives such as the safe drinking water program, offset by the impact of attrition, early retirements, and Roswell Park Cancer Institute's transition to a public benefit corporation.

- Approximately 23 percent of these positions are paid exclusively by the General Fund;
- 9 percent are directly supported by fees;
- 52 percent are supported by third party, private patient care and Federal reimbursement; and,
- The remaining 16 percent are directly funded by Federal grants.

## **MEDICAID**

Total Medicaid spending in New York will be approximately \$30.9 billion next year. The 2000-01 Medicaid budget reflects a continued commitment to an effective and affordable delivery system that promotes quality health care, protects patients, and assures access to appropriate services to meet the health care needs of the State's neediest residents.

### ***Acute Care***

State Medicaid spending for hospitals and clinics will reach \$2 billion in 2000-01. Hospitals will continue to rely on the landmark Health Care Reform Act (HCRA), originally enacted in 1996, as the basis for their funding. HCRA, which was extended in 1999 for another three and one-half years, encourages competition in the health care industry by allowing most non-Medicaid payors to negotiate rates with hospitals.

The Health Care Reform Act of 2000 (HCRA 2000) — successor legislation to the landmark Health Care Reform Act of 1996 — continues, through March 31, 2003, cost containment actions enacted as part of prior year Budgets. In addition, HCRA 2000 continues to provide hospitals and clinics with adequate funding to ensure that quality health care services are accessible and affordable for all New Yorkers.

### ***Long-Term Care***

State Medicaid expenditures on long-term care services — nursing home and community-based home care — will be \$3.3 billion in 2000-01.

Progress continues to be made in implementing the provisions of the Long-Term Care Integration and Finance Act of 1997. Continuing Care Retirement Communities are providing the elderly with more affordable and accessible options for comprehensive, independent living arrangements that include a wide array of home care, nursing care and other medical services. The rapidly growing Managed Long Term Care program is developing a broader and more integrated continuum of long term care service options.

In addition, the Partnership for Long Term Care is providing long term care insurance that protects individuals from having to spend down their assets to qualify for Medicaid in the event of a lengthy illness. This innovative Partnership, used in three other states, now represents a significant portion of the New York's long term care insurance market.

### ***Managed Care***

The 2000-01 budget reflects the continued mandatory enrollment of Medicaid recipients in managed care. Federal approval of New York's 1115 managed care waiver in July 1997 set the stage for mandatory enrollment to commence in October 1997. To date, sections of New York City and thirteen upstate counties — Albany, Broome, Columbia, Erie, Greene, Monroe, Niagara, Onondaga, Ontario, Oswego, Rensselaer, Saratoga and Westchester — are operating mandatory managed care programs. New York City will continue to phase in managed care, by zip code, in five phases with a four-month lag between each phase. The remainder of the State will also phase in at four-month intervals subject to Federal approval.

During the first half of 1999-2000, voluntary enrollment remained nearly level. Enrollment is projected to reach approximately 781,000 by the end of 1999-2000 and 1.4 million by the end of 2000-01. When fully implemented, approximately three-quarters of all Medicaid recipients are expected to be enrolled in mandatory managed care. As a result of existing managed care enrollment, New York State continues to have increased primary care use, lower emergency room use, and fewer inpatient days.

The State's Medicaid Managed Care program ensures that the neediest people receive high quality, accessible health care. Legislation passed in 1996 authorizes the State to certify special managed care plans to provide comprehensive services to individuals infected with the HIV virus or who have a serious mental illness. These Special Needs Plans will begin operation in 2000-01. Start-up grant funding will be provided to facilitate implementation of these plans. Medicaid Managed Care also incorporates a comprehensive set of consumer protections to ensure that recipients obtain enrollment assistance and quality care, and understand their rights and responsibilities under managed care plans.

### ***Medicaid Administration***

The Department of Health is responsible for overall management of the Medicaid program including the State's interaction with Federal and local governments, health care providers and Medicaid recipients. Counties will continue their role in making Medicaid eligibility determinations. Payments to health care providers also continue to be made through the State's computerized Medicaid Management Information System (MMIS) which is operated by a private agency with oversight by State personnel. The Department has re-procured management and development services for a Replacement Medicaid System (RMS) to replace both MMIS and the Electronic Medicaid Eligibility Verification System (EMEVS). The RMS will replace out-of-date technology and bring New York State into compliance with new Federal reporting requirements. In addition, the new system will substantially enhance front-end detection of Medicaid fraud.

### ***CHILD HEALTH PLUS***

New York's Child Health Plus program continues to set a national standard for children's health insurance coverage for children up to age 19. The Child Health Plus program was significantly expanded with passage of legislation under Governor Pataki's leadership in both 1996 and 1998, and resulted in a dramatic increase in enrollment. The program has expanded to include comprehensive health benefits, Medicaid coverage for 15 to 19 year olds and, beginning July 2000, eligibility is raised to 250 percent of the Federal Poverty Level.

New York is eligible for approximately \$305 million in Federal funds in 2000-01. These funds, when combined with State Health Care Reform Act (HCRA) moneys, will facilitate access to comprehensive Child Health Plus coverage to virtually all eligible children in our State.

### ***OTHER PUBLIC HEALTH PROGRAMS***

Excluding Medicaid program costs, General Fund appropriations finance 32 percent of the Department of Health's budget in 1999-2000, down from a high of 62 percent in the mid-1980's.

Other revenue, including 1) reimbursement for patient care provided at the Department's health care facilities; 2) regulatory fees and audit recoveries; 3) management fees for hospital and nursing home construction projects financed through bond proceeds; and, 4) registration, testing and certification fees for various public health services, support 28 percent of the Department of Health's budget, including the Professional Medical Conduct Program, clinical and environmental laboratory certification activities, and health care facilities' operating costs. The remaining 40 percent is provided by Federal grants and Fiduciary and Enterprise funds.

Capital Projects appropriations preserve and maintain the Department's hospitals, nursing homes and the three separate laboratory facilities in Albany County which constitute the Wadsworth Center for Laboratories and Research. The costs of projects at the health care facilities are funded from facility revenues and/or the General Fund.

## **HEALTH**

---

This overall recommendation ensures that public health priorities are preserved. As such, the 2000-01 budget:

- Includes \$6.5 million, growing to \$13.1 million in 2001-02 — generated from new water supply connection fees — for an initiative to ensure drinking water safety by expanding State and local surveillance of public water supplies.
- Maintains State funding at current levels of over \$14.1 million for critical public health needs including school health, lead poisoning prevention, breast cancer detection and prenatal care.
- Sustains the State's commitment to fighting the AIDS epidemic by continuing statewide spending at more than \$2 billion, including \$106.1 million to be spent by the AIDS Institute. Emphasis will continue to be placed on prevention and specialized services which target resources to populations with the greatest risk of infection. In 2000-01, \$23.7 million in Institute programs will be financed from HCRA funds.
- Includes approximately \$165 million to reimburse counties and New York City for providing public health services such as childhood immunizations, primary health care, and control of communicable diseases such as tuberculosis and sexually-transmitted diseases. To promote efficient local operations, appropriation language will generally limit reimbursement to counties to prior year spending as adjusted for inflation.
- Includes more than \$40 million, funded largely from HCRA, for an enhanced anti-smoking program including counter advertising, community and school-based education programs, cancer mapping and strict enforcement of laws regulating the sale and use of tobacco products.
- Supports the optional State supplementation of the Federal nutrition assistance program for women, infants and children (WIC) with \$28 million. New York continues to be one of only thirteen states to augment Federal nutrition funds.
- Continues the Elderly Pharmaceutical Insurance Coverage program, which will help approximately 122,500 elderly persons next year with their out-of-pocket prescription expenses. For 2000-01, EPIC's costs will be financed from the HCRA funds.
- Promotes program and cost efficiencies in the \$135 million Early Intervention program serving infants and toddlers under the age of three who have developmental delays.
- Continues funding of \$14.9 million from all sources for programs to promote sexual abstinence among adolescents, including \$7.7 million suballocated from the Office of Children and Family Services.
- Adds new funding of \$2.5 million to prevent the potential spread of the West Nile virus and to respond to other "West Nile like" events. These funds will support epidemiology, surveillance and laboratory testing staff as well as equipment and other needs.
- Adds new funding of \$5 million to expand New York's newborn screening program to keep pace with advances in science. Genetic and other medical research is making it possible to diagnose an increasing number of treatable, yet potentially life threatening, disorders.

## **PROGRAM HIGHLIGHTS**

### **MEDICAID**

Originally established in 1965 by the Federal government as a health insurance program for the poor, New York's Medicaid program grew to \$29.5 billion in 1999-2000, providing coverage to approximately 3.1 million New Yorkers. In addition to the federally-mandated services — inpatient and outpatient hospital care, nursing facility care, physician services,

home health care, family planning, laboratory and x-ray services — New York also provides almost all federally permissible optional services.

Traditionally, the Federal government has paid for 50 percent of the State's Medicaid program. The State pays about 35 percent of the remaining costs and counties pay about 15 percent. The Federal government has matched, on an unlimited basis, each State dollar expended on Medicaid.

### **ACCESS TO QUALITY HEALTH CARE**

The Department develops and implements programs to ensure that residents of New York have access to high quality health care. Over the last four years, significant legislation has been enacted that will enhance the availability of appropriate care to all New Yorkers:

- The landmark Health Care Reform Act of 1996 deregulated inpatient hospital reimbursement and introduced a market-based system which allows commercial insurers, managed care entities and self-insured plans to establish rates of payment directly through negotiations with hospitals and without State intervention. The HCRA successor legislation (HCRA 2000), enacted in 1999, retains the State's commitment to ensuring that the hospital system adapts to the changing health care environment. In addition, HCRA 2000 provides comprehensive new programs for the uninsured.
- Pioneering Consumer Managed Care legislation enacted in 1996 — the Managed Care Bill of Rights — ensures that consumers will be appropriately informed about managed care choices, benefits and guarantees that providers can discuss all appropriate health care options.
- Enhanced consumer protections were added in External Review legislation enacted in 1998 which provide health plan enrollees the opportunity to request an external appeal when coverage of health care services is denied on the grounds that the service is not medically necessary, or that it is experimental or investigational.
- The Long-Term Care Integration and Finance Act of 1997 authorizes various managed long-term care models for evaluation, expands service options, increases available financing streams for long-term care, and ensures the tax deductibility of long-term care insurance.

### **PUBLIC HEALTH**

Efforts such as education, research and prevention of injuries and disease are aimed at improving the health of all New Yorkers. Particular focus is placed on nutrition, prenatal and perinatal care, child health, treatment and control of sexually transmitted diseases and tuberculosis, childhood immunization, the health risks of environmental contaminants, drinking water purity, and follow-up investigations of disease outbreak. In addition, the Department serves as primary liaison with local and county health departments to ensure the quality of public health services throughout New York State.

The Wadsworth Center for Laboratories and Research assists the Department in accomplishing its public health mission. Screening programs conducted by the Center annually report nearly three million test results to providers. These programs encompass such public health concerns as HIV, tuberculosis, and genetic disorders in newborns. Ongoing research, largely funded by external grants, is carried out for public health problems such as AIDS, Lyme disease, cancer and the toxic effects of chemical substances and radiation. In addition, the Wadsworth Center regulates over 800 environmental laboratories and over 1,800 clinical laboratories and blood banks to ensure testing quality, and the public's health and safety.



## HEALTH

---

### RESPONSE TO THE AIDS EPIDEMIC

The Department develops and funds HIV prevention and health care programs, educates the public and health care providers, formulates policy and directs regional and statewide HIV/AIDS planning. New York remains a leader in combating this complex epidemic by responding to changes in incidence with even greater attention to population-based programming, long term care and policies designed to reduce discrimination and guarantee basic medical care and treatment for the uninsured. New York State will spend \$2 billion to combat HIV/AIDS next year.

### HEALTH SYSTEMS MANAGEMENT

The Department assures that quality health care is available to all New York residents by overseeing the services provided by hospitals, nursing homes, diagnostic and treatment centers and home care providers. The Department strives to ensure that limited health care dollars are prudently spent through its reimbursement rate methodologies, rate setting, and review and monitoring of health facility plans for construction and expansion. Federal reimbursement for surveillance and certification, and fees for overseeing facilities to assure that bonded debt is repaid, help to offset program costs.

#### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$3,297,895,100	\$3,797,889,800	+\$499,994,700	\$3,755,948,900
Aid To Localities .....	23,461,753,872	25,088,546,200	+1,626,792,328	19,147,355,650
Capital Projects .....	98,877,000	120,077,000	+21,200,000	205,839,000
Total .....	<u>\$26,858,525,972</u>	<u>\$29,006,513,000</u>	<u>+\$2,147,987,028</u>	<u>\$23,109,143,550</u>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

2000-01 Recommended Average Fill Level

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Administration and Executive Direction					
General Fund	188	148	....	148	-40
Special Revenue Funds - Federal	159	158	....	158	-1
Special Revenue Funds - Other	224	251	....	251	+27
AIDS Institute					
General Fund	186	198	....	198	+12
Special Revenue Funds - Other	20	20	....	20	....
Child Health Insurance					
Special Revenue Funds - Other	46	46	....	46	....
Community Health					
General Fund	76	90	....	90	+14
Special Revenue Funds - Federal	639	605	....	605	-34
Special Revenue Funds - Other	1	1	....	1	....
Office of Continuing Care					
General Fund	369	369	....	369	....
Special Revenue Funds - Other	2	2	....	2	....
Elderly Pharmaceutical Insurance Coverage					
General Fund	20	20	....	20	....
Environmental Health					
General Fund	120	102	....	102	-18
Special Revenue Funds - Federal	134	133	....	133	-1
Special Revenue Funds - Other	90	123	....	123	+33
Health Care Financing					
General Fund	87	87	....	87	....
Special Revenue Funds - Other	59	58	....	58	-1
Health Care Standards and Surveillance					
General Fund	276	276	....	276	....
Special Revenue Funds - Other	235	240	....	240	+5
Institution Management					
Special Revenue Funds - Other	1,438	1,411	....	1,411	-27
Laboratories and Research					
General Fund	407	405	....	405	-2
Special Revenue Funds - Federal	86	77	....	77	-9
Special Revenue Funds - Other	164	164	....	164	....
Managed Care					
General Fund	152	152	....	152	....
Special Revenue Funds - Other	3	3	....	3	....
Medicaid Audit and Fraud Prevention					
General Fund	228	228	....	228	....
Special Revenue Funds - Federal	244	244	....	244	....
Special Revenue Funds - Other	27	27	....	27	....
Office of Medicaid Management					
Special Revenue Funds - Other	5	5	....	5	....
Medical Assistance					
General Fund	422	422	....	422	....
Subtotal, Direct Funded Programs	6,107	6,065	....	6,065	-42
Suballocations:					
Special Revenue Funds - Federal	22			22	....
Special Revenue Funds - Other	106			106	....
Enterprise Funds	16			16	....
Total	6,251			6,209	-42

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$143,116,000	\$188,825,800	+\$45,709,800
Special Revenue Funds - Federal .....	2,729,447,600	3,265,405,600	+535,958,000
Special Revenue Funds - Other .....	422,596,500	340,923,400	-81,673,100
Enterprise Funds .....	10,000	10,000	.....
Fiduciary Funds .....	2,725,000	2,725,000	.....
Total .....	\$3,297,895,100	<u>\$3,797,889,800</u>	<u>+\$499,994,700</u>
Adjustments:			
Prior Year Deficiency			
Health, Department of			
Special Revenue Funds - Other .....	+2,000,000		
Appropriated 1999-00 .....	<u>\$3,299,895,100</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration and Executive Direction			
General Fund .....	\$15,809,900	\$18,015,500	+\$2,205,600
Special Revenue Funds - Federal .....	15,666,400	14,464,000	-1,202,400
Special Revenue Funds - Other .....	21,929,700	23,339,600	+1,409,900
AIDS Institute			
General Fund .....	15,509,900	15,873,200	+363,300
Special Revenue Funds - Federal .....	200,000	.....	-200,000
Special Revenue Funds - Other .....	1,967,600	1,972,300	+4,700
Child Health Insurance			
Special Revenue Funds - Federal .....	13,000,000	13,400,000	+400,000
Special Revenue Funds - Other .....	7,000,000	11,000,000	+4,000,000
Community Health			
General Fund .....	7,475,900	9,045,900	+1,570,000
Special Revenue Funds - Federal .....	87,366,100	94,466,900	+7,100,800
Special Revenue Funds - Other .....	3,593,800	5,593,900	+2,000,100
Office of Continuing Care			
General Fund .....	20,041,300	20,096,000	+54,700
Special Revenue Funds - Federal .....	12,778,000	12,778,000	.....
Special Revenue Funds - Other .....	3,567,100	3,618,000	+50,900
Fiduciary Funds .....	400,000	400,000	.....
Elderly Pharmaceutical Insurance Coverage			
General Fund .....	5,864,500	6,719,000	+854,500
Environmental Health			
General Fund .....	8,335,600	7,736,200	-599,400
Special Revenue Funds - Federal .....	12,755,500	12,909,300	+153,800
Special Revenue Funds - Other .....	13,247,600	15,363,700	+2,116,100
Health Care Financing			
General Fund .....	5,681,600	5,476,700	-204,900
Special Revenue Funds - Other .....	5,094,700	5,440,000	+345,300
Health Care Standards and Surveillance			
General Fund .....	22,668,100	22,460,300	-207,800
Special Revenue Funds - Federal .....	622,000	.....	-622,000
Special Revenue Funds - Other .....	37,231,300	40,407,300	+3,176,000
Institution Management			
General Fund .....	100,000	.....	-100,000
Special Revenue Funds - Other .....	195,460,800	106,055,200	-89,405,600
Enterprise Funds .....	10,000	10,000	.....
Fiduciary Funds .....	325,000	325,000	.....
Laboratories and Research			
General Fund .....	27,420,100	33,200,100	+5,780,000
Special Revenue Funds - Federal .....	7,599,600	7,962,200	+362,600
Special Revenue Funds - Other .....	27,796,000	27,795,400	-600
Fiduciary Funds .....	2,000,000	2,000,000	.....
Maintenance Undistributed			
General Fund .....	-91,648,900	-78,338,000	+13,310,900
Special Revenue Funds - Other .....	89,148,900	78,338,000	-10,810,900
Managed Care			
General Fund .....	13,058,000	13,241,000	+183,000
Special Revenue Funds - Other .....	709,000	.....	-709,000
Medicaid Audit and Fraud Prevention			
General Fund .....	14,809,000	17,073,300	+2,264,300
Special Revenue Funds - Federal .....	27,176,000	34,563,500	+7,387,500
Special Revenue Funds - Other .....	14,500,000	14,500,000	.....
Office of Medicaid Management			
Special Revenue Funds - Federal .....	2,528,131,000	3,007,350,700	+479,219,700
Special Revenue Funds - Other .....	1,350,000	7,500,000	+6,150,000
Medical Assistance			
General Fund .....	41,111,000	44,550,600	+3,439,600
Medicaid Management Information System			
General Fund .....	36,880,000	53,676,000	+16,796,000
Special Revenue Funds - Federal .....	24,153,000	67,511,000	+43,358,000
<b>Total .....</b>	<b>\$3,297,895,100</b>	<b>\$3,797,889,800</b>	<b>+\$499,994,700</b>

# HEALTH

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration and Executive						
Direction .....	\$7,650,300	-\$1,994,400	\$7,422,300	-\$1,994,400	\$125,000	....
AIDS Institute .....	9,661,400	+845,600	9,646,400	+845,600	....	....
Community Health .....	4,043,000	+543,000	3,964,200	+543,000	60,000	....
Office of Continuing Care .....	18,796,000	+53,300	18,796,000	+53,300	....	....
Elderly Pharmaceutical Insurance						
Coverage .....	1,017,000	-22,300	1,016,000	-22,300	....	....
Environmental Health .....	5,800,000	-599,400	5,603,200	-599,400	186,300	....
Health Care Financing .....	4,608,400	-204,900	4,576,400	-204,900	....	....
Health Care Standards and						
Surveillance .....	14,313,600	-207,800	14,143,600	-278,700	20,000	....
Laboratories and Research .....	19,550,000	+750,000	19,228,500	+750,000	64,200	....
Managed Care .....	8,565,000	+183,000	8,565,000	+183,000	....	....
Medicaid Audit and Fraud Prevention .....	12,389,700	+116,700	12,292,700	+100,500	48,500	....
Medical Assistance .....	20,859,200	-308,800	20,639,200	-308,800	70,000	....
Total .....	<u>\$127,253,600</u>	<u>-\$846,000</u>	<u>\$125,893,500</u>	<u>-\$933,100</u>	<u>\$574,000</u>	<u>....</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration and Executive		
Direction .....	\$103,000	....
AIDS Institute .....	15,000	....
Community Health .....	18,800	....
Elderly Pharmaceutical Insurance		
Coverage .....	1,000	....
Environmental Health .....	10,500	....
Health Care Financing .....	32,000	....
Health Care Standards and		
Surveillance .....	150,000	+\$70,900
Laboratories and Research .....	257,300	....
Medicaid Audit and Fraud Prevention .....	48,500	+16,200
Medical Assistance .....	150,000	....
Total .....	<u>\$786,100</u>	<u>+\$87,100</u>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration and Executive				
Direction .....	\$10,365,200	+\$4,200,000	\$740,000	.....
AIDS Institute .....	6,211,800	-482,300	1,500,900	+\$26,900
Community Health .....	5,002,900	+1,027,000	1,119,800	+800,000
Office of Continuing Care .....	1,300,000	+1,400	108,200	+1,400
Elderly Pharmaceutical				
Insurance Coverage .....	5,702,000	+876,800	18,600	.....
Environmental Health .....	1,936,200	.....	133,600	.....
Health Care Financing .....	868,300	.....	12,200	.....
Health Care Standards and				
Surveillance .....	8,146,700	.....	41,400	.....
Institution Management .....	.....	-100,000	.....	.....
Laboratories and Research .....	13,650,100	+5,030,000	3,147,700	+30,000
Managed Care .....	4,676,000	.....	122,100	.....
Medicaid Audit and Fraud				
Prevention .....	4,683,600	+2,147,600	85,300	.....
Medical Assistance .....	23,691,400	+3,748,400	91,320	.....
Medicaid Management Information				
System .....	53,676,000	+16,796,000	.....	.....
<b>Total .....</b>	<b>\$139,910,200</b>	<b>+\$33,244,900</b>	<b>\$7,121,120</b>	<b>+\$858,300</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration and Executive				
Direction .....	\$262,200	.....	\$5,112,000	.....
AIDS Institute .....	310,500	+\$53,900	3,709,500	.....
Community Health .....	166,500	+27,000	3,678,200	+\$200,000
Office of Continuing Care .....	766,900	.....	377,400	.....
Elderly Pharmaceutical				
Insurance Coverage .....	9,700	.....	5,599,800	+876,800
Environmental Health .....	374,400	.....	1,322,600	.....
Health Care Financing .....	38,400	.....	804,000	.....
Health Care Standards and				
Surveillance .....	380,400	.....	6,765,800	.....
Institution Management .....	.....	.....	.....	-100,000
Laboratories and Research .....	76,000	.....	5,071,900	.....
Managed Care .....	292,000	.....	3,861,400	.....
Medicaid Audit and Fraud				
Prevention .....	180,000	.....	2,642,800	+1,547,600
Medical Assistance .....	320,800	.....	3,759,480	+162,400
Medicaid Management Information				
System .....	.....	.....	53,676,000	+16,796,000
<b>Total .....</b>	<b>\$3,177,800</b>	<b>+\$80,900</b>	<b>\$96,380,880</b>	<b>+\$19,482,800</b>

# HEALTH

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration and Executive				
Direction .....	\$51,000	....	....	....
AIDS Institute .....	240,900	+\$26,900	....	....
Community Health .....	38,400	....	....	....
Office of Continuing Care .....	47,500	....	....	....
Elderly Pharmaceutical				
Insurance Coverage .....	3,500	....	....	....
Environmental Health .....	105,600	....	....	....
Health Care Financing .....	13,700	....	....	....
Health Care Standards and				
Surveillance .....	147,400	....	\$811,700	....
Laboratories and Research .....	354,500	....	....	....
Managed Care .....	400,500	....	....	....
Medicaid Audit and Fraud				
Prevention .....	626,500	+600,000	....	....
Medical Assistance .....	68,800	....	....	....
<b>Total .....</b>	<b>\$2,098,300</b>	<b>+\$626,900</b>	<b>\$811,700</b>	<b>....</b>

Program	Maintenance Undistributed	
	Amount	Change
Administration and Executive		
Direction .....	\$4,200,000	+\$4,200,000
AIDS Institute .....	450,000	-590,000
Elderly Pharmaceutical		
Insurance Coverage .....	70,400	....
Laboratories and Research .....	5,000,000	+5,000,000
Medicaid Audit and Fraud		
Prevention .....	1,149,000	....
Medical Assistance .....	19,451,000	+3,586,000
<b>Total .....</b>	<b>\$30,320,400</b>	<b>+\$12,196,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration and Executive				
Direction .....	\$37,803,600	+\$207,500	\$13,078,900	+\$1,159,400
AIDS Institute .....	1,972,300	-195,300	764,300	.....
Child Health Insurance .....	24,400,000	+4,400,000	2,200,000	+26,000
Community Health .....	100,060,800	+9,100,900	25,000	.....
Office of Continuing Care .....	16,796,000	+50,900	124,300	+2,500
Environmental Health .....	28,273,000	+2,269,900	4,131,300	+931,100
Health Care Financing .....	5,440,000	+345,300	2,968,500	-106,600
Health Care Standards and Surveillance .....	40,407,300	+2,554,000	11,842,900	+140,600
Institution Management .....	103,890,200	-91,905,600	.....	.....
Laboratories and Research .....	37,757,600	+362,000	8,441,600	-31,800
Managed Care .....	.....	-709,000	.....	-120,000
Medicaid Audit and Fraud Prevention .....	49,063,500	+7,387,500	.....	.....
Office of Medicaid Management ..	3,014,850,700	+485,369,700	.....	.....
Medicaid Management Information System .....	67,511,000	+43,358,000	.....	.....
Total .....	<u>\$3,528,226,000</u>	<u>+\$462,595,800</u>	<u>\$43,576,800</u>	<u>+\$2,001,200</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Executive				
Direction .....	\$10,260,700	+\$250,500	\$14,464,000	-\$1,202,400
AIDS Institute .....	1,208,000	+4,700	.....	-200,000
Child Health Insurance .....	8,800,000	+3,974,000	13,400,000	+400,000
Community Health .....	115,500	+100	99,920,300	+9,100,800
Office of Continuing Care .....	3,493,700	+48,400	13,178,000	.....
Environmental Health .....	9,052,400	+1,030,000	15,089,300	+308,800
Health Care Financing .....	1,971,500	-48,100	500,000	+500,000
Health Care Standards and Surveillance .....	11,005,200	+788,700	17,559,200	+1,624,700
Institution Management .....	.....	.....	103,890,200	-91,905,600
Laboratories and Research .....	10,853,800	+31,200	18,462,200	+362,600
Managed Care .....	.....	-89,000	.....	-500,000
Medicaid Audit and Fraud Prevention .....	10,000,000	.....	39,063,500	+7,387,500
Office of Medicaid Management ..	.....	.....	3,014,850,700	+485,369,700
Medicaid Management Information System .....	.....	.....	67,511,000	+43,358,000
Total .....	<u>\$66,760,800</u>	<u>+\$5,990,500</u>	<u>\$3,417,888,400</u>	<u>+\$454,604,100</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$6,229,488,872	\$6,207,671,600	-\$21,817,272
Special Revenue Funds - Federal .....	15,631,996,500	16,559,293,500	+927,297,000
Special Revenue Funds - Other .....	1,100,268,500	1,671,581,100	+571,312,600
Fiduciary Funds .....	500,000,000	650,000,000	+150,000,000
Total .....	<u>\$23,461,753,872</u>	<u>\$25,088,546,200</u>	<u>+\$1,626,792,328</u>
Adjustments:			
Prior Year Deficiency			
Health, Department of General Fund .....		+76,600,000	
Appropriated 1999-00 .....	<u>\$23,538,353,872</u>		



**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration and Executive Direction			
General Fund .....	\$869,300	\$869,300	....
AIDS Institute			
General Fund .....	77,317,200	53,655,700	-\$23,661,500
Special Revenue Funds - Other .....	10,933,500	34,595,000	+23,661,500
Child Health Insurance			
Special Revenue Funds - Federal .....	243,000,000	291,600,000	+48,600,000
Special Revenue Funds - Other .....	200,000,000	240,000,000	+40,000,000
Community Health			
General Fund .....	379,116,100	373,186,500	-5,929,600
Special Revenue Funds - Federal .....	561,603,300	584,097,900	+22,494,600
Special Revenue Funds - Other .....	18,647,000	36,578,100	+17,931,100
Office of Continuing Care			
General Fund .....	6,269,000	7,342,200	+1,073,200
Elderly Pharmaceutical Insurance Coverage			
General Fund .....	117,600,000	....	-117,600,000
Special Revenue Funds - Other .....	37,100,000	195,400,000	+158,300,000
Environmental Health			
Special Revenue Funds - Federal .....	2,487,400	2,810,800	+323,400
Special Revenue Funds - Other .....	200,000	4,720,000	+4,520,000
Health Care Standards and Surveillance			
General Fund .....	9,184,900	9,184,900	....
Laboratories and Research			
General Fund .....	1,071,000	1,071,000	....
Special Revenue Funds - Federal .....	2,059,800	2,134,800	+75,000
Maintenance Undistributed			
General Fund .....	-7,288,000	-7,288,000	....
Special Revenue Funds - Other .....	7,288,000	7,288,000	....
Medical Assistance			
General Fund .....	5,544,100,000	5,681,900,000	+137,800,000
Special Revenue Funds - Federal .....	14,500,000,000	15,300,000,000	+800,000,000
Special Revenue Funds - Other .....	826,100,000	1,153,000,000	+326,900,000
Fiduciary Funds .....	500,000,000	650,000,000	+150,000,000
Medical Assistance Administration			
General Fund .....	79,650,000	87,750,000	+8,100,000
Special Revenue Funds - Federal .....	322,846,000	378,650,000	+55,804,000
Community Projects			
General Fund .....	21,599,372	....	-21,599,372
<b>Total .....</b>	<b>\$23,461,753,872</b>	<b>\$25,088,546,200</b>	<b>+\$1,626,792,328</b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Design and Construction Supervision				
Capital Projects Fund .....	.....	.....	.....	\$2,340,000
Rehabilitation And Improvements				
Capital Projects Fund .....	.....	.....	.....	4,579,000
St. Albans Rehabilitation & Improvement .....	\$200,000	.....	-\$200,000	200,000
Oxford Rehabilitation & Improvement .....	1,000,000	.....	-1,000,000	1,000,000
Helen Hayes Rehabilitation & Improvement .....	9,700,000	.....	-9,700,000	9,700,000
Batavia Rehabilitation & Improvement .....	500,000	.....	-500,000	500,000
Laboratories and Research				
Capital Projects Fund .....	3,700,000	\$4,000,000	+300,000	6,385,000
Maintenance and Improvements of Existing Institutions				
Capital Projects Fund .....	.....	7,600,000	+7,600,000	8,526,000
New Institution Construction				
Capital Projects Fund - Advances .....	.....	.....	.....	26,500,000
Department of Health Facilities Capital Improvemnt Fund .....	.....	.....	.....	19,265,000
Water Resources				
Federal Capital Projects Fund .....	33,777,000	48,477,000	+14,700,000	126,844,000
Safe Drinking Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable) .....	50,000,000	60,000,000	+10,000,000	.....
<b>Total .....</b>	<b><u>\$98,877,000</u></b>	<b><u>\$120,077,000</u></b>	<b><u>+\$21,200,000</u></b>	<b><u>\$205,839,000</u></b>



# DIVISION OF HUMAN RIGHTS

## MISSION

New York State holds the proud distinction of being the first state to enact a Human Rights Law, affording every citizen an equal opportunity to enjoy a full and productive life. Discriminating against others on the grounds of their race, creed, color, sex, age, national origin, disability, genetic predisposition and carrier status, or other specified classes is illegal in the State of New York.

The New York State Division of Human Rights serves as the administrative arm of the Law, with its primary mission being the enforcement and protection of human rights. Programs of the Division of Human Rights focus on ensuring equal opportunity in employment, housing, public accommodation, education and credit. The Division:

- Investigates and resolves complaints of illegal discrimination; and
- Promotes human rights awareness through education and acts as a resource in the prevention and elimination of discrimination.

## ORGANIZATION AND STAFFING

Under the direction of the Commissioner, the Division operates from its main office in New York City and from nine regional offices (Albany, Binghamton, Buffalo, Rochester, Brooklyn, Long Island, Lower Manhattan, Upper Manhattan and White Plains) and two satellite offices (Long Island and Syracuse).

## BUDGET AND PROGRAM HIGHLIGHTS

In the last four years, the Division has made solid progress toward reducing its backlog of cases. Open cases totaled 10,796 at the close of the 1998-99 fiscal year, down from 16,880 when the new administration took over on January 1, 1995. Processing both new and backlog cases remains a priority of the agency, particularly as more inclusive case intake procedures have added to the caseload.

The State continues to work vigorously to reduce the backlog and meet reasonable standards for timely case processing. To assist in the achievement of this goal, the 2000-01 Executive Budget recommends a total budget of \$14.2 million which will continue agency operations and allow implementation of management improvements. This includes funding to upgrade the Division's information technology systems and preserve necessary staff threatened by reductions in Federal funding.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$12,758,000	\$14,186,000	+\$1,428,000	\$2,300,000
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	\$12,758,000	\$14,186,000	+\$1,428,000	\$2,300,000

# HUMAN RIGHTS

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund	43	44	....	44	+1
Legal Enforcement					
General Fund	15	15	....	15	....
Regional Affairs					
General Fund	86	86	....	86	....
Special Revenue Funds - Federal	44	....	44	44	....
Subtotal, Direct Funded Programs	188	145	44	189	+1
Suballocations:					
General Fund	2			2	....
Total	190			191	+1

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$9,848,000	\$11,296,000	+\$1,448,000
Special Revenue Funds - Federal	2,740,000	2,800,000	+60,000
Special Revenue Funds - Other	120,000	70,000	-50,000
Fiduciary Funds	50,000	20,000	-30,000
Total	\$12,758,000	\$14,186,000	+\$1,428,000

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund	\$4,034,000	\$5,095,000	+\$1,061,000
Special Revenue Funds - Other	120,000	70,000	-50,000
Fiduciary Funds	50,000	20,000	-30,000
Legal Enforcement			
General Fund	1,165,000	1,164,000	-1,000
Regional Affairs			
General Fund	4,649,000	5,037,000	+388,000
Special Revenue Funds - Federal	2,740,000	2,800,000	+60,000
Total	\$12,758,000	\$14,186,000	+\$1,428,000

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$2,504,000	+\$112,000	\$2,280,000	+\$110,000	\$222,000	+\$2,000
Legal Enforcement .....	1,071,000	-9,000	1,070,000	-9,000	.....	.....
Regional Affairs .....	4,592,000	+348,000	4,590,000	+348,000	.....	.....
<b>Total .....</b>	<b>\$8,167,000</b>	<b>+\$451,000</b>	<b>\$7,940,000</b>	<b>+\$449,000</b>	<b>\$222,000</b>	<b>+\$2,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$2,000	.....
Legal Enforcement .....	1,000	.....
Regional Affairs .....	2,000	.....
<b>Total .....</b>	<b>\$5,000</b>	<b>.....</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$2,591,000	+\$949,000	\$9,000	+\$1,000
Legal Enforcement .....	93,000	+8,000	7,000	+1,000
Regional Affairs .....	445,000	+40,000	11,000	+1,000
<b>Total .....</b>	<b>\$3,129,000</b>	<b>+\$997,000</b>	<b>\$27,000</b>	<b>+\$3,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$31,000	+\$1,000	\$2,518,000	+\$946,000
Legal Enforcement .....	28,000	+2,000	52,000	+4,000
Regional Affairs .....	29,000	+1,000	346,000	+36,000
<b>Total .....</b>	<b>\$88,000</b>	<b>+\$4,000</b>	<b>\$2,916,000</b>	<b>+\$986,000</b>

Program	Equipment	
	Amount	Change
Administration .....	\$33,000	+\$1,000
Legal Enforcement .....	6,000	+1,000
Regional Affairs .....	59,000	+2,000
<b>Total .....</b>	<b>\$98,000</b>	<b>+\$4,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$90,000	-\$80,000	\$90,000	-\$80,000
Regional Affairs .....	2,800,000	+60,000	2,800,000	+60,000
<b>Total .....</b>	<b>\$2,890,000</b>	<b>-\$20,000</b>	<b>\$2,890,000</b>	<b>-\$20,000</b>



# **INTEREST ON LAWYER ACCOUNT**

## **MISSION**

The Interest on Lawyer Account (IOLA) was established in 1983 to finance civil legal services for the poor. Revenues are derived from the interest earned on small trust accounts which attorneys hold for their clients. Banks transfer the interest earned on these accounts to IOLA to fund grants to not-for-profit, tax-exempt entities providing civil legal services to the poor, elderly and disabled. Legislation enacted in 1988 made participation in IOLA mandatory for attorneys in private practice who hold nominal short-term escrow accounts for clients.

## **ORGANIZATION AND STAFFING**

A 15-member board of trustees appointed by the Governor administers IOLA. Board members serve without compensation. Day-to-day operations are handled by a workforce of seven located in New York City.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommendations enable a grant level of up to \$15 million in each of calendar years 2000 and 2001, the specific amount being dependent upon actual revenue generated. Grant levels have been rising as a result of ongoing revenue maximization efforts including initiatives to reduce administrative costs at participating banks. Approximately \$3 million of the anticipated annual grants are contingent upon these initiatives to increase interest earnings.

## **PROGRAM HIGHLIGHTS**

At least 75 percent of the grant funds distributed by IOLA must be used to deliver civil legal services to the poor. The balance must be allocated to purposes related to the improvement of the administration of justice, including the provision of civil legal services to under served groups such as the elderly and disabled. In 2000, IOLA will award grants to an estimated 120 organizations.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$1,119,900	\$1,158,000	+\$38,100	....
Aid To Localities .....	14,950,000	14,950,000	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$16,069,900</u>	<u>\$16,108,000</u>	<u>+\$38,100</u>	<u>....</u>



# **INTEREST ON LAWYER ACCOUNT**

## **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

2000-01 Recommended Average Fill Level

<u>Program</u>	<u>Available 1999-00</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 2000-01</u>	<u>Change</u>
New York Interest on Lawyer Account Expendable Trust Funds .....	<u>7</u>	<u>7</u>	<u>....</u>	<u>7</u>	<u>....</u>
Total .....	<u><u>7</u></u>	<u><u>7</u></u>	<u><u>....</u></u>	<u><u>7</u></u>	<u><u>....</u></u>

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Fiduciary Funds .....	<u>\$1,119,900</u>	<u>\$1,158,000</u>	<u>+\$38,100</u>
Total .....	<u><u>\$1,119,900</u></u>	<u><u>\$1,158,000</u></u>	<u><u>+\$38,100</u></u>

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
New York Interest on Lawyer Account Expendable Trust Funds .....	<u>\$1,119,900</u>	<u>\$1,158,000</u>	<u>+\$38,100</u>
Total .....	<u><u>\$1,119,900</u></u>	<u><u>\$1,158,000</u></u>	<u><u>+\$38,100</u></u>

## **STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Personal Service Amount</u>	<u>Change</u>
New York Interest on Lawyer Account .....	<u>\$1,158,000</u>	<u>+\$38,100</u>	<u>\$484,600</u>	<u>+\$10,700</u>
Total .....	<u><u>\$1,158,000</u></u>	<u><u>+\$38,100</u></u>	<u><u>\$484,600</u></u>	<u><u>+\$10,700</u></u>

<u>Program</u>	<u>Nonpersonal Service Amount</u>	<u>Change</u>
New York Interest on Lawyer Account .....	<u>\$673,400</u>	<u>+\$27,400</u>
Total .....	<u><u>\$673,400</u></u>	<u><u>+\$27,400</u></u>

## **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Fiduciary Funds .....	<u>\$14,950,000</u>	<u>\$14,950,000</u>	<u>....</u>
Total .....	<u><u>\$14,950,000</u></u>	<u><u>\$14,950,000</u></u>	<u><u>....</u></u>

# ***INTEREST ON LAWYER ACCOUNT***

---

## **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
New York Interest on Lawyer Account			
Expendable Trust Funds .....	\$14,950,000	\$14,950,000	.....
Total .....	<u>\$14,950,000</u>	<u>\$14,950,000</u>	<u>.....</u>

***INTEREST ON LAWYER ACCOUNT***

---

# TEMPORARY STATE COMMISSION OF INVESTIGATION

## MISSION

The Temporary State Commission of Investigation serves as a bipartisan fact-finding agency investigating and reporting on organized crime and racketeering, the conduct of public officers, and other matters affecting public peace, safety and justice.

## ORGANIZATION AND STAFFING

The Commission has six salaried members, two each appointed by the Governor, the Temporary President of the Senate and the Speaker of the Assembly. In addition to the 6 commissioners, there will be 28 staff positions at the Commission, which has its main office in New York City.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2000-01 a total of \$2.8 million in State tax dollars and \$200,000 in anticipated asset forfeitures will support the expenses of the Commission.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,549,500	\$2,999,000	+\$449,500	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$2,549,500</u>	<u>\$2,999,000</u>	<u>+\$449,500</u>	<u>....</u>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Investigation General Fund .....	34	34	....	34	....
Total .....	<u>34</u>	<u>34</u>	<u>....</u>	<u>34</u>	<u>....</u>

# INVESTIGATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$2,349,500	\$2,799,000	+\$449,500
Special Revenue Funds - Other .....	200,000	200,000	.....
<b>Total .....</b>	<b>\$2,549,500</b>	<b>\$2,999,000</b>	<b>+\$449,500</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Investigation			
General Fund .....	\$2,349,500	\$2,799,000	+\$449,500
Special Revenue Funds - Other .....	200,000	200,000	.....
<b>Total .....</b>	<b>\$2,549,500</b>	<b>\$2,999,000</b>	<b>+\$449,500</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>		<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Investigation .....	\$2,047,100	-\$79,500	\$2,015,700	-\$79,500	\$31,400	.....
<b>Total .....</b>	<b>\$2,047,100</b>	<b>-\$79,500</b>	<b>\$2,015,700</b>	<b>-\$79,500</b>	<b>\$31,400</b>	<b>.....</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Investigation .....	\$751,900	+\$529,000	\$36,300	.....
<b>Total .....</b>	<b>\$751,900</b>	<b>+\$529,000</b>	<b>\$36,300</b>	<b>.....</b>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Investigation .....	\$55,800	.....	\$629,800	+\$529,000
<b>Total .....</b>	<b>\$55,800</b>	<b>.....</b>	<b>\$629,800</b>	<b>+\$529,000</b>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Investigation .....	\$30,000	.....
<b>Total .....</b>	<b>\$30,000</b>	<b>.....</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u> <u>Amount</u>	<u>Change</u>	<u>Nonpersonal Service</u> <u>Amount</u>	<u>Change</u>
Investigation .....	\$200,000	....	\$200,000	....
Total .....	\$200,000	....	\$200,000	....



# **JUDICIAL COMMISSIONS**

## **MISSION**

New York State's three Judicial Commissions play important roles in maintaining the integrity of the court system. The Commission on Judicial Nomination and the Judicial Screening Committees screen potential nominees for high-level judicial appointments by the Governor. The Commission on Judicial Conduct investigates and acts upon allegations of judicial misconduct.

## **COMMISSION ON JUDICIAL CONDUCT**

The State Constitution established the Commission on Judicial Conduct, which is responsible for investigating complaints of misconduct against State judges and local justices. The Commission has disciplinary powers which include the authority to remove judges and justices from office for serious misconduct, subject to review by the Court of Appeals.

The Commission on Judicial Conduct has 11 members, four of whom are appointed by the Governor, three by the Chief Judge of the Court of Appeals and the remaining four by the Legislature. Commission members serve without pay and meet periodically to consider complaints, hear testimony and determine the disposition of cases. The Commission will have 26 staff in fiscal year 2000-01. Its main office is in New York City, with branches in Albany and Rochester. Its budget of \$1.9 million is supported entirely by State tax dollars from the General Fund.

## **COMMISSION ON JUDICIAL NOMINATION**

The State Constitution established the Commission on Judicial Nomination to evaluate candidates and make recommendations to the Governor for appointment to the Court of Appeals, the State's highest court. One vacancy is anticipated during 2000-01.

The Commission on Judicial Nomination has 12 members appointed by the Governor, the Chief Judge of the Court of Appeals and the Legislature. These members serve without pay and conduct the search for qualified candidates upon formal notification of a vacancy on the Court of Appeals. They are supported by volunteer legal staff also serving without pay.

## **GOVERNOR'S JUDICIAL SCREENING COMMITTEES**

The Governor's Judicial Screening Committees are established by Executive Order to evaluate the qualifications of candidates and make recommendations to the Governor for appointment to judgeships other than those on the Court of Appeals. The Committees are located throughout the State. In fiscal year 2000-01, a total of \$150,000 in State tax dollars will support the Committees.



# JUDICIAL COMMISSIONS

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,107,500	\$2,091,800	-\$15,700	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$2,107,500</b>	<b>\$2,091,800</b>	<b>-\$15,700</b>	<b>....</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Judicial Conduct General Fund .....	26	26	....	26	....
<b>Total .....</b>	<b>26</b>	<b>26</b>	<b>....</b>	<b>26</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$2,107,500	\$2,091,800	-\$15,700
<b>Total .....</b>	<b>\$2,107,500</b>	<b>\$2,091,800</b>	<b>-\$15,700</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Judicial Conduct General Fund .....	\$1,947,500	\$1,911,800	-\$35,700
Judicial Nomination, Commission on General Fund .....	10,000	30,000	+20,000
Judicial Screening Committees General Fund .....	150,000	150,000	....
<b>Total .....</b>	<b>\$2,107,500</b>	<b>\$2,091,800</b>	<b>-\$15,700</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Judicial Conduct .....	\$1,522,400	-\$35,700	\$1,504,700	-\$35,700	\$17,700	....
Judicial Nomination, Commission on .....	....	....	....	....	....	....
Judicial Screening Committees .....	....	....	....	....	....	....
<b>Total .....</b>	<b>\$1,522,400</b>	<b>-\$35,700</b>	<b>\$1,504,700</b>	<b>-\$35,700</b>	<b>\$17,700</b>	<b>....</b>

# JUDICIAL COMMISSIONS

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Judicial Conduct .....	\$389,400	....	\$29,600	....
Judicial Nomination, Commission on .....	30,000 +\$20,000	....	....	....
Judicial Screening Committees ...	150,000	....	....	....
Total .....	\$569,400	+\$20,000	\$29,600	....

<u>Program</u>	Travel		Contractual Services	
	Amount	Change	Amount	Change
Judicial Conduct .....	\$29,600	....	\$317,300	....
Judicial Nomination, Commission on .....	....	....	....	....
Judicial Screening Committees ...	....	....	....	....
Total .....	\$29,600	....	\$317,300	....

<u>Program</u>	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Judicial Conduct .....	\$12,900	....	....	....
Judicial Nomination, Commission on .....	....	\$30,000	+\$20,000	....
Judicial Screening Committees ...	....	....	150,000	....
Total .....	\$12,900	....	\$180,000	+\$20,000



# ***DEPARTMENT OF JUSTICE***

## ***MISSION***

The Department of Justice reflects the consolidation of New York's eight criminal justice agencies into a single organization. The Department of Correctional Services, the Crime Victims Board, the Division of Criminal Justice Services, the Office for the Prevention of Domestic Violence, the Division of Parole, the Division of Probation and Correctional Alternatives, the State Commission of Correction, and the Division of State Police are being combined to establish one department under the direction of the State's Criminal Justice Director. While to a great degree the new organizational structure and reporting relationships simply mirror the current ones, formal consolidation will improve coordination of criminal justice policies and activities, as well as provide for more efficient and cost-effective management and operation.

The primary benefits of a Department of Justice include:

- Consolidation of criminal justice technology, such as DNA analysis, crime mapping, and the Statewide Public Safety Communication System, which will enhance law enforcement response capability, increase the accuracy of criminal justice data, and improve communication among State and local public protection agencies.
- Improved service to local government agencies through the creation of a central point of contact for dealing with grant management, technical assistance, and training.
- Operating savings as a result of program realignment, reduction of redundant administrative services, and other efficiencies.

Within the Department of Justice, the core criminal justice functions will continue without change. The operations of the corrections system and State Police enforcement activities, for example, will remain the responsibility of the existing agency heads, reporting to the Director of the new Department. The functions of other agencies such as the former Division of Criminal Justice Services and the Division of Probation and Correctional Alternatives will be realigned within the new Department of Justice program structure.

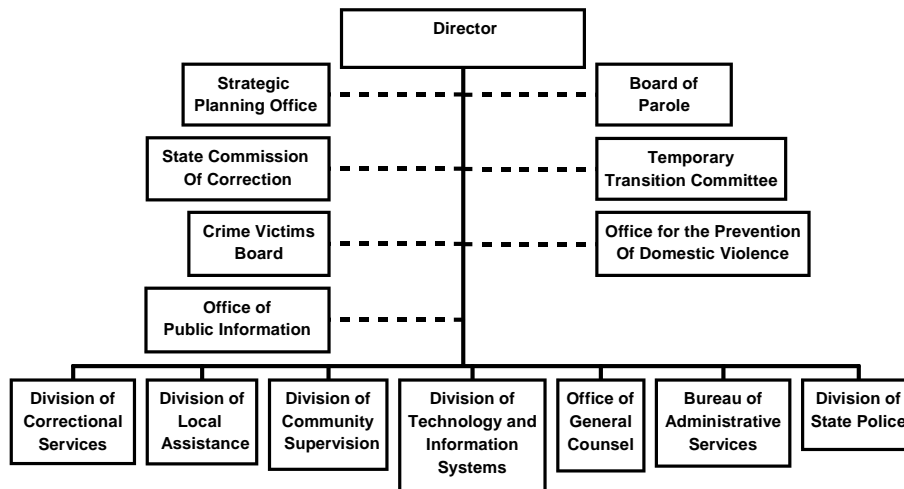
## ***ORGANIZATION AND STAFFING***

The Department of Justice is to be headed by a Director, appointed by the Governor, who oversees policy development and operations for all State criminal justice programs. The Department will direct criminal justice policy and operations from a central office located in the Capital District. All existing field offices and facilities of the former criminal justice agencies will continue in operation at their current location.

The Department is made up of six operating programs: Administrative Services, Community Supervision, Local Assistance, Technology and Information Systems, Correctional Services, and State Police. In addition, the Board of Parole, the Crime Victims Board, the Executive Director of the Office of Prevention of Domestic Violence, and the State Commission of Correction will report directly to the Director of the Department of Justice.

In total, the Department of Justice will employ a workforce of 40,804 in 2000-01. Approximately 94 percent of these positions will be supported by State tax dollars and the remaining 6 percent will be supported by Federal funds and various State revenue sources.

**DEPARTMENT OF JUSTICE**



***BUREAU OF ADMINISTRATIVE SERVICES***

Administrative staff formulate and oversee agency policy and provide operational support to correctional facilities, regional Parole offices, State Police Troops, and all other activities of the Department across the State. The responsibilities of this Bureau will include labor relations, personnel and financial transactions, fleet management, and the Department's legal affairs. The Bureau also includes the capital projects unit, which manages construction projects, addresses critical physical plant maintenance and oversees rehabilitation projects. The Bureau will have a workforce of 442 in 2000-01.

***DIVISION OF COMMUNITY SUPERVISION***

The Division of Community Supervision will perform the functions of the former Divisions of Parole and Probation and Correctional Alternatives. The Division provides offenders who have been released from prison the opportunity to become productive, law-abiding members of the community while limiting risk to public safety. Parole Officers and other staff are assigned across the state in 70 correctional facilities and approximately 35 community-based supervision offices. The Division will continue to maintain oversight of county probation departments, and provide them with training and technical assistance. The Division will have a workforce of 2,253 in 2000-01.

***DIVISION OF CORRECTIONAL SERVICES***

The Division of Correctional Services, headed by a Commissioner appointed by the Governor, is responsible for the secure confinement of convicted felons and the preparation of these individuals for successful reintegration into the community upon release. The Division will employ a staff of 32,303 in 2000-01 to operate 70 facilities housing approximately 72,000 inmates. Each correctional facility is headed by a Superintendent and executive staff to oversee the daily operation of the nation's third largest state prison system.

**CRIME VICTIMS BOARD**

The Crime Victims Board, serving as the State's advocate for crime victims' rights, needs and interests, consists of five members, appointed by the Governor to seven-year terms. The Governor designates one member of the Board to be the Chair. The Board is the conduit through which the Department assists persons who have been the victims of crime, particularly crimes of a violent nature, providing assistance with financial losses victims suffer as a result of crime, and grants to local witness and victims assistance programs.

**DIVISION OF LOCAL ASSISTANCE**

The Division of Local Assistance contains the Office of Victim Assistance, the Office of State and Federal Grants Management, and the Criminal Justice Training Institute. The Office of Victim Assistance will fulfill those responsibilities of the Crime Victims Board relative to expeditious processing of compensation to crime victims for certain out-of-pocket expenses, and funding for local programs that assist crime victims. The Office will also fulfill the responsibilities of the former Office for the Prevention of Domestic Violence to promote social change through activities that develop leadership, resources and collaboration within communities to address domestic violence.

The Office of State and Federal Grants Management will continue the functions of the former Divisions of Criminal Justice Services and Probation and Correctional Alternatives to provide assistance and distribute State and Federal grants for local criminal justice initiatives. The Office will administer state aid for Prosecution, Defense, Law Enforcement, and funds to offset costs associated with District Attorney salaries, the operation of local forensic crime labs, and various community-based programs designed to reduce recidivism of offenders remanded to local supervision. The Division will have a workforce of 286 in 2000-01.

**OFFICE FOR THE PREVENTION OF DOMESTIC VIOLENCE**

The Governor has set an aggressive agenda to protect victims of domestic violence and conduct training for judges, prosecutors, police, attorneys, probation and parole personnel, social service professionals and health care providers related to victimization and the prevention of domestic violence. Activities addressing the prevention of domestic violence include State and local policy development projects, domestic violence prevention training programs for a wide range of professionals statewide, a statewide outreach project, and a pilot school-based education project.

**BOARD OF PAROLE**

The 19 members of the Board of Parole are appointed by the Governor and confirmed by the Senate for six-year terms with one member designated by the Governor to serve as the Board's Chair. The Board members review the cases of inmates eligible for parole and determine if and when the offender should be released to parole supervision. The Board Members establish the conditions the parolee must abide by in the community, and revoke parole in cases where parolees fail to maintain the conditions of their release.

**STATE COMMISSION OF CORRECTION**

The Commission is made up of three members appointed by the Governor, one of whom is designated chair. The other Commissioners respectively chair the Citizens Policy

## **JUSTICE**

---

and Complaint Review Council, which reviews grievances and complaints against correctional facilities, and the Medical Review Board, which investigates inmate deaths and oversees health care services.

### ***DIVISION OF STATE POLICE***

The Division of State Police, headed by a superintendent who is appointed by the Governor, promotes highway safety and protects our citizens from crime. The Division is organized into a Division Headquarters located in Albany and 11 Troops across the State. It is responsible for patrolling roads and highways outside major urban centers, and providing specialty and investigative police services throughout the State. The work of the State Police ranges from the traditional patrol duties to that of specially-trained investigators who conduct sophisticated operations against drug traffickers and other criminals. Also included in this Division is the Forensic Investigation Center which houses the DNA Databank Index and provides forensic analysis to members of the State Police and to local agencies investigating homicides, sexual assaults and other crimes. The Division will have a workforce of 4,518 in 2000-01.

### ***DIVISION OF TECHNOLOGY AND INFORMATION SYSTEMS***

The Division of Technology and Information Systems staff support the State's criminal justice data and records system that includes the Statewide Public Safety Communications System, Automated Fingerprint Identification System, Missing Children's Clearing House, Sex Offender Registry, a prison-based telecommunications network, classification movement systems that track and maintain documents for the State's inmate population, and information systems to conduct criminal justice research and analysis of statistical data. The Division is also responsible for providing technical support for the Department's entire computer network and operations. The Division will have a workforce of 955 in 2000-01.

### ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Department of Justice provides an opportunity to realign certain operating functions and allow a more cost efficient approach to managing criminal justice services. It is expected that these changes will generate \$10 million in savings in 2000-01 as a result of the elimination of redundant staff work.

### ***BUREAU OF ADMINISTRATIVE SERVICES***

The Bureau of Administrative Services provides executive direction and administrative support to the agency, as well as capital construction design and project management. The consolidation of administrative support functions of the former agencies allows for increased operational efficiencies through the elimination of duplicative work and personnel.

All funds appropriations for the Bureau will be \$37.2 million: \$35.6 million General Fund, \$624,300 Federal Funds, and \$1 million Special Revenue-Other Funds.

### ***Capital Projects***

Capital Projects funding will be administered in the Bureau of Administrative Services. The Department will receive \$402.7 million in new appropriations in 2000-01. Major recommendations for capital projects include:

- Correctional Facilities Capital Improvement Fund appropriations of \$400 million to ensure that all housing, medical buildings and support space remain functional, safe and secure. Funds are included to construct a new 750 cell maximum security prison by 2002.
- New appropriations of \$2.7 million will enable the Division of State Police to maintain Troop facilities and advance various projects related to health and safety.

### ***DIVISION OF COMMUNITY SUPERVISION***

State tax dollars and Federal funds will be available in 2000-01 to promote public safety by preparing inmates for release, supervising offenders in the community, and arranging for treatment services for parolees. The State Operations recommendations build on prior year initiatives designed to enhance the supervision of offenders by providing intensive parole officer caseloads for violent felony offenders, sex offenders, and for those parolees who complete the drug treatment program at the Willard Drug Treatment Campus.

Recommended funds support vocational training and substance abuse relapse prevention programs for parolees, and support initiatives designed to positively impact the parole revocation process, such as the High Impact Incarceration Program (HIIP) in New York City, a special arraignment part in New York City and a Monroe County Diversion Program. The Division will also continue oversight of county probation departments and provide them with training and technical assistance.

All funds appropriations for the Division of Community Supervision will be \$146.2 million: \$136.8 million General Fund, \$3.3 million Federal Funds, and \$6.1 million Special Revenue-Other Funds to provide supervision and rehabilitative programs for individuals involved in the criminal justice system.

### ***DIVISION OF CORRECTIONAL SERVICES***

Over the past five years, penalties for violent crime have increased significantly in New York State. Jenna's Law, enacted in August 1998, together with Truth-in-Sentencing legislation enacted in 1995, ensures that violent offenders will serve at least 85 percent of their sentence in prison. In addition, violent offenders have been barred from participation in work release programs, and sentences were lengthened for assault crimes. These initiatives, ensuring that violent offenders remain in prison for longer periods, are coupled with opportunities for treatment and rehabilitation in an effort to reduce recidivism once inmates are released back to the community.

The passage of legislation to assure that violent offenders serve longer prison terms has required expansion of secure housing. In addition to fully funding the operating costs of the eight 100 cell modular units opened in 1998, and for the 750 cell Upstate Correctional Facility opened in August 1999 in Franklin County, the Executive Budget recommendations support the operating costs for a 750 cell maximum security prison scheduled to open in Seneca County in the fall of 2000. The Executive Budget also includes new funding to build a third maximum security prison to be ready for use in 2002.

Funding increases related to new capacity are partially offset by increased efficiencies and program restructuring. Food service related efficiencies include lower food costs associated with expanding the number of inmates served by the Division's "cook chill" food production center, centralizing food purchasing, and increasing milk production and distribution from facility farms. Energy efficiencies will be achieved as the Division continues to aggressively pursue the lowest possible energy costs by closely monitoring electricity, oil, and natural gas markets and converting oil-burning boilers to natural gas. Work release program staffing is modified to match current work release populations without affecting programming.



- State tax dollars of \$1.65 billion finance 89 percent of the Division's State Operations Budget.
- Federal funds of \$61.6 million support 3.3 percent of the Division's State Operations Budget, including funds which offset the cost of housing illegal alien felons.
- The Division's Internal Service Fund appropriates \$82.6 million related to operation of the Correctional Industries program (Corcraft). This inmate vocational program gives individuals an opportunity to learn employment skills to improve their chance of successful reintegration to the community, while contributing to the production of commodities, as well as prison maintenance and rehabilitation projects. This appropriation supports the issuance of new license plates which is scheduled to commence in October 2000.

### **DIVISION OF LOCAL ASSISTANCE**

The Division of Local Assistance contains the Office of State and Federal Grants Management, the Office of Victims Assistance, and the Criminal Justice Training Institute. All funds appropriations for the Division will be \$402.4 million: \$251.6 million General Fund, \$125.9 million Federal Funds, and \$24.9 million from various State revenue sources.

The Office of State and Federal Grants Management will distribute a total of \$295.7 million in State, Federal, and Special Revenue supported grants to localities. Major grants which will be distributed by the Office are as follows:

- \$76.5 million Community Corrections block grant for probation services and alternatives to incarceration. Rather than receive separate awards for Probation Aid and specific initiatives such as the Intensive Supervision Program, localities will receive one State grant that may be used to fund the probation and alternative to incarceration programs appropriate for the community.
- \$61.7 million for various local criminal justice initiatives including: \$21.1 million in State Aid for Prosecution, \$13.8 million for State Aid for Defense, \$12 million in State Aid for Law Enforcement and soft body armor, \$5.3 million to offset the cost of operating local crime laboratories, \$3.2 million to offset the cost of District Attorney salaries, and \$3.5 million to fund anti-auto theft initiatives through the State Police and Motor Vehicle Law Enforcement Fund.
- \$104.6 million to allow the State to reimburse counties for housing parole violators and inmates awaiting transfer to State prison. In addition, the 2000-01 Budget funds contracts with localities to house non-violent offenders on a short term basis. This measure helps ease overcrowding in the Division of Correctional Services until planned new prison capacity is constructed.
- \$47.4 million in federal grants for various local criminal justice initiatives including: \$16.4 million in Byrne Anti-Drug Abuse, \$7.9 million for Violence Against Women Act, \$18.6 million in Juvenile Justice and Delinquency Prevention Programs, and \$2.0 million for Local Law Enforcement Block Grants.

The Office of Victim Assistance provides support for the victims of domestic violence and other violent crimes. The major recommendations include:

- Increasing the fines imposed on offenders, which have remained unchanged for nearly a decade, to provide an additional \$2.9 million to support improved services for victims.
- Approximately \$49.7 million in Federal aid and revenue from fines levied against offenders will be available to compensate victims for out of pocket costs related to crime and for grants to local programs assisting victims with treatment and other services.
- \$755,000 will be available in 2000-01 for domestic violence prevention activities to increase funding for the English and Spanish domestic violence statewide hotlines, continue support for five community-based education programs for

perpetrators of domestic violence, and implement a school-based domestic violence prevention program that will educate school aged children about building relationships based on equality and respect.

### ***DIVISION OF STATE POLICE***

Approximately \$254.2 million in State tax dollars support 80 percent of the Division of State Police's operations budget. The balance is financed by Federal funds and various State revenue sources, including seized assets, fees for accident reports and reimbursement from the New York State Thruway Authority for services rendered on the State Thruway. All funds appropriations for the Division will be \$317.9 million in 2000-01.

### ***DIVISION OF TECHNOLOGY AND INFORMATION SYSTEMS***

The Division of Technology and Information Systems supports the Department's criminal justice data and records systems, performs statistical research and policy analysis, and provides computer technical support for the agency. Funds for the Division will support activities including:

- Operation of the criminal history record information system.
- Technology improvements and enhancements for the Division of State Police including development of a Statewide Public Safety Communications System.
- The telecommunications network within the Division of Correctional Services which includes the Phone Home Program, facility operations and classification movement systems that track inmate population.
- Technology improvements to allow better supervision of parolees in the community. Additionally, the Budget continues to pilot teleconferencing for Parole Board hearings at Ogdensburg, Riverview, Franklin and Bare Hill Correctional Facilities from parole offices in Albany and New York City.

All funds appropriations for the Division of Technology and Information Systems will be \$85.5 million: \$57 million General Fund, \$2.3 million Federal Funds, and \$26.2 million from various State revenue sources.

### ***PROGRAM HIGHLIGHTS***

#### ***BUREAU OF ADMINISTRATIVE SERVICES***

Administrative staff formulate and oversee agency policy and provide operational support to the other Divisions within the Department. The responsibilities of this Bureau include personnel and financial transactions, labor relations, legal affairs, and capital project management. The Capital Projects Fund supports the completion of previously authorized maximum security capacity, provides resources to address critical physical plant maintenance and rehabilitation projects, and improves medical units.

#### ***DIVISION OF COMMUNITY SUPERVISION***

The Division closely monitors offenders in the community, and helps prevent parolees from reverting to a life of crime by contracting for various rehabilitative services such as substance abuse counseling, residential treatment, and employment training and programming.

The State parole system is focused on three major objectives: preparing inmates for parole, assisting the Board in making parole release determinations, and supervising parolees upon release. As a result of changes to the Penal Law by the Sentencing Reform Act of 1995 and Jenna's Law, violent felony offenders will be subject to determinate sentences and

not eligible for early parole release. Those offenders will, however, be subject to fixed periods of post-release supervision upon their release from prison, and monitored by Parole Officers. An inmate must have housing and employment prospects before being released from a State prison. Parole Officers attempt to obtain housing, employment and other services before an inmate appears before the Board. At the same time, parole staff assigned to prisons assess an inmate's readiness for release by reviewing his or her case history. The Officers also summarize an inmate's rehabilitation progress, family background, and housing and employment prospects for the Board's consideration.

When offenders are released from prison, they are assigned to a Parole Officer for the balance of their sentence. The supervising Parole Officer monitors behavior and helps the parolee locate and maintain employment.

The Division also monitors probation and alternative to incarceration services provided by local governments and not-for-profit organizations, promoting effective methods of supervision and treatment, and statewide uniform standards. To this end, the Division, in conjunction with staff from the Division of Local Assistance, evaluates the performance and outcomes of local programs.

### ***DIVISION OF CORRECTIONAL SERVICES***

The Division operates correctional facilities with varying security levels. Violent inmates who exhibit behavior problems while in custody can be housed in maximum security cells for nearly 23 hours a day. Other inmates are housed in less restrictive settings with programming available to afford offenders an opportunity for rehabilitation aimed at reducing recidivism.

Additionally, the Division operates the Willard Drug Treatment Center in Seneca County. Through this program, courts may remand low level, nonviolent offenders to treatment — an option expected to stop the cycle of drug-related criminal activity at far less cost to the taxpayers than traditional incarceration.

### ***Support Services***

Support Services provides all resources necessary for the operation of the 70 facilities housing individuals remanded to State custody. This includes the employment of all facility managers and centrally assigned staff essential to operate and maintain the Division's physical plant. The Division also provides inmate food and transportation services, and enters into cooperative agreements with local governments for sewer/water systems. The Division has been increasingly successful in implementing initiatives to improve energy use efficiency, including weatherization, heating system rehabilitation projects, and energy performance contracts.

Transportation services related to inmate reception, changes in assigned housing and medical services have become increasingly complex as the prison system has expanded over the past decade. The Division has designed an inmate movement system to address the requirements of the vast correctional network spread across the State. Chief among the improvements are system-wide transportation scheduling and a contractually provided inmate transport fleet guaranteeing vehicles on an as needed basis.

### ***Supervision of Inmates***

The Division employs nearly 22,000 correctional officers to ensure a secure environment for employees and inmates within the correctional setting and to protect the safety of surrounding communities. The Division continues to maintain one of the highest officer-to-inmate ratios in the United States.

### ***Program Services***

The majority of inmates entering State prison have histories of substance abuse and severe educational deficits — two factors highly predictive of criminal behavior. To counter this problem, the Division's rehabilitation efforts focus on basic education and simple vocational skill achievement to ready inmates for employment upon release. The Division's Comprehensive Alcohol and Substance Abuse Treatment program (CASAT) will continue to provide over 5,100 offenders each year with 6 months of residential treatment and follow-up care. Resources to coordinate the Division's sex offender treatment programs and enhanced treatment for mentally ill inmates will enable the Division to better treat and stabilize these growing prison populations.

### ***Health Services***

Offenders entering prison present a significant need for health care because of high rates of opportunistic disease related to AIDS, tuberculosis and other infectious conditions. The recommended budget ensures that the Division has the resources to meet the full need for AIDS screening and interventions, and all other requirements to prevent the spread of disease and treat critical illness.

The Division's approach to health care has kept pace with the national trend toward cost efficient managed care programs. A system for contracted health services has allowed the Division to contain escalating costs of appropriate health care for the inmate population. In addition to the existing regional medical units on the grounds of Mohawk, Coxsackie, Wende, and Bedford Hills Correctional Facilities, the Fishkill unit will be fully operational in Fiscal Year 2000-01.

The 2000-01 budget recommendations fully support the provision of pharmaceutical treatment for HIV-positive inmates according to established standards of care. It is expected that comprehensive early treatment results in a healthier HIV/AIDS population, reducing illness and the need for hospitalization. Notably, the number of inmates dying annually from HIV related disease plummeted by 87 percent since 1995.

## ***DIVISION OF LOCAL ASSISTANCE***

The Division of Local Assistance consists of the Office of State and Federal Grants Management, the Office of Victims Assistance, and the Criminal Justice Training Institute.

### ***Office of State and Federal Grants Management***

The 2000-01 recommendations consolidate funding for Probation Aid, the Intensive Supervision Program, the Juvenile Intensive Supervision Program, and a number of alternative to incarceration programs into a block grant to be distributed to localities. This approach will appropriately shift the majority of funding and programming decisions to county officials who are better positioned to determine how best to meet their community's criminal justice needs.

The Office provides technical and financial support to assist localities in addressing crime prevention strategies, strengthening prosecution efforts and enhancing law enforcement's ability to reduce crime in the community. Through the Office, financial aid is also provided to District Attorneys prosecuting death penalty cases.

The Office also serves as a cost-effective platform for a variety of federally-financed programs and initiatives, including the "Brady Bill", the Violence Against Women Act, and Juvenile Justice and Delinquency Prevention programs targeting youth who are at risk of criminal and/or delinquent behavior. The Office administers other Federal programs

including Anti-Drug Abuse funds which support a statewide anti-drug strategy of prosecution and preventive efforts, and Federal Law Enforcement funds which provide assistance to local police departments.

### ***Office of Victim Assistance***

The Office will continue to improve the response of various State and local agencies to families affected by domestic violence by giving the message that domestic violence will not be tolerated in New York State. In cooperation with other agencies, the Office develops domestic violence policies and provides training and information about domestic violence to judges, prosecutors, police, attorneys, probation and parole personnel, social services professionals and health care providers, clarifying the professional and legal responsibility to protect the victims of domestic violence and to hold offenders accountable for their actions. The Office also serves as a clearinghouse for information about domestic violence, receiving more than 6,000 calls a year from social service and health care agencies, police departments, domestic violence shelters, local violence prevention programs and domestic violence victims. The Office recently posted an agency web page on the Internet to provide a mechanism to share information with a wider audience in a cost-effective and efficient manner.

Through the Office of Victim Assistance, the Crime Victims Board annually reviews more than 20,000 cases of persons who may have suffered financial loss as the result of violent crime or, in the case of the elderly and disabled, any crime. Assistance is given for losses for which no other source of compensation is available. Payments are made for items such as medical expenses, lost wages due to work missed because of an injury, stolen or damaged essential personal property and the costs of counseling to relieve the traumatic effects of victimization. Survivors of a victim also may be eligible for these services, as well as reimbursement for funeral expenses for a crime victim. Approximately 200 contracts with local governments and not-for-profit agencies are funded to provide direct services to crime victims and witnesses including crisis intervention, counseling and assistance in filing victim compensation claims.

The Office is also responsible by law to "coordinate state programs and activities relating to crime victims" and "to advise and assist the Governor in developing policies designed to recognize the legitimate rights, needs and interests of crime victims." To those ends, the Office provides legal and technical assistance to other State agencies and to local organizations involved with crime victims. In addition, the Board sponsors an annual statewide conference on crime victim issues.

### ***Criminal Justice Training Institute***

The Institute provides technical support and training to local entities associated with the State and Federal grant process. This assistance is provided to improve the effectiveness of the application process.

The Institute will begin a valuable new training program for local authorities in the correct method for taking latent fingerprints associated with reviewing criminal history records of employees and volunteers working with the State's vulnerable populations. The Institute will also serve as support for the Municipal Police Training Council, and in that capacity will monitor training of new police officers at academies throughout the State. In addition, the Institute will develop new methods of delivering state of the art police training on the full range of law enforcement issues and new technologies, and continue to administer a statewide training and certification program for the security guard industry in cooperation with the Department of State — the licensing agency.

**STATE COMMISSION OF CORRECTION**

The Commission regulates and oversees the operation and management of State and local correctional facilities and secure youth facilities operated by the Office of Children and Family Services, to promote a safe, secure and stable correctional system and ensure the accountability of corrections officials.

To carry out this function, Commission staff monitor 70 State correctional facilities, 63 county jails, 19 New York City correctional facilities, 182 police lockups (outside New York City) and more than 800 cells operated by the New York City Police Department and Port Authority Police. Regional teams of review specialists regularly visit local and State correctional facilities to investigate unusual events at facilities, provide technical assistance to improve facility management and monitor facilities for compliance with standards and regulations.

**DIVISION OF STATE POLICE**

The Division is divided into two principal branches, the Uniform Force and the Bureau of Criminal Investigation, each of which fulfills specific law enforcement assignments and cooperates with local and county law enforcement agencies. The Division also operates the Forensic Investigation Center.

***Uniform Force***

The Uniform Force has two primary responsibilities: protecting life and property and promoting highway safety. In many areas of the state, Uniform Troopers are the primary law enforcement agency. In these areas, Troopers respond to all types of calls including burglaries, missing children, assaults, robberies and homicides. State Troopers also provide essential support to local police departments.

***Bureau of Criminal Investigation***

The Bureau of Criminal Investigation (BCI) is the plain clothes investigative branch of the Division. BCI Investigators concentrate on cases related to narcotics, child abuse, auto theft, consumer product tampering, organized crime, and violent crimes. In addition to conducting their own investigations, investigators regularly assist local and county law enforcement agencies that lack the resources or expertise needed for major crime investigations.

***Forensic Investigation Center***

The Forensic Investigation Center provides investigative analysis through forensic science to solve crimes. Recent landmark legislation significantly expanded New York's DNA Databank which is housed within the Forensic Investigation Center. The potential for DNA technology to solve crimes is significant, providing law enforcement, prosecutors and the judicial system with the necessary tools to make our criminal justice system more effective and accurate by identifying, prosecuting and convicting dangerous criminal offenders.

**DIVISION OF TECHNOLOGY AND INFORMATION SYSTEMS**

The Division of Technology and Information Systems staff operate the State's criminal justice data and records system, conduct extensive criminal justice statistical research and policy analysis, and provide technical support for the Department's computer network.

# JUSTICE

The Division identifies individuals through fingerprint comparison and provides criminal history records to authorized representatives of Federal, State and local criminal justice agencies and processes over 90 percent of New York City criminal fingerprints in under 3 hours. Modern technology provides speed and accuracy in fingerprint identification and allows police to solve crimes more quickly. The processing of criminal cases is tracked by computer beginning with the arrest and ending with the decision by a judge and/or jury. Additionally, the Division operates CRIMNET which is the highest capacity, lowest cost government telecommunications network functioning in New York today. In response to recent legislation, the Division also processes noncriminal fingerprint and name searches for a growing number of employment, license and permit applications.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,443,983,700	\$2,480,048,000	+\$36,064,300	\$96,463,900
Aid To Localities .....	373,579,392	366,081,500	-7,497,892	199,746,000
Capital Projects .....	265,050,000	402,700,000	+137,650,000	915,087,000
Total .....	<u>\$3,082,613,092</u>	<u>\$3,248,829,500</u>	<u>+\$166,216,408</u>	<u>\$1,211,296,900</u>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Bureau of Administrative Services					
General Fund .....	553	388	7	395	-158
Special Revenue Funds - Federal .....	6	8	....	8	+2
Special Revenue Funds - Other .....	4	4	....	4	....
Capital Projects Funds - Other .....	35	35	....	35	....
Commission of Correction					
General Fund .....	36	36	....	36	....
Division of Correctional Services					
General Fund .....	30,301	30,669	....	30,669	+368
Special Revenue Funds - Federal .....	833	833	....	833	....
Enterprise Funds .....	235	235	....	235	....
Internal Service Funds .....	522	522	....	522	....
Division of Local Assistance					
General Fund .....	139	102	15	117	-22
Special Revenue Funds - Federal .....	148	152	....	152	+4
Division of State Police					
General Fund .....	3,885	3,950	....	3,950	+65
Special Revenue Funds - Federal .....	155	155	....	155	....
Special Revenue Funds - Other .....	413	413	....	413	....
Division of Community Supervision					
General Fund .....	2,259	2,199	....	2,199	-60
Special Revenue Funds - Federal .....	54	54	....	54	....
Division of Technology and Information Systems					
General Fund .....	973	952	....	952	-21
Expendable Trust Funds .....	3	3	....	3	....
Subtotal, Direct Funded Programs .....	<u>40,554</u>	<u>40,710</u>	<u>22</u>	<u>40,732</u>	<u>+178</u>
Suballocations:					
General Fund .....	5			5	....
Special Revenue Funds - Federal .....	67			67	....
Total .....	<u>40,626</u>			<u>40,804</u>	<u>+178</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$2,088,934,400	\$2,130,920,400	+\$41,986,000
Special Revenue Funds - Federal .....	145,780,000	122,647,900	-23,132,100
Special Revenue Funds - Other .....	83,238,800	82,163,200	-1,075,600
Enterprise Funds .....	54,060,000	60,135,000	+6,075,000
Internal Service Funds .....	70,345,000	82,556,000	+12,211,000
Fiduciary Funds .....	1,625,500	1,625,500	.....
Total .....	\$2,443,983,700	<u>\$2,480,048,000</u>	<u>+\$36,064,300</u>
Adjustments:			
Transfer(s) From			
Correction, Commission of			
General Fund .....	-2,204,200		
Correctional Services, Department of			
General Fund .....	-1,617,960,000		
Special Revenue Funds - Federal .....	-90,287,000		
Enterprise Funds .....	-54,060,000		
Internal Service Funds .....	-70,345,000		
Expendable Trust Funds .....	-18,000		
Crime Victims Board			
General Fund .....	-3,037,600		
Special Revenue Funds - Federal .....	-991,700		
Special Revenue Funds - Other .....	-648,200		
Criminal Justice Services, Division of			
General Fund .....	-38,855,000		
Special Revenue Funds - Federal .....	-34,836,900		
Special Revenue Funds - Other .....	-300,000		
Expendable Trust Funds .....	-1,150,000		
Domestic Violence, Office for Prevention of			
General Fund .....	-1,522,000		
Special Revenue Funds - Federal .....	-100,000		
Special Revenue Funds - Other .....	-20,000		
Expendable Trust Funds .....	-50,000		
Parole, Division of			
General Fund .....	-133,463,200		
Special Revenue Funds - Federal .....	-2,307,600		
Special Revenue Funds - Other .....	-400,000		
Expendable Trust Funds .....	-400,000		
Probation and Correctional Alternatives, Division of			
General Fund .....	-2,123,800		
State Police, Division of			
General Fund .....	-298,868,600		
Special Revenue Funds - Federal .....	-17,256,800		
Special Revenue Funds - Other .....	-82,070,600		
Nonexpendable Trust Funds .....	-15,000		
Transfer(s) To			
State Police, Division of			
General Fund .....	+9,100,000		
Special Revenue Funds - Other .....	+200,000		
Nonexpendable Trust Funds .....	+7,500		
Appropriated 1999-00 .....	<u>.....</u>		



**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Bureau of Administrative Services			
General Fund .....	\$41,516,112	\$35,592,500	-\$5,923,612
Special Revenue Funds - Federal .....	471,900	624,300	+152,400
Special Revenue Funds - Other .....	930,200	981,800	+51,600
Commission of Correction			
General Fund .....	2,204,200	2,327,000	+122,800
Division of Correctional Services			
General Fund .....	1,601,456,035	1,650,408,400	+48,952,365
Special Revenue Funds - Federal .....	90,287,000	61,560,000	-28,727,000
Enterprise Funds .....	54,060,000	60,135,000	+6,075,000
Internal Service Funds .....	70,345,000	82,556,000	+12,211,000
Fiduciary Funds .....	18,000	18,000	.....
Division of Local Assistance			
General Fund .....	7,608,476	6,502,700	-1,105,776
Special Revenue Funds - Federal .....	35,456,700	49,465,800	+14,009,100
Special Revenue Funds - Other .....	38,000	95,000	+57,000
Fiduciary Funds .....	250,000	250,000	.....
Division of State Police			
General Fund .....	258,239,600	254,160,700	-4,078,900
Special Revenue Funds - Federal .....	14,028,200	8,190,200	-5,838,000
Special Revenue Funds - Other .....	56,676,900	55,492,700	-1,184,200
Fiduciary Funds .....	7,500	7,500	.....
Division of Community Supervision			
General Fund .....	123,890,358	124,894,400	+1,004,042
Special Revenue Funds - Federal .....	2,307,600	500,000	-1,807,600
Special Revenue Funds - Other .....	400,000	400,000	.....
Fiduciary Funds .....	400,000	400,000	.....
Division of Technology and Information Systems			
General Fund .....	54,019,619	57,034,700	+3,015,081
Special Revenue Funds - Federal .....	3,228,600	2,307,600	-921,000
Special Revenue Funds - Other .....	25,193,700	25,193,700	.....
Expendable Trust Funds .....	950,000	950,000	.....
Total .....	<u>\$2,443,983,700</u>	<u>\$2,480,048,000</u>	<u>+\$36,064,300</u>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Bureau of Administrative Services .....	\$21,737,000	-\$5,480,592	\$21,422,300	-\$5,473,992	\$89,800	-\$7,300
Commission of Correction .....	1,892,200	+96,900	1,877,200	+96,900	.....	.....
Division of Correctional Services .....	1,304,242,300	+38,334,278	1,248,458,400	+41,997,138	14,841,400	-3,006,360
Division of Local Assistance .....	4,499,600	-811,586	4,466,600	-837,986	.....	.....
Division of State Police .....	233,279,700	-7,000,000	210,914,400	-5,861,900	472,800	+62,400
Division of Community Supervision .....	101,064,100	+46,704	98,001,500	+46,704	.....	.....
Division of Technology and Information Systems .....	39,139,500	-175,493	36,871,200	-376,693	904,100	+313,000
<b>Total .....</b>	<b>\$1,705,854,400</b>	<b>+\$25,010,211</b>	<b>\$1,622,011,600</b>	<b>+\$29,590,171</b>	<b>\$16,308,100</b>	<b>-\$2,638,260</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Bureau of Administrative Services .....	\$224,900	+\$700
Commission of Correction .....	15,000	.....
Division of Correctional Services .....	40,942,500	-656,500
Division of Local Assistance .....	33,000	+26,400
Division of State Police .....	21,892,500	-1,200,500
Division of Community Supervision .....	3,062,600	.....
Division of Technology and Information Systems .....	1,364,200	-111,800
<b>Total .....</b>	<b>\$67,534,700</b>	<b>-\$1,941,700</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Bureau of Administrative Services .....	\$13,855,500	-\$443,020	\$582,600	+\$57,677
Commission of Correction .....	434,800	+25,900	16,100	....
Division of Correctional Services .....	346,166,100	+10,618,087	160,597,900	+14,826,238
Division of Local Assistance .....	2,003,100	-294,190	86,100	-38,700
Division of State Police .....	20,881,000	+2,921,100	578,200	+294,000
Division of Community Supervision .....	23,830,300	+957,338	784,200	+7,989
Division of Technology and Information Systems .....	26,995,200	+3,190,574	991,200	+301,084
<b>Total .....</b>	<b>\$434,166,000</b>	<b>+\$16,975,789</b>	<b>\$163,636,300</b>	<b>+\$15,448,288</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Bureau of Administrative Services .....	\$877,600	-\$176,837	\$7,420,000	+\$33,989
Commission of Correction .....	153,100	....	223,400	+7,900
Division of Correctional Services .....	5,813,200	-113,906	171,104,000	-3,094,203
Division of Local Assistance .....	161,200	-67,602	414,600	-191,275
Division of State Police .....	2,907,700	+970,900	5,301,200	+2,538,000
Division of Community Supervision .....	3,991,000	-174,322	17,378,300	+1,102,579
Division of Technology and Information Systems .....	2,183,100	-193,824	12,120,100	+1,849,402
<b>Total .....</b>	<b>\$16,086,900</b>	<b>+\$244,409</b>	<b>\$213,961,600</b>	<b>+\$2,246,392</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Bureau of Administrative Services .....	\$2,116,600	-\$1,065,349	\$2,858,700	+\$707,500
Commission of Correction .....	42,200	+18,000	....	....
Division of Correctional Services .....	8,651,000	-1,000,042	....	....
Division of Local Assistance .....	81,900	-45,113	1,259,300	+48,500
Division of State Police .....	11,351,200	-881,800	742,700	....
Division of Community Supervision .....	907,600	+21,092	769,200	....
Division of Technology and Information Systems .....	11,700,800	+1,233,912	....	....
<b>Total .....</b>	<b>\$34,851,300</b>	<b>-\$1,719,300</b>	<b>\$5,629,900</b>	<b>+\$756,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Bureau of Administrative Services	\$1,306,100	+\$204,000	\$458,900	+\$99,200
Division of Correctional Services	204,269,000	-10,441,000	30,244,700	-61,548,600
Division of Local Assistance	49,810,800	+14,066,100	457,700	+106,800
Division of State Police	54,590,400	-7,022,200	30,915,200	-5,296,500
Division of Community Supervision	1,300,000	-1,807,600	.....	.....
Division of Technology and Information Systems	28,451,300	-921,000	.....	.....
<b>Total</b>	<b>\$339,727,600</b>	<b>-\$5,921,700</b>	<b>\$62,076,500</b>	<b>-\$66,639,100</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Bureau of Administrative Services	\$718,700	+\$103,300	\$128,500	+\$1,500
Division of Correctional Services	112,464,300	-6,112,400	61,560,000	+57,220,000
Division of Local Assistance	722,400	+215,500	48,630,700	+13,743,800
Division of State Police	23,675,200	-1,725,700	.....	.....
Division of Community Supervision	400,000	.....	900,000	-1,807,600
Division of Technology and Information Systems	25,193,700	-3,228,600	3,257,600	+2,307,600
<b>Total</b>	<b>\$163,174,300</b>	<b>-\$10,747,900</b>	<b>\$114,476,800</b>	<b>+\$71,465,300</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$278,382,692	\$256,976,900	-\$21,405,792
Special Revenue Funds - Federal	68,007,400	79,264,600	+11,257,200
Special Revenue Funds - Other	21,899,300	24,550,000	+2,650,700
Internal Service Funds	5,250,000	5,250,000	.....
Fiduciary Funds	40,000	40,000	.....
<b>Total</b>	<b>\$373,579,392</b>	<b>\$366,081,500</b>	<b>-\$7,497,892</b>

Adjustments:

Transfer(s) From	
Correctional Services, Department of	
General Fund	-56,752,800
Crime Victims Board	
Special Revenue Funds - Federal	-19,318,300
Special Revenue Funds - Other	-17,999,300
Expendable Trust Funds	-40,000
Criminal Justice Services, Division of	
General Fund	-76,311,672
Special Revenue Funds - Federal	-45,846,600
Special Revenue Funds - Other	-3,900,000
Domestic Violence, Office for Prevention of	
General Fund	-670,000
Parole, Division of	
General Fund	-52,071,200
Special Revenue Funds - Federal	-2,842,500
Internal Service Funds	-5,250,000
Probation and Correctional Alternatives, Division of	
General Fund	-92,577,020
Appropriated 1999-00	.....

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Division of Local Assistance			
General Fund .....	\$255,482,220	\$245,066,900	-\$10,415,320
Special Revenue Funds - Federal .....	65,164,900	76,422,100	+11,257,200
Special Revenue Funds - Other .....	21,899,300	24,550,000	+2,650,700
Fiduciary Funds .....	40,000	40,000	.....
Division of Community Supervision			
General Fund .....	11,900,500	11,910,000	+9,500
Special Revenue Funds - Federal .....	2,842,500	2,842,500	.....
Internal Service Funds .....	5,250,000	5,250,000	.....
Community Projects			
General Fund .....	<u>10,999,972</u>	.....	<u>-10,999,972</u>
Total .....	<u>\$373,579,392</u>	<u>\$366,081,500</u>	<u>-\$7,497,892</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund .....	\$3,000,000	.....	-\$3,000,000	\$3,000,000
Federal Capital Projects Fund .....	80,000,000	.....	-80,000,000	114,187,000
Correctional Facilities Capital Improvement Fund .....	180,000,000	\$400,000,000	+220,000,000	543,995,000
Maintenance and Improvement of State Police Facilities				
Capital Projects Fund .....	2,050,000	2,700,000	+650,000	5,388,000
UDC Financed and Other New Facility Capacity Expansion				
Correctional Facilities Capital Improvement Fund .....	.....	.....	.....	246,132,000
New State Police Facilities				
Capital Projects Fund .....	.....	.....	.....	<u>2,385,000</u>
Total .....	<u>\$265,050,000</u>	<u>\$402,700,000</u>	<u>+\$137,650,000</u>	<u>\$915,087,000</u>

# **OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

## **MISSION**

The Office of Alcoholism and Substance Abuse Services (OASAS) is responsible for licensing and evaluating service providers, and for implementing and advocating policies and programs for the prevention, early intervention and treatment of alcoholism and substance abuse. In conjunction with local governments, providers and communities, the Office works to provide a full range of necessary and cost-effective services for persons with chemical dependencies and at risk of addiction.

## **ORGANIZATION AND STAFFING**

The Office of Alcoholism and Substance Abuse Services is headed by a Commissioner, responsible for the development and management of the State's policy on chemical dependence. The agency exercises these responsibilities directly as a provider of treatment services through a statewide system of 13 Addiction Treatment Centers (ATCs), through the regulation and oversight of prevention and chemical dependence services, and as a conduit for Federal and State financial assistance. The agency also furthers other State policy goals — including reform efforts in criminal justice, health care and public assistance — by coordinating chemical dependence resources and strategies in collaboration with other State agencies.

In 2000-01, OASAS will have a workforce of 1,027 employees of which 54 percent provide clinical treatment services through the ATCs. The 2000-01 Executive Budget makes no reductions in the OASAS workforce; the changes shown in the tables which follow simply reflect completion of the transfer of the Research Institute on Addictions to SUNY Buffalo begun in July 1999.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2000-01 Executive Budget recommends over \$490 million in State and other resources for OASAS to continue agency operations, bolster community infrastructure and expand services to priority populations. This funding is supplemented by Federal and State resources budgeted in other State agencies, and by the contributions of local government, voluntary agencies and other sources. When combined, nearly \$1.5 billion will be invested in the prevention and treatment of chemical dependence in 2000-01.

In comparison to the prior year, total OASAS appropriations increase by nearly \$5 million, largely reflecting an increase in State General Fund support. The commitment of additional taxpayer support is recommended in an effort to both expand community-based treatment services and enhance the effectiveness of existing prevention and treatment services. Highlights of these initiatives include:

- A capital commitment of \$5 million to develop up to 100 residential treatment beds for adolescents and women with children. The development of these beds, together with those currently under construction, will bring the total number of beds for these populations to over 750, an increase of 15 percent in capacity. Expanded residential opportunities for these populations are expected to assist counties in meeting Federal mandates under the Adoption and Safe Families Act and the challenges of welfare reform.
- A 2 percent cost-of-living adjustment on State Aid to community-based residential treatment providers. This enhancement will assist this segment of treatment providers in maintaining the highly-trained workforce necessary to promote effective treatment services and quality outcomes.

## **ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

- Establishment of a credential for prevention professionals to strengthen service delivery, promote training and career development and provide advancement opportunities for qualified individuals. In conjunction with this expansion, the fees paid by applicants for OASAS credentials are increased for the first time, to levels which are equal to that of the surrounding states in our region. As a result, the OASAS credentialing function becomes fully self-financing.

In addition, funding is also recommended for the continuation of statewide program initiatives enacted in prior years, including the phased expansion of the 700 residential beds enacted in the 1997-98 budget.

### **PROGRAM HIGHLIGHTS**

As the largest drug and alcohol prevention and treatment system in the nation, OASAS administers a comprehensive array of prevention and treatment services for New Yorkers suffering from addiction. The Office works with a network of State, local government and voluntary agencies, as well as school districts, to provide prevention and treatment services. In accordance with Federal and State statutes, the agency licenses and regulates program providers, ensures that fiscal resources are appropriately spent, and assists local programs in providing the highest quality services.

On any given day, approximately 120,000 patients are enrolled in New York State's licensed alcoholism and substance abuse treatment and rehabilitation system. Services within this system are provided by more than 1,300 community-based agencies — approximately 600 licensed alcoholism programs and 700 licensed substance abuse programs.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$68,966,700	\$66,794,000	-\$2,172,700	.....
Aid To Localities .....	387,931,181	388,451,000	+519,819	\$64,142,000
Capital Projects .....	28,761,000	35,186,000	+6,425,000	128,901,000
<b>Total .....</b>	<b>\$485,658,881</b>	<b>\$490,431,000</b>	<b>+\$4,772,119</b>	<b>\$193,043,000</b>

#### **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

<u>Program</u>	<u>Available 1999-00</u>	2000-01 Recommended Average Fill Level			<u>Change</u>
		<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 2000-01</u>	
Executive Direction					
General Fund .....	379	371	.....	371	-8
Special Revenue Funds - Federal .....	85	85	.....	85	.....
Special Revenue Funds - Other .....	5	.....	12	12	+7
Capital-Administration					
Capital Projects Funds - Other .....	8	8	.....	8	.....
Institutional Services					
General Fund .....	562	551	.....	551	-11
<b>Total .....</b>	<b>1,039</b>	<b>1,015</b>	<b>12</b>	<b>1,027</b>	<b>-12</b>

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$45,862,500	\$45,243,000	-\$619,500
Special Revenue Funds - Federal .....	4,371,700	4,373,000	+1,300
Special Revenue Funds - Other .....	18,732,500	17,178,000	-1,554,500
<b>Total .....</b>	<b>\$68,966,700</b>	<b>\$66,794,000</b>	<b>-\$2,172,700</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Executive Direction			
General Fund .....	\$21,931,600	\$21,456,000	-\$475,600
Special Revenue Funds - Federal .....	4,371,700	4,373,000	+1,300
Special Revenue Funds - Other .....	9,382,500	7,828,000	-1,554,500
Institutional Services			
General Fund .....	23,930,900	23,787,000	-143,900
Special Revenue Funds - Other .....	9,350,000	9,350,000	.....
<b>Total .....</b>	<b>\$68,966,700</b>	<b>\$66,794,000</b>	<b>-\$2,172,700</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Direction .....	\$20,761,000	-\$140,600	\$20,581,000	-\$140,100	\$112,000	-\$300
Institutional Services .....	26,343,000	+70,200	25,598,000	+80,400	404,000	-600
<b>Total .....</b>	<b>\$47,104,000</b>	<b>-\$70,400</b>	<b>\$46,179,000</b>	<b>-\$59,700</b>	<b>\$516,000</b>	<b>-\$900</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Direction .....	\$68,000	-\$200
Institutional Services .....	341,000	-9,600
<b>Total .....</b>	<b>\$409,000</b>	<b>-\$9,800</b>



# **ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

---

## **STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Direction .....	\$7,395,000	-\$2,189,000	\$329,000	-\$14,700
Institutional Services .....	6,794,000	-214,100	2,901,000	-35,500
<b>Total .....</b>	<b>\$14,189,000</b>	<b>-\$2,403,100</b>	<b>\$3,230,000</b>	<b>-\$50,200</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Direction .....	\$791,000	-\$34,500	\$6,251,000	-\$2,138,800
Institutional Services .....	251,000	-4,000	3,256,000	-466,100
<b>Total .....</b>	<b>\$1,042,000</b>	<b>-\$38,500</b>	<b>\$9,507,000</b>	<b>-\$2,604,900</b>

Program	Equipment	
	Amount	Change
Executive Direction .....	\$24,000	-\$1,000
Institutional Services .....	386,000	+291,500
<b>Total .....</b>	<b>\$410,000</b>	<b>+\$290,500</b>

## **STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Executive Direction .....	\$5,501,000	+\$300,800	\$2,255,000	-\$300,000
<b>Total .....</b>	<b>\$5,501,000</b>	<b>+\$300,800</b>	<b>\$2,255,000</b>	<b>-\$300,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction .....	\$1,928,000	+\$301,300	\$1,318,000	+\$299,500
<b>Total .....</b>	<b>\$1,928,000</b>	<b>+\$301,300</b>	<b>\$1,318,000</b>	<b>+\$299,500</b>

## **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$246,453,781	\$247,050,000	+\$596,219
Special Revenue Funds - Federal .....	133,477,400	133,401,000	-76,400
Special Revenue Funds - Other .....	8,000,000	8,000,000	.....
<b>Total .....</b>	<b>\$387,931,181</b>	<b>\$388,451,000</b>	<b>+\$519,819</b>

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Community Treatment Services Program			
General Fund .....	\$197,858,000	\$200,121,000	+\$2,263,000
Special Revenue Funds - Federal .....	90,539,400	90,463,000	-76,400
Prevention and Program Support			
General Fund .....	47,448,000	46,929,000	-519,000
Special Revenue Funds - Federal .....	42,938,000	42,938,000	....
Special Revenue Funds - Other .....	8,000,000	8,000,000	....
Community Projects			
General Fund .....	1,147,781	....	-1,147,781
<b>Total .....</b>	<b>\$387,931,181</b>	<b>\$388,451,000</b>	<b>+\$519,819</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Design and Construction Supervision				
Capital Projects Fund .....	\$2,000,000	\$1,500,000	-\$500,000	\$2,000,000
Mental Hygiene Capital Improvement Fund .....	3,000,000	2,966,000	-34,000	5,416,000
Administration				
Capital Projects Fund .....	500,000	519,000	+19,000	....
Mental Hygiene Capital Improvement Fund .....	273,000	279,000	+6,000	....
Non-Bondable Projects				
Capital Projects Fund .....	100,000	752,000	+652,000	....
Community Alcoholism and Substance Abuse Facilities				
Capital Projects Fund .....	3,288,000	7,750,000	+4,462,000	20,687,000
Mental Hygiene Capital Improvement Fund .....	15,000,000	19,100,000	+4,100,000	84,711,000
Institutional Services Program				
Capital Projects Fund .....	1,000,000	383,000	-617,000	3,831,000
Mental Hygiene Capital Improvement Fund .....	3,600,000	1,937,000	-1,663,000	12,256,000
<b>Total .....</b>	<b>\$28,761,000</b>	<b>\$35,186,000</b>	<b>+\$6,425,000</b>	<b>\$128,901,000</b>



# **OFFICE OF MENTAL HEALTH**

## **MISSION**

The Office of Mental Health (OMH) is responsible for planning and operating an integrated system of mental health care serving adults with serious and persistent mental illness and children with serious emotional disturbances.

## **ORGANIZATION AND STAFFING**

The Office of Mental Health is headed by a Commissioner who is appointed by the Governor. New York's public mental health system consists of programs that are operated by the Office of Mental Health, as well as those community programs certified and funded by the State but operated in local communities by local governments and not-for-profit and profit-making providers. OMH regulates and licenses approximately 2,500 programs across the State and, in conjunction with the Department of Health, is responsible for implementation of Medicaid managed care through Special Needs Plans (SNPs). The combined system serves both adults who have serious and persistent mental illness and children with serious emotional disturbances who have experienced substantial problems in functioning.

OMH currently operates twenty-eight facilities across the State, including seventeen Adult Psychiatric Centers and six Children's Psychiatric Centers. In addition, OMH operates three Forensic Psychiatric Centers — which serve individuals with histories in the criminal justice system — and two Research Institutes.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2000-01 Executive Budget provides \$1.95 billion in total authorized spending for the Office of Mental Health from General Fund, Federal and other third-party resources, an increase of \$78.1 million, compared to 1999-00. General Fund support to the agency increases by \$91.3 million from the prior year.

Budget recommendations for the Office of Mental Health reflect the following guiding principles: strengthening community mental health care and reducing unneeded institutional care while at the same time transitioning the existing community mental health system to Medicaid managed care under Special Needs Plans (SNPs) for the seriously mentally ill.

Over the past five years, significant efficiencies have been achieved in institutional operations by matching clients to more appropriate community services and settings. These actions include closing unnecessary State-operated inpatient beds, closing two psychiatric centers and consolidating adult inpatient care from three campuses onto one campus on Long Island and restructuring outpatient services under a managed care model of service. This year, however, there will be a temporary moratorium on further bed closures while community mental health programs implement the Assisted Outpatient Treatment Program, develop new residential beds and initiate major expansions in adult and children's services. This will provide an opportunity for the Office of Mental Health to reassess bed requirements for the future.

Psychiatric Center reductions are limited to the elimination of 100 excess administrative and support positions in psychiatric centers where reductions in such positions had not kept pace with bed closures in the past. Also being eliminated are 18 psychiatric residency positions at OMH facilities to more closely reflect current workload needs.

The Office of Mental Health is responsible for providing mental health care to inmates in Department of Correctional Services facilities. The forensic program is increased by 82 positions to staff the administrative segregation units, whose capacity has increased considerably in recent years, a new satellite unit at the Seneca Correctional Facility, scheduled to open in 2000-01, and expanded discharge planning services at State correctional facilities.

## **MENTAL HEALTH**

---

### **ENHANCED COMMUNITY SERVICES**

Appropriations of \$56.5 million, to be supported by Health Care Reform Act (HCRA) revenues, are recommended for a multi-faceted Enhanced Community Services program which will be implemented over the next two years to strengthen the community mental health service system. The program unveiled by Governor Pataki in November will result in \$125 million in additional spending on mental health services annually once fully implemented.

Included are funds to operate five new transitional residences to be located on State Psychiatric Center grounds. These facilities are intended to foster successful community placements by providing clients with an opportunity to adjust to living in a smaller, more residential setting before moving on to community living. OMH central and field office staff will also be strengthened in a number of areas to improve program oversight of the design and operation of community programs, including local programs and special needs plan performance evaluations, service provider and client information collection and analysis, licensing and certification, and children's program evaluation and coordination. The new initiatives also include the following: an increase in the number of adults provided case management from 15,600 to 25,000 (\$14.8 million); 2,000 more units of supported housing (\$14.6 million); an expansion of Home and Community Based Services (HCBS) waiver slots to 600 (\$3.1 million); an increase in children's case management capacity to 4,530 from the current 1,950 (\$3.7 million); expansion in the number of families served by family support services from approximately 4,000 to 5,200 (\$2.0 million); an additional 125 family based treatment slots (\$2.4 million); and four mobile mental health teams to serve juvenile offenders in Office of Children and Families (OCFS) facilities (\$1.3 million).

### **ASSISTED OUTPATIENT TREATMENT**

A total of \$32 million is recommended to fully implement the Assisted Outpatient Treatment (AOT) program ("Kendra's Law") enacted and initiated in 1999-2000. The appropriations provide for court ordered assisted outpatient treatment for certain people with mental illness who, based on their treatment history and present circumstances, are unlikely to survive safely in the community without supervision. It ensures such clients will receive case management services aimed at keeping the clients in a treatment program or under medication as required. It also improves discharge planning for those being released from jail or prison and provides psychiatric medication to individuals being discharged from State Psychiatric Centers, community hospitals, prisons and jails while their Medicaid eligibility is being determined.

### **OTHER ACTIONS**

The Governor's Budget also incorporates a 2 percent cost-of-living (COLA) increase for community residential programs and continues funding under the Community Mental Health Reinvestment Act to expand each community's capacity to serve mentally ill persons. Consistent with statutory levels, the budget includes \$5.7 million (\$11.4 million full annual) in new funds for Reinvestment based on actual institutional bed closures in 1998-99. This new annual funding commitment brings the total amount of Reinvestment funding to nearly \$205 million. These resources support community mental health services that are determined through local plans, and encompass a wide variety of new and expanded programs, including outpatient clinics, community support, self help and residential beds.

Including the new residential beds recommended by the Governor, and other beds now in various stages of development, this Budget provides operational funding for about 2,375 new community beds expected to open by the end of 2000-01.

OMH's Capital Budget includes new appropriations of \$134.1 million for preservation and maintenance of institutional and community facilities. Capital spending from new appropriations and re-appropriations support institutional projects primarily for health and safety, preservation and maintenance needs consistent with the Office of Mental Health's

facility maintenance program and compliance with accreditation standards. Capital spending for local programs maintains the existing residential and other program locations and continues the development of community beds authorized previously.

### **PROGRAM HIGHLIGHTS**

New York State will continue to rank first among all states in total spending and per capita spending on State and local programs for the mentally ill.

- State-operated facilities provide inpatient, outpatient, and community support programs throughout the State serving adults, children, and forensic populations. State-operated psychiatric centers provide inpatient services to approximately 9,700 adults and children admitted annually, while over 37,000 individuals are served through various outpatient and support programs.
- Institutional patients vary greatly in age, level of disability and length of hospitalization. A range of treatment and rehabilitative services is offered as patients progress from admission to discharge. In addition, OMH provides specialized services for physically disabled, aggressive and assaultive, and multi-diagnosed patients, as well as patients who have criminal histories.
- The Office operates an array of community-based programs located throughout the State. These programs, staffed with State employees, provide supportive services to enable individuals with mental illness to avoid long-term inpatient stays. State-operated community-based services currently include community residential facilities and residential care centers for adults and children, outpatient programs, intensive case management positions, and a variety of supportive employment, work-for-pay, crisis and other community support programs.
- OMH operates two research units supported by State tax dollars and Federal and other grants, the OMH New York Psychiatric Institute in Manhattan and the OMH Nathan S. Kline Institute, located on the grounds of Rockland Psychiatric Center. These facilities conduct research in children and adult clinical treatment, basic biomedical and neurosciences, and health services for the mentally ill.
- OMH also funds a wide range of community services provided by local governments and private organizations. These include emergency services such as Comprehensive Psychiatric Emergency Programs; general hospital inpatient services; outpatient services such as mental health clinics and day treatment programs and community support programs such as Intensive and Supportive Case Management, residential programs and consumer-run self-help and self-operated programs. Overall, State aid and Medicaid (budgeted largely in the Department of Health) will provide about \$2.0 billion for not-for-profit and county-operated community mental health programs through a network of approximately 2,500 programs serving over 500,000 persons a year.
- OMH supports a physical plant of more than 1,000 buildings and over 5,000 acres of space on its 23 active psychiatric center campuses, and assists in the development and maintenance of over 23,000 community residential beds. OMH's capital appropriations primarily support projects to improve the health and safety of patients and staff, such as improved security and modernization of those psychiatric centers designated for long-term use.

# MENTAL HEALTH

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$1,046,633,000	\$1,056,801,000	+\$10,168,000	\$913,000
Aid To Localities .....	661,268,500	759,535,000	+98,266,500	29,832,000
Capital Projects .....	164,432,000	134,120,000	-30,312,000	552,212,000
<b>Total .....</b>	<b>\$1,872,333,500</b>	<b>\$1,950,456,000</b>	<b>+\$78,122,500</b>	<b>\$582,957,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

2000-01 Recommended Average Fill Level

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Administration and Finance					
General Fund .....	565	578	....	578	+13
Special Revenue Funds - Federal .....	9	11	....	11	+2
Enterprise Funds .....	20	20	....	20	....
Internal Service Funds .....	25	25	....	25	....
Adult Services					
General Fund .....	13,305	12,922	....	12,922	-383
Capital Planning					
Capital Projects Funds - Other .....	41	41	....	41	....
Children and Youth Services					
General Fund .....	1,925	1,919	....	1,919	-6
Enhanced Community Services					
General Fund .....	....	270	....	270	+270
Forensic Services					
General Fund .....	1,966	2,037	....	2,037	+71
Research					
General Fund .....	532	532	....	532	....
Special Revenue Funds - Other .....	29	29	....	29	....
Subtotal, Direct Funded Programs .....	18,417	18,384	....	18,384	-33
Suballocations:					
General Fund .....	6			6	....
<b>Total .....</b>	<b>18,423</b>			<b>18,390</b>	<b>-33</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$504,924,000	\$529,283,000	+\$24,359,000
Special Revenue Funds - Federal .....	913,000	929,000	+16,000
Special Revenue Funds - Other .....	531,046,000	516,239,000	-14,807,000
Enterprise Funds .....	7,213,000	7,813,000	+600,000
Internal Service Funds .....	1,967,000	1,967,000	....
Fiduciary Funds .....	570,000	570,000	....
<b>Total .....</b>	<b>\$1,046,633,000</b>	<b>\$1,056,801,000</b>	<b>+\$10,168,000</b>
Adjustments:			
Transfer(s) From			
Mental Health, Office of			
General Fund (Aid To Localities ) .....	-2,920,000		
Appropriated 1999-00 .....	<u>\$1,043,713,000</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
Administration and Finance			
General Fund .....	\$50,538,000	\$53,087,000	+\$2,549,000
Special Revenue Funds - Federal .....	913,000	929,000	+16,000
Enterprise Funds .....	7,213,000	7,813,000	+600,000
Internal Service Funds .....	1,967,000	1,967,000	.....
Fiduciary Funds .....	570,000	570,000	.....
Adult Services			
General Fund .....	732,200,000	720,843,000	-11,357,000
Children and Youth Services			
General Fund .....	104,652,000	103,763,000	-889,000
Enhanced Community Services			
General Fund .....	.....	15,948,000	+15,948,000
Forensic Services			
General Fund .....	103,660,000	106,684,000	+3,024,000
Maintenance Undistributed			
General Fund .....	-525,435,000	-510,488,000	+14,947,000
Special Revenue Funds - Other .....	525,435,000	510,488,000	-14,947,000
Research			
General Fund .....	39,309,000	39,446,000	+137,000
Special Revenue Funds - Other .....	5,611,000	5,751,000	+140,000
Total .....	<u>\$1,046,633,000</u>	<u>\$1,056,801,000</u>	<u>+\$10,168,000</u>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration and Finance .....	\$31,307,000	-\$503,000	\$30,187,000	+\$265,000	\$858,000	-\$772,000
Adult Services .....	591,107,000	-13,285,000	545,397,000	-13,285,000	14,283,000	.....
Children and Youth Services .....	90,443,000	-1,257,000	84,488,000	-1,330,000	2,810,000	+19,000
Forensic Services .....	97,309,000	+2,392,000	91,344,000	+2,392,000	2,710,000	.....
Research .....	33,554,000	-40,000	32,999,000	-49,000	86,000	+1,000
Total .....	<u>\$843,720,000</u>	<u>-\$12,693,000</u>	<u>\$784,415,000</u>	<u>-\$12,007,000</u>	<u>\$20,747,000</u>	<u>-\$752,000</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration and Finance .....	\$262,000	+\$4,000
Adult Services .....	31,427,000	.....
Children and Youth Services .....	3,145,000	+54,000
Forensic Services .....	3,255,000	.....
Research .....	469,000	+8,000
Total .....	<u>\$38,558,000</u>	<u>+\$66,000</u>



# MENTAL HEALTH

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration and Finance .....	\$21,780,000	+\$3,052,000	\$824,000	.....
Adult Services .....	129,736,000	+1,928,000	63,424,000	+\$1,054,000
Children and Youth Services .....	13,320,000	+368,000	5,573,000	+168,000
Enhanced Community Services ...	15,948,000	+15,948,000	.....	.....
Forensic Services .....	9,375,000	+632,000	5,610,000	+235,000
Research .....	5,892,000	+177,000	2,470,000	+74,000
<b>Total .....</b>	<b>\$196,051,000</b>	<b>+\$22,105,000</b>	<b>\$77,901,000</b>	<b>+\$1,531,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration and Finance .....	\$1,293,000	+\$500,000	\$17,859,000	+\$2,212,000
Adult Services .....	2,801,000	+82,000	57,877,000	+720,000
Children and Youth Services .....	491,000	.....	6,734,000	+200,000
Forensic Services .....	583,000	+271,000	3,009,000	+106,000
Research .....	85,000	+2,000	3,210,000	+97,000
<b>Total .....</b>	<b>\$5,253,000</b>	<b>+\$855,000</b>	<b>\$88,689,000</b>	<b>+\$3,335,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Finance .....	\$1,804,000	+\$340,000	.....	.....
Adult Services .....	2,469,000	+72,000	\$3,165,000	.....
Children and Youth Services .....	522,000	.....	.....	.....
Enhanced Community Services ...	.....	.....	15,948,000	+\$15,948,000
Forensic Services .....	173,000	+20,000	.....	.....
Research .....	127,000	+4,000	.....	.....
<b>Total .....</b>	<b>\$5,095,000</b>	<b>+\$436,000</b>	<b>\$19,113,000</b>	<b>+\$15,948,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration and Finance .....	\$11,279,000	+\$616,000	\$3,577,000	+\$40,000
Research .....	5,751,000	+140,000	2,385,000	.....
<b>Total .....</b>	<b>\$17,030,000</b>	<b>+\$756,000</b>	<b>\$5,962,000</b>	<b>+\$40,000</b>

Program	Nonpersonal Service	
	Amount	Change
Administration and Finance .....	\$7,702,000	+\$576,000
Research .....	3,366,000	+140,000
<b>Total .....</b>	<b>\$11,068,000</b>	<b>+\$716,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$638,343,500	\$689,334,000	+\$50,990,500
Special Revenue Funds - Federal .....	22,925,000	27,126,000	+4,201,000
Special Revenue Funds - Other .....	.....	43,075,000	+43,075,000
<b>Total .....</b>	<b>\$661,268,500</b>	<b>\$759,535,000</b>	<b>+\$98,266,500</b>
Adjustments:			
Transfer(s) To			
Mental Health, Office of			
General Fund (State Operations) .....	+2,920,000		
Appropriated 1999-00 .....	<u>\$664,188,500</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Adult Services			
General Fund .....	\$399,239,500	\$435,159,000	+\$35,919,500
Special Revenue Funds - Federal .....	18,216,000	21,617,000	+3,401,000
Special Revenue Funds - Other .....	.....	2,475,000	+2,475,000
Children and Youth Services			
General Fund .....	88,574,000	88,574,000	.....
Special Revenue Funds - Federal .....	4,709,000	5,509,000	+800,000
Community Mental Health Reinvestment			
General Fund .....	148,375,000	165,601,000	+17,226,000
Enhanced Community Services			
General Fund .....	.....	40,600,000	+40,600,000
Maintenance Undistributed			
General Fund .....	.....	-40,600,000	-40,600,000
Special Revenue Funds - Other .....	.....	40,600,000	+40,600,000
Community Projects			
General Fund .....	2,155,000	.....	-2,155,000
<b>Total .....</b>	<b>\$661,268,500</b>	<b>\$759,535,000</b>	<b>+\$98,266,500</b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Design and Construction Supervision				
Capital Projects Fund .....	\$2,250,000	\$1,750,000	-\$500,000	.....
Mental Hygiene Capital Improvement Fund .....	8,188,000	9,000,000	+812,000	\$21,574,000
Executive Direction				
Capital Projects Fund .....	.....	.....	.....	4,000,000
Mental Hygiene Capital Improvement Fund .....	3,300,000	3,300,000	.....	3,300,000
Community Mental Health Facilities				
Capital Projects Fund .....	.....	5,000,000	+5,000,000	28,758,000
Mental Hygiene Capital Improvement Fund .....	50,375,000	5,412,000	-44,963,000	160,239,000
Non-Bondable Projects				
Capital Projects Fund .....	6,000,000	11,000,000	+5,000,000	.....
Maintenance and Improvements of Existing Facilities				
Capital Projects Fund .....	19,807,000	26,238,000	+6,431,000	24,151,000
Mental Hygiene Capital Improvement Fund .....	74,512,000	72,420,000	-2,092,000	310,190,000
<b>Total .....</b>	<b>\$164,432,000</b>	<b>\$134,120,000</b>	<b>-\$30,312,000</b>	<b>\$552,212,000</b>



# **OFFICE OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

## **MISSION**

The Office of Mental Retardation and Developmental Disabilities (OMRDD) serves and supports individuals and families of individuals with developmental disabilities. OMRDD works with local governments and non-profit providers to oversee a comprehensive system for delivery of services to people who are developmentally disabled. Both institutional and community-based services are delivered through a network of non-profit providers, State Developmental Centers and numerous State-operated programs based in the community.

## **ORGANIZATION AND STAFFING**

Under the direction of a Commissioner appointed by the Governor, OMRDD currently operates through district offices, called Developmental Disabilities Services Offices. Its Central Office oversees and supports operations of the district offices.

OMRDD will have a workforce of 22,018 for 2000-01, most of whom work directly with consumers of services. The remainder of the workforce are supervisors of direct care workers, clinicians, administrative support and management personnel.

By the end of 2000-01, OMRDD will operate some 1,720 developmental center beds. From 1995 to the end of the 2000-01 fiscal year, the State will have moved more than 2,300 people into more appropriate community care and will have closed nearly 1,900 unneeded institutional beds.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Total funding of \$2.2 billion supports a comprehensive system of care serving over 116,000 persons with disabilities and their families. Over the last six years, OMRDD's operating budget has grown by \$313.6 million, reflecting the Governor's ongoing commitment to serving the needs of persons with developmental disabilities. In 2000-01, OMRDD's mission is supported by the following recommendations:

- OMRDD's Institutional Services Program will receive total funding of \$337.7 million, to support residential care and habilitative services for people in developmental centers. In addition, another \$68.4 million funds OMRDD's Central Coordination and Support and Research in Mental Retardation Programs, which provide policy direction and technical support to the entire service system.
- OMRDD's Community Services Program will receive \$1.7 billion to fund hundreds of State-operated residential and day programs and ancillary services such as clinics and transportation networks, as well as to support local governments and a network of more than 600 non-profit agencies.
- OMRDD's new capital appropriations of \$63.1 million support the maintenance of existing institutions, community residential facility and program sites as well as the development and renovation of residential and day programming sites and other expanded bed capacity.

This reflects a \$103 million increase over 1999-2000 funding, primarily in funding for community-based services. These recommendations anticipate that OMRDD will continue to aggressively pursue Federal financial support for its programs as well as take other targeted administrative actions to achieve management efficiencies in both the State and non-profit sectors. As a result, General Fund support for OMRDD's operations increases by only \$9.3

## **MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

million, while preserving essential direct care and maintaining the quality of services for consumers in both non-profit and OMRDD-operated programs.

The 2000-01 Executive Budget incorporates second-year funding of \$29 million for the Governor's landmark five-year initiative known as New York State Creating Alternatives in Residential Environments and Services (NYS-CARES). This initiative will eliminate the OMRDD adult waiting list for beds for persons with developmental disabilities in New York State who are seeking a home in the community. The 2000-01 Budget supports the development of another nearly 1,000 beds, 600 case management opportunities, and 190 day service opportunities. It will also provide funding for family support services and in-home residential habilitation services — at a level \$3 million higher than originally planned — to further assist families while they await their placement. Over five years, New York State will invest \$245 million in State and Federal funds to provide services to 8,100 individuals requiring out-of-home residential placements.

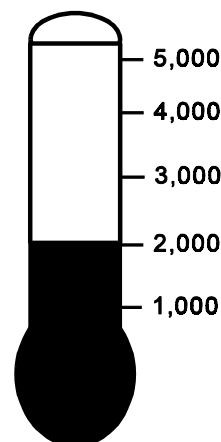
In support of existing residential services, a Medicaid trend factor of 2.9 percent will be provided to Intermediate Care Facilities (ICF) and most Home and Community Based Services (HCBS) Waiver programs. In addition, OMRDD will grant a further 2.1 percent adjustment, based on actual cost experience for these providers. Together, these two actions will provide nearly \$32 million in additional State funding to non-profit community-based providers for residential and other services.

The Budget also includes funding for a base salary increase for 35,000 direct care staff in the not-for-profit sector, in order to encourage qualified individuals to enter, and remain, in the field of direct care. Non-trended programs will receive \$5.8 million in special General Fund support for a \$750 base wage and benefit increase, while trended programs will be encouraged to invest similarly in direct care from the 2.9 percent trend factor and the enhanced 2.1 percent trend.

The State's commitment to continued expansion of non-profit community services is reflected in funding for development of 700 day habilitation service opportunities for persons aging out of special education day school programs and provision of 140 new beds, day services, and service coordination for legally mandated populations, such as those referred by the New York City Administration for Children's Services. Further, the Governor's budget will support the creation of 1,200 new supported employment placements, allowing persons with developmental disabilities to maintain private sector jobs as fully participating members of the State's economy.

During 2000-01, the effort to place individuals residing in the developmental centers into more appropriate community settings will continue. An additional 250 individuals will leave institutions for care in their own communities during 2000-01 and new admissions will be limited to emergency situations and to persons entering special treatment units. Projections are that by the end of next fiscal year, there will be less than 1,720 people

### **Second Year of NYS-CARES Beds Fully Funded**



## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

---

living in developmental centers, of whom more than one-half will live in specialized settings. OMRDD remains committed to deinstitutionalization for all consumers who can be appropriately cared for in community settings.

However, reflecting the Governor's priority of protecting the public from individuals with dangerous behaviors, the 2000-01 Executive Budget recommends funding to increase State-operated capacity for persons with severe behavioral involvement who require intensive treatment services. Many of these individuals are referred from the Criminal Justice system as a condition of parole or diverted by the courts at sentencing, while others are identified from within the OMRDD system as requiring more intensive interventions.

Twenty-four new secure beds will be established at the Regional Behavior Intensive Treatment Unit on the Finger Lakes Developmental Disabilities Services Office Campus. Further, staffing ratios will be enriched for 150 persons currently residing in Multiply Disabled Units who need more intensive supervision due to behavioral issues. These enriched units are called Intensive Treatment Units and offer an appropriate level of care to persons who cannot be adequately cared for in regular developmental centers or Multiply Disabled Units, but do not require a secure treatment setting.

The Budget recommendations also support completion of 60 new secure Center for Intensive Treatment beds at Norwich, which are expected to open during 2001-02. In 2000-01, OMRDD will also serve 60 new consumers dually diagnosed with both developmental disabilities and with mental illness, many of whom will transfer from the Office of Mental Health's care. Forty of these consumers will be served in new Intensive Treatment Unit beds. Because their primary diagnosis is mental retardation/developmental disability, these persons will receive more appropriate care in the OMRDD service system. In addition to this expansion of specialized settings, the 2000-01 State Operations recommendation includes funding to develop 24 new State-operated community beds in New York City to accommodate high priority referrals of severely disabled children from the Health and Hospitals Corporation and the Administration for Children's Services. In addition, the Budget recommendations fund continued development of 100 State-operated community residential opportunities for the NYS-CARES program.

Effective March 2000, OMRDD will fully implement the Medicaid Service Coordination initiative which unifies two case management systems (Comprehensive Medicaid Case Management and Waiver Case Management) into a single new service. This reform establishes a uniform set of billing, service and documentation requirements, reimburses on the basis of consumer need and strengthens the role of case managers in the OMRDD system.

Infrastructure throughout the State and not-for-profit systems will be maintained through new capital appropriations of \$63.1 million and reappropriations of \$112 million. Capital appropriations for institutional projects focus on the need to invest resources into preserving and maintaining long-term facilities for essentially a core population of behaviorally involved consumers. Capital projects in the community reflect a considerable investment to maintain both State and non-profit community based sites, and to develop State-operated out-of-home residential placements for adult consumers on the waiting list under the NYS-CARES initiatives. Non-profit capital development needs for NYS-CARES and other program expansion initiatives will continue to be met through the use of non-State revenues such as Federal Housing and Urban Development (HUD) grants and private financing.

In total, these recommendations — through the combination of new and currently operating programs — will support an estimated 7,700 new service opportunities in community programs during 2000-01. This includes community placements for people in developmental centers and for mandated populations, as well as service opportunities for people on community waiting lists. Services to individuals and families have also been preserved within family support services.

### ***PROGRAM HIGHLIGHTS***

OMRDD serves over 116,000 New Yorkers with developmental disabilities, which include mental retardation, epilepsy, cerebral palsy, neurological impairments and autism. In recent years, New York has made great strides in its methods of delivering services to this vulnerable population, moving more persons from institutions to the community than any other state in the nation. In addition, New York now places greater emphasis on consumer choice and satisfaction.

Under a 1991 Federal Medicaid waiver, consumers have the opportunity to receive individualized services in less restrictive settings. With the aid of trained service coordinators, consumers choose the services they need, and receive them in appropriate settings. New York commits more resources to its Home and Community Based Services (HCBS) Waiver program than any state in the nation, investing three times as much as the next highest state offering services under a waiver.

Maintaining a statewide system of services, delivered through both the State and non-profit providers, OMRDD:

- provides 34,500 persons with certified residential services;
- provides 61,000 persons with community day services; and,
- assists in the care of 68,500 persons with developmental disabilities who are living in their own homes.

An overview of these services is provided below:

### ***RESIDENTIAL SERVICES***

Residential services are offered through a continuum of programs in both community and institutional settings. The alternative which provides the most intensive services in a community setting is the Intermediate Care Facility for the Developmentally Disabled (ICF/DD). These facilities — some 8,300 beds operated statewide by both State and not-for-profit providers — are appropriate for individuals requiring 24-hour care. A typical community ICF has 12 to 14 beds.

The most common residential placement for persons under the waiver are Individual Residential Alternatives (IRAs) — homes, typically for 6 to 8 consumers, operated by either the State or not-for-profit providers in the community. This budget supports nearly 13,000 IRA beds and accompanying service coordination. Other community living arrangements include Community Residences and Family Care homes, which serve nearly 10,000 people.

In addition to these community-based programs, OMRDD operates nine campuses across the State. Less than 1,720 people will be served in these settings by the end of 2000-01, of whom more than half will be receiving specialized services. OMRDD remains committed to providing community residential opportunities for all those in State institutions who can receive appropriate care in the community. Currently, New York serves more persons in community residential settings than any other state, with the exception of California.

### ***DAY SERVICES***

OMRDD supports an array of day services for persons with developmental disabilities, which also vary depending on the needs of the consumer. The major programs include:

- day treatment which provides diagnostic, treatment, and rehabilitative services;
  - day habilitation, a smaller more individualized service for persons under the Federal Medicaid waiver for home and community based services;
  - supported work, which provides the opportunity for individuals to work in competitive positions usually in integrated settings in the private sector;
  - sheltered workshops which provide basic, non-competitive work opportunities;
- and,

## MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

- day training which develops the knowledge and skills that enable persons with developmental disabilities to improve their personal, social, and vocational skills and to function independently.

### **SUPPORT FOR CONSUMERS LIVING IN THEIR OWN HOMES**

OMRDD services also support families and individuals in their own homes. The Family Support Services program assists families in caring for nearly 61,000 persons with developmental disabilities, enabling these individuals to remain at home. Services offered include respite, crisis intervention, case management, recreation, information and referral, and home care.

The Individualized Support Services program provides services to 1,600 disabled individuals who live independently. In addition, over 5,000 individuals living in their own homes receive residential habilitation under the Federal Medicaid waiver.

The Care at Home program provides a third alternative, designed to preserve family settings for persons under 18 years of age who are developmentally disabled and medically frail. This program allows the parents of young persons with severe disabilities to maintain the child at home, regardless of family income level, thereby preventing more costly out-of-home placements.

#### **ALL FUNDS APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$1,022,852,500	\$1,045,434,000	+\$22,581,500	\$45,000
Aid To Localities .....	984,817,560	1,068,454,000	+83,636,440	1,912,000
Capital Projects .....	66,381,000	63,117,000	-3,264,000	112,261,000
<b>Total .....</b>	<b>\$2,074,051,060</b>	<b>\$2,177,005,000</b>	<b>+\$102,953,940</b>	<b>\$114,218,000</b>

#### **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Central Coordination and Support					
General Fund .....	659	671	....	671	+12
Special Revenue Funds - Other .....	18	18	....	18	....
Community Services					
General Fund .....	14,933	15,787	....	15,787	+854
Institutional Services					
General Fund .....	5,841	5,310	....	5,310	-531
Enterprise Funds .....	10	10	....	10	....
Research in Mental Retardation					
General Fund .....	222	222	....	222	....
<b>Total .....</b>	<b>21,683</b>	<b>22,018</b>	<b>....</b>	<b>22,018</b>	<b>+335</b>



# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$137,641,500	\$131,455,000	-\$6,186,500
Special Revenue Funds - Federal .....	217,000	63,000	-154,000
Special Revenue Funds - Other .....	882,504,000	911,411,000	+28,907,000
Enterprise Funds .....	1,950,000	1,950,000	.....
Fiduciary Funds .....	540,000	555,000	+15,000
<b>Total .....</b>	<b>\$1,022,852,500</b>	<b>\$1,045,434,000</b>	<b>+\$22,581,500</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
<b>Central Coordination and Support</b>			
General Fund .....	\$50,946,000	\$51,021,000	+\$75,000
Special Revenue Funds - Federal .....	61,000	63,000	+2,000
Special Revenue Funds - Other .....	1,604,000	1,604,000	.....
<b>Community Services</b>			
General Fund .....	624,826,000	639,264,000	+14,438,000
Special Revenue Funds - Federal .....	156,000	.....	-156,000
<b>Institutional Services</b>			
General Fund .....	327,182,000	335,275,000	+8,093,000
Enterprise Funds .....	1,950,000	1,950,000	.....
Fiduciary Funds .....	505,000	505,000	.....
<b>Maintenance Undistributed</b>			
General Fund .....	-880,900,000	-909,807,000	-28,907,000
Special Revenue Funds - Other .....	880,900,000	909,807,000	+28,907,000
<b>Research in Mental Retardation</b>			
General Fund .....	15,587,500	15,702,000	+114,500
Expendable Trust Funds .....	35,000	50,000	+15,000
<b>Total .....</b>	<b>\$1,022,852,500</b>	<b>\$1,045,434,000</b>	<b>+\$22,581,500</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Central Coordination and Support .....	\$36,051,000	-\$3,000	\$33,835,000	-\$3,000	\$1,991,000	.....
Community Services .....	539,541,000	+12,593,000	525,085,000	+12,593,000	4,262,000	.....
Institutional Services .....	208,051,000	+703,000	201,037,000	+703,000	967,000	.....
Research in Mental Retardation .....	13,601,000	+103,500	13,193,000	+103,500	260,000	.....
<b>Total .....</b>	<b>\$797,244,000</b>	<b>+\$13,396,500</b>	<b>\$773,150,000</b>	<b>+\$13,396,500</b>	<b>\$7,480,000</b>	<b>.....</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Central Coordination and Support .....	\$225,000	.....
Community Services .....	10,194,000	.....
Institutional Services .....	6,047,000	.....
Research in Mental Retardation .....	148,000	.....
<b>Total .....</b>	<b>\$16,614,000</b>	<b>.....</b>

# **MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

## **STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Central Coordination and Support . . .	\$14,970,000	+\$78,000	\$534,000	+\$78,000
Community Services . . . . .	99,723,000	+1,845,000	35,069,000	+2,068,000
Institutional Services . . . . .	127,224,000	+7,390,000	18,099,000	+317,000
Research in Mental Retardation . . .	2,101,000	+11,000	788,000	+11,000
<b>Total . . . . .</b>	<b>\$244,018,000</b>	<b>+\$9,324,000</b>	<b>\$54,490,000</b>	<b>+\$2,474,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Central Coordination and Support . . .	\$1,113,000	....	\$12,071,000	....
Community Services . . . . .	5,597,000	....	48,599,000	....
Institutional Services . . . . .	944,000	....	26,191,000	+\$3,000,000
Research in Mental Retardation . . .	62,000	....	956,000	....
<b>Total . . . . .</b>	<b>\$7,716,000</b>	<b>....</b>	<b>\$87,817,000</b>	<b>+\$3,000,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Coordination and Support . . .	\$1,252,000	....	....	....
Community Services . . . . .	4,881,000	....	\$5,577,000	-\$223,000
Institutional Services . . . . .	1,817,000	....	80,173,000	+4,073,000
Research in Mental Retardation . . .	295,000	....	....	....
<b>Total . . . . .</b>	<b>\$8,245,000</b>	<b>....</b>	<b>\$85,750,000</b>	<b>+\$3,850,000</b>

## **STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Central Coordination and Support . . .	\$1,667,000	+\$2,000	\$1,034,000	....
Community Services . . . . .	....	-156,000	....	....
Institutional Services . . . . .	2,455,000	....	274,000	....
Research in Mental Retardation . . .	50,000	+15,000	....	....
<b>Total . . . . .</b>	<b>\$4,172,000</b>	<b>-\$139,000</b>	<b>\$1,308,000</b>	<b>....</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Coordination and Support . . .	\$570,000	....	\$63,000	+\$2,000
Community Services . . . . .	....	....	....	-156,000
Institutional Services . . . . .	2,181,000	....	....	....
Research in Mental Retardation . . .	50,000	+\$15,000	....	....
<b>Total . . . . .</b>	<b>\$2,801,000</b>	<b>+\$15,000</b>	<b>\$63,000</b>	<b>-\$154,000</b>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$604,932,560	\$620,466,000	+\$15,533,440
Special Revenue Funds - Other .....	377,885,000	445,988,000	+68,103,000
Fiduciary Funds .....	2,000,000	2,000,000	.....
<b>Total .....</b>	<b>\$984,817,560</b>	<b>\$1,068,454,000</b>	<b>+\$83,636,440</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Community Services			
General Fund .....	\$601,948,000	\$620,466,000	+\$18,518,000
Special Revenue Funds - Other .....	377,885,000	445,988,000	+68,103,000
Fiduciary Funds .....	2,000,000	2,000,000	.....
Community Projects			
General Fund .....	2,984,560	.....	-2,984,560
<b>Total .....</b>	<b>\$984,817,560</b>	<b>\$1,068,454,000</b>	<b>+\$83,636,440</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Design and Construction Supervision				
Capital Projects Fund .....	\$600,000	\$2,000,000	+\$1,400,000	.....
Mental Hygiene Capital Improvement Fund .....	2,000,000	3,000,000	+1,000,000	.....
Non-Bondable Projects				
Capital Projects Fund .....	2,000,000	2,000,000	.....	.....
Voluntary-Operated Community Facilities				
Capital Projects Fund .....	8,000,000	8,383,000	+383,000	\$9,602,000
Mental Hygiene Capital Improvement Fund .....	2,600,000	2,678,000	+78,000	2,600,000
State-Operated Community Services Program				
Capital Projects Fund .....	10,200,000	10,200,000	.....	14,097,000
Mental Hygiene Capital Improvement Fund .....	7,100,000	2,500,000	-4,600,000	24,669,000
Institutional Services Program				
Capital Projects Fund .....	15,895,000	19,445,000	+3,550,000	28,691,000
Mental Hygiene Capital Improvement Fund .....	17,986,000	12,911,000	-5,075,000	32,602,000
<b>Total .....</b>	<b>\$66,381,000</b>	<b>\$63,117,000</b>	<b>-\$3,264,000</b>	<b>\$112,261,000</b>

# ***DIVISION OF MILITARY AND NAVAL AFFAIRS***

## ***MISSION***

The mission of the Division of Military and Naval Affairs (DMNA) is twofold:

- Through the State's militia, to support a well-trained military force ready to respond to civil emergencies and natural disasters, and with respect to federally recognized units, threats to the nation's security; and
- Through the State Emergency Management Office (SEMO), to coordinate the State's response to natural and man-made disasters and to prepare the State, its local governments and its people to deal effectively with any such potential disasters.

Over the last five years, the Division has refined its mission to include joint partnerships with local communities. The broadened mission includes aid to law enforcement agencies in their counter-drug actions, non-emergency National Guard assistance to communities, and military-style programs designed to assist at-risk youths.

## ***ORGANIZATION AND STAFFING***

Under the direction of the Adjutant General, who is appointed by the Governor, the Division consists of the New York Army National Guard, the New York Air National Guard, the Naval Militia, the New York Guard, and the SEMO. Coordinated through the main office in Albany, the Division operates over 60 armories as well as 28 maintenance shops, six Air Guard bases, and three Army Aviation Support facilities. In addition, DMNA provides administrative support for some 17,000 New York-based National Guard troops who are paid directly by the Federal government.

SEMO serves as the operational component of the Disaster Preparedness Commission, which is responsible for State disaster preparedness plans and the coordination of State disaster operations.

The Division will have a workforce of 653 in 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Executive Budget recommendations for fiscal year 2000-01 reflect a long-range approach to restructuring DMNA that is consistent with the restructuring and downsizing of the Federal military. As a result, DMNA's mission has evolved to include increased assistance to local communities for such projects as tearing down abandoned buildings used by drug dealers and providing necessary support during disasters. DMNA is conducting a comprehensive review to determine which armories are vital to the continued realization of its changing mission. Up to four facilities will be closed in 2000-01.

The 2000-01 budget recommendations include:

- Federal funds of approximately \$30.2 million supporting 56 percent of the Division's 2000-01 State Operations Budget.
- Approximately \$11.7 million in State tax dollars, which represents 22 percent of its operations budget in 2000-01.
- \$500,000 of special revenue funds to support the creation of a military heritage museum to display DMNA's large collection of historical artifacts.
- Special accounts funded with revenues from the nuclear power industry, armory rentals, and seized assets representing 22 percent of the operations budget.

## ***MILITARY AND NAVAL AFFAIRS***

---

- Special revenue and Federal grants supporting DMNA's Aid to Localities budget. Assessments paid by the operators of nuclear power generating facilities provide over \$1.6 million in radiological emergency preparedness aid to the counties in which the facilities are located.

The Capital Plan recommendations of \$9.7 million reflect the Division's priority to continue its efforts to effectively maintain armories and, where feasible, restore them to preserve their historic and future value. Efficiencies which will decrease operating costs for these facilities will mitigate funding requirements.

### ***PROGRAM HIGHLIGHTS***

#### ***RECRUITMENT INCENTIVE AND RETENTION PROGRAM***

Established in 1996, the Recruitment Incentive and Retention Program provides qualified individuals and active National Guard members with a tuition benefit for undergraduate study. The enormous success of the program has dramatically reversed the Guard's ten year decline in troop strength and improved New York's ability to maintain guard strength.

#### ***MILITARY READINESS***

The Military Readiness programs are the core of the Division's operations. These programs include the New York Army National Guard, the New York Air National Guard, the New York Guard, and the New York Naval Militia. The Division has been involved in a variety of military endeavors, including commanding the North East air defense, sending troops to Bosnia, and providing air support to the National Antarctica mission, an assignment that recently received national attention following the Air Guard's rescue of a mission scientist in need of immediate medical attention. In addition, the State's militia has responded to fires, blizzards, floods, and ice storms.

#### ***SPECIAL SERVICES***

The Division's portion of proceeds from assets seized from illegal drug traffickers support military counter narcotics activities and youth drug education programs. During the past five years, the New York National Guard has assisted in the seizure of nearly \$2 billion worth of illegal drugs and currency. The cornerstone of DMNA's special services is "guardHELP", an innovative program to link guard resources with current community needs. These include volunteerism, anti-crime programs, youth activities, and environmental objectives. The Division also conducts federally funded youth programs such as the Challenge Youth Program, a 22 week residential program at Camp Smith under which young adults earn a High School Equivalency Diploma. Additionally, the Special Services program includes the maintenance activities associated with armory rentals.

#### ***EMERGENCY MANAGEMENT***

SEMO coordinates the State's response to natural disasters and other emergencies. Recent emergencies have included Tropical Storm Floyd and the Bear Mountain fires in the summer of 1999, blizzards in the western portion of the state, and the ice storm of 1998. SEMO is also responsible for the development, testing and revision of radiological emergency plans at the State and county level to deal with possible radiological accidents

## MILITARY AND NAVAL AFFAIRS

at nuclear powered electric generating facilities. This Office also trains personnel to mitigate the risks of future disasters and administers the Disaster Assistance Program, which provides State and federally supported financial relief to localities and individuals affected by disasters.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$53,657,500	\$54,191,200	+\$533,700	\$11,651,800
Aid To Localities .....	7,687,500	7,150,000	-537,500	298,785,000
Capital Projects .....	8,925,000	9,725,000	+800,000	18,359,000
<b>Total .....</b>	<b>\$70,270,000</b>	<b>\$71,066,200</b>	<b>+\$796,200</b>	<b>\$328,795,800</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Administration					
General Fund .....	62	62	....	62	....
Disaster Assistance					
Special Revenue Funds - Federal .....	17	17	....	17	....
Emergency Management					
General Fund .....	15	19	....	19	+4
Special Revenue Funds - Federal .....	40	46	....	46	+6
Special Revenue Funds - Other .....	23	23	....	23	....
Military Readiness					
General Fund .....	181	178	....	178	-3
Special Revenue Funds - Federal .....	264	255	....	255	-9
Special Service					
Special Revenue Funds - Federal .....	46	43	....	43	-3
Special Revenue Funds - Other .....	6	10	....	10	+4
<b>Total .....</b>	<b>654</b>	<b>653</b>	<b>....</b>	<b>653</b>	<b>-1</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$13,291,300	\$11,737,800	-\$1,553,500
Special Revenue Funds - Federal .....	30,771,500	30,207,000	-564,500
Special Revenue Funds - Other .....	9,542,700	11,694,400	+2,151,700
Fiduciary Funds .....	52,000	552,000	+500,000
<b>Total .....</b>	<b>\$53,657,500</b>	<b>\$54,191,200</b>	<b>+\$533,700</b>

# MILITARY AND NAVAL AFFAIRS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund	\$2,829,300	\$3,141,000	+\$311,700
Disaster Assistance			
Special Revenue Funds - Federal	1,243,300	1,382,600	+139,300
Emergency Management			
General Fund	1,547,600	959,700	-587,900
Special Revenue Funds - Federal	7,070,600	7,137,800	+67,200
Special Revenue Funds - Other	1,813,200	1,920,300	+107,100
Military Readiness			
General Fund	8,914,400	7,637,100	-1,277,300
Special Revenue Funds - Federal	18,810,800	19,216,500	+405,700
Special Service			
Special Revenue Funds - Federal	3,646,800	2,470,100	-1,176,700
Special Revenue Funds - Other	7,729,500	9,774,100	+2,044,600
Expendable Trust Funds	52,000	552,000	+500,000
<b>Total</b>	<b>\$53,657,500</b>	<b>\$54,191,200</b>	<b>+\$533,700</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration	\$2,806,000	+\$344,300	\$2,791,000	+\$359,300	.....	-\$20,000
Emergency Management	803,800	-89,100	793,800	-89,100	.....	.....
Military Readiness	6,561,300	-251,100	6,209,300	-173,200	\$252,000	+100
<b>Total</b>	<b>\$10,171,100</b>	<b>+\$4,100</b>	<b>\$9,794,100</b>	<b>+\$97,000</b>	<b>\$252,000</b>	<b>-\$19,900</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	\$15,000	+\$5,000
Emergency Management	10,000	.....
Military Readiness	100,000	-78,000
<b>Total</b>	<b>\$125,000</b>	<b>-\$73,000</b>

# MILITARY AND NAVAL AFFAIRS

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$335,000	-\$32,600	\$45,000	-\$54,600
Emergency Management .....	155,900	-498,800	30,000	-44,100
Military Readiness .....	1,075,800	-1,026,200	148,000	-231,400
<b>Total .....</b>	<b>\$1,566,700</b>	<b>-\$1,557,600</b>	<b>\$223,000</b>	<b>-\$330,100</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$20,000	+\$5,100	\$260,000	+\$6,900
Emergency Management .....	25,900	+8,000	100,000	+37,300
Military Readiness .....	45,800	-10,000	422,000	-1,008,900
<b>Total .....</b>	<b>\$91,700</b>	<b>+\$3,100</b>	<b>\$782,000</b>	<b>-\$964,700</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$10,000	+\$10,000	.....	.....
Emergency Management .....	.....	.....	.....	-\$500,000
Military Readiness .....	20,000	-15,900	\$440,000	+240,000
<b>Total .....</b>	<b>\$30,000</b>	<b>-\$5,900</b>	<b>\$440,000</b>	<b>-\$260,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Disaster Assistance .....	\$1,382,600	+\$139,300	\$773,500	+\$128,200
Emergency Management .....	9,058,100	+174,300	3,701,200	+102,900
Military Readiness .....	19,216,500	+405,700	9,569,300	+195,100
Special Service .....	12,796,200	+1,367,900	2,761,500	+71,500
<b>Total .....</b>	<b>\$42,453,400</b>	<b>+\$2,087,200</b>	<b>\$16,805,500</b>	<b>+\$497,700</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Disaster Assistance .....	\$609,100	+\$11,100	.....	.....
Emergency Management .....	5,356,900	+71,400	.....	.....
Military Readiness .....	9,647,200	+210,600	.....	.....
Special Service .....	5,856,700	+546,400	\$4,178,000	+\$750,000
<b>Total .....</b>	<b>\$21,469,900</b>	<b>+\$839,500</b>	<b>\$4,178,000</b>	<b>+\$750,000</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$537,500	.....	-\$537,500
Special Revenue Funds - Federal .....	5,500,000	\$5,500,000	.....
Special Revenue Funds - Other .....	1,650,000	1,650,000	.....
<b>Total .....</b>	<b>\$7,687,500</b>	<b>\$7,150,000</b>	<b>-\$537,500</b>



# MILITARY AND NAVAL AFFAIRS

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Emergency Management			
General Fund .....	\$250,000	.....	-\$250,000
Special Revenue Funds - Federal .....	5,500,000	\$5,500,000	.....
Special Revenue Funds - Other .....	1,650,000	1,650,000	.....
Community Projects			
General Fund .....	287,500	.....	-287,500
Total .....	<u>\$7,687,500</u>	<u>\$7,150,000</u>	<u>-\$537,500</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Design and Construction Supervision				
Capital Projects Fund .....	\$2,750,000	\$1,750,000	-\$1,000,000	\$2,980,000
Federal Capital Projects Fund .....	275,000	275,000	.....	1,034,000
Army National Guard				
Capital Projects Fund .....	.....	.....	.....	1,043,000
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund .....	2,750,000	4,550,000	+1,800,000	6,078,000
Federal Capital Projects Fund .....	3,150,000	3,150,000	.....	7,224,000
Total .....	<u>\$8,925,000</u>	<u>\$9,725,000</u>	<u>+\$800,000</u>	<u>\$18,359,000</u>

# ***DEPARTMENT OF MOTOR VEHICLES***

## ***MISSION***

The New York State Department of Motor Vehicles (DMV) promotes safety on the State's highways by licensing drivers, registering motor vehicles, protecting the driving public and providing other related services.

## ***ORGANIZATION AND STAFFING***

Under the direction of the Commissioner, the Department operates from its main office in Albany (Empire State Plaza) and from three regional headquarters in Albany, Long Island and New York City. The Department also operates 31 district and branch offices which issue licenses and registrations. In addition, County Clerk offices act as DMV agents at 105 locations throughout the State.

The Department of Motor Vehicles will have a workforce of 3,364 for 2000-01 most of whom license drivers and register motor vehicles. Approximately 75 percent of these positions are supported by State tax dollars and 24 percent are financed by fees, including a portion of traffic violation fines in certain localities. The remaining one percent are paid with Federal grants.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Executive Budget recommends approximately \$116.9 million in State tax dollars in 2000-01 to support 58 percent of the Department's operating budget. The balance is financed by Federal funds and various fees and fines. These recommendations continue efforts to enhance customer service and driver safety, and support a variety of technology initiatives.

The driving public will now be able to renew their licenses for eight years. This proposal will include a new provision which provides for a refund on the second half of the licensing period should a motorist no longer require driving privileges in New York State.

The Department will also begin a two year program of reissuing New York State license plates for the more than nine million registered vehicles in the State. New plates were last issued in 1986 and many are no longer legible. In addition to the benefit of replacing illegible plates, this initiative will also help law enforcement identify fraudulent plates and uninsured drivers.

## ***PROGRAM HIGHLIGHTS***

### ***CUSTOMER SERVICE***

DMV issues driver's licenses and vehicle registrations, collects approximately \$900 million in revenue for the State and localities, monitors driver training and enforces the directives of local magistrates and departmental referees. State offices are also responsible for conducting road tests and maintaining enforcement sections that issue conditional and restricted use licenses and handle other suspension and revocation activities. The Department of Motor Vehicles served more than 20 million customers last year.

The Department also adjudicates traffic violations at 11 locations in New York City, western Suffolk County, Rochester and Buffalo. This allows local judges and criminal courts to dedicate their activities to criminal matters. This program is funded entirely by fines collected from violators. After State operating expenses are deducted, remaining funds are returned to the jurisdictions where the violations occurred.

## **MOTOR VEHICLES**

---

During the past two years the Department has significantly reduced waiting times in the metropolitan New York area offices through the addition of new staff, creative work scheduling and quality management techniques.

Last year the Department began a pilot program in certain parts of the State which allows customers the ability to schedule road test appointments via a toll free number. This service will soon be available throughout the entire State. In addition, the Department's internet website was upgraded to enable customers to perform certain motor vehicle transactions and to use credit cards for all payments.

### **VEHICLE AND DRIVER SAFETY**

Governor Pataki's highway safety policies have resulted in an historic reduction in fatalities on our roads. Contributing to this success have been enforcement efforts by State and local police, including a statewide crackdown to stop those who drink and drive or engage in aggressive driving on our highways, as well as enforcement activities which have increased seatbelt usage to 76 percent. These efforts have resulted in the lowest highway fatalities ever in New York State and the safest driving year on record.

DMV vehicle safety activities include: licensing and monitoring safety and emissions inspection stations; registering auto repair shops, dealers, transporters and dismantlers; and certifying vehicle inspectors, junk and salvage businesses and automotive body damage estimators.

Driver safety initiatives include implementation and oversight of educational or rehabilitative programs for motorists convicted of alcohol or drug related driving offenses, the point insurance reduction program and pre-licensing courses. DMV also licenses and monitors driving schools and instructors.

### **FIELD INVESTIGATION AND AUDIT**

One of the Department's major functions is to issue credentials which establish the identity and license status of drivers, the ownership of vehicles and boats, and the authenticity of auto-related businesses. External investigation activities concern stolen automobiles, fraudulent identity and motor vehicle documents and complaints regarding unlicensed and suspended drivers.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$210,032,800	\$202,671,600	-\$7,361,200	\$6,840,000
Aid To Localities .....	7,028,300	12,800,000	+5,771,700	6,130,200
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$217,061,100</u>	<u>\$215,471,600</u>	<u>-\$1,589,500</u>	<u>\$12,970,200</u>

# MOTOR VEHICLES

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund	314	272	....	272	-42
Administrative Adjudication					
Special Revenue Funds - Other	460	460	....	460	....
Clean Air					
Special Revenue Funds - Other	159	159	....	159	....
Compulsory Insurance					
Special Revenue Funds - Other	190	190	....	190	....
Governor's Traffic Safety Committee					
Special Revenue Funds - Federal	27	9	18	27	....
Operations					
General Fund	1,585	1,590	....	1,590	+5
Transportation Safety					
General Fund	670	666	....	666	-4
<b>Total</b>	<b>3,405</b>	<b>3,346</b>	<b>18</b>	<b>3,364</b>	<b>-41</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$123,864,900	\$116,892,500	-\$6,972,400
Special Revenue Funds - Federal	8,263,400	9,863,400	+1,600,000
Special Revenue Funds - Other	76,404,500	74,415,700	-1,988,800
Internal Service Funds	1,500,000	1,500,000	....
<b>Total</b>	<b>\$210,032,800</b>	<b>\$202,671,600</b>	<b>-\$7,361,200</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund	\$29,185,100	\$31,953,500	+\$2,768,400
Special Revenue Funds - Other	1,158,200	775,000	-383,200
Administrative Adjudication			
Special Revenue Funds - Other	28,760,600	28,760,600	....
Clean Air			
Special Revenue Funds - Other	9,711,700	9,711,700	....
Compulsory Insurance			
Special Revenue Funds - Other	14,271,100	12,983,400	-1,287,700
Governor's Traffic Safety Committee			
Special Revenue Funds - Federal	8,263,400	9,863,400	+1,600,000
Operations			
General Fund	85,158,300	75,261,000	-9,897,300
Internal Service Funds	1,500,000	1,500,000	....
Transportation Safety			
General Fund	9,521,500	9,678,000	+156,500
Special Revenue Funds - Other	22,502,900	22,185,000	-317,900
<b>Total</b>	<b>\$210,032,800</b>	<b>\$202,671,600</b>	<b>-\$7,361,200</b>

# MOTOR VEHICLES

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$12,524,800	-\$1,311,900	\$11,513,800	-\$1,309,000	\$113,000	-\$500
Operations .....	49,074,000	+27,800	48,898,000	+27,900	176,000	-100
Transportation Safety .....	23,509,000	+82,300	23,173,000	+82,700	36,000	-400
<b>Total .....</b>	<b>\$85,107,800</b>	<b>-\$1,201,800</b>	<b>\$83,584,800</b>	<b>-\$1,198,400</b>	<b>\$325,000</b>	<b>-\$1,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$898,000	-\$2,400
Transportation Safety .....	300,000	....
<b>Total .....</b>	<b>\$1,198,000</b>	<b>-\$2,400</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$19,428,700	+\$4,080,300	\$306,000	-\$400
Operations .....	26,187,000	-9,925,100	488,000	-9,625,200
Transportation Safety .....	-13,831,000	+74,200	910,000	-500
<b>Total .....</b>	<b>\$31,784,700</b>	<b>-\$5,770,600</b>	<b>\$1,704,000</b>	<b>-\$9,626,100</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$119,000	-\$200	\$18,776,700	+\$4,081,000
Operations .....	25,000	-400	25,269,000	-298,900
Transportation Safety .....	1,041,000	-600	5,379,000	+75,800
<b>Total .....</b>	<b>\$1,185,000</b>	<b>-\$1,200</b>	<b>\$49,424,700</b>	<b>+\$3,857,900</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$227,000	-\$100	....	....
Operations .....	405,000	-600	....	....
Transportation Safety .....	39,000	-500	-\$21,200,000	....
<b>Total .....</b>	<b>\$671,000</b>	<b>-\$1,200</b>	<b>-\$21,200,000</b>	<b>....</b>

# MOTOR VEHICLES

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$775,000	-\$383,200	.....	.....
Administrative Adjudication .....	28,760,600	.....	\$15,802,100	.....
Clean Air .....	9,711,700	.....	5,720,500	.....
Compulsory Insurance .....	12,983,400	-1,287,700	5,726,200	.....
Governor's Traffic Safety Committee .....	9,863,400	+1,600,000	411,000	.....
Operations .....	1,500,000	.....	.....	.....
Transportation Safety .....	22,185,000	-317,900	.....	.....
<b>Total .....</b>	<b>\$85,779,100</b>	<b>-\$388,800</b>	<b>\$27,659,800</b>	<b>.....</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$775,000	-\$383,200	.....	.....
Administrative Adjudication .....	12,958,500	.....	.....	.....
Clean Air .....	3,991,200	.....	.....	.....
Compulsory Insurance .....	7,257,200	-1,287,700	.....	.....
Governor's Traffic Safety Committee .....	202,400	.....	\$9,250,000	+\$1,600,000
Operations .....	.....	.....	1,500,000	.....
Transportation Safety .....	985,000	-317,900	21,200,000	.....
<b>Total .....</b>	<b>\$26,169,300</b>	<b>-\$1,988,800</b>	<b>\$31,950,000</b>	<b>+\$1,600,000</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available	Recommended	Change
	1999-00	2000-01	
General Fund .....	\$50,000	.....	-\$50,000
Special Revenue Funds - Federal .....	6,978,300	\$12,800,000	+\$5,821,700
<b>Total .....</b>	<b>\$7,028,300</b>	<b>\$12,800,000</b>	<b>+\$5,771,700</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available	Recommended	Change
	1999-00	2000-01	
Governor's Traffic Safety Committee Special Revenue Funds - Federal .....	\$6,978,300	\$12,800,000	+\$5,821,700
Community Projects General Fund .....	50,000	.....	-50,000
<b>Total .....</b>	<b>\$7,028,300</b>	<b>\$12,800,000</b>	<b>+\$5,771,700</b>

## ***MOTOR VEHICLES***

---

# **COMMISSION ON QUALITY OF CARE FOR THE MENTALLY DISABLED**

## **MISSION**

The Commission on Quality of Care for the Mentally Disabled provides oversight of the State and local mental hygiene systems that collectively spend more than \$5 billion in public funds annually. The Commission:

- monitors conditions of care in State institutions for the mentally ill and mentally retarded, licensed residential facilities, and outpatient programs;
- reports to the Governor and Legislature on how the laws and policies established to protect the rights of mentally disabled persons are being implemented; and
- makes recommendations to improve quality of care.

## **ORGANIZATION AND STAFFING**

Newly relocated to Schenectady, the Commission consists of a full-time chairman and two unsalaried members, each appointed by the Governor and confirmed by the Senate to serve for staggered five-year terms. During 2000-01, the agency will have a workforce of 93 positions funded by the General Fund, Federal Grants and other Federal revenues related to oversight of Medicaid programs.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Commission's State Operations appropriation, which comprises 95 percent of the total agency budget, is supported by the General Fund (32 percent), Federal grants (42 percent) and other funding, primarily receipts from the Medicaid program related to program oversight activities (26 percent).

Federal funding provides statewide protection and advocacy services for individuals with disabilities, using State staff and contracts with non-profit agencies, through the following Federal programs: Protection and Advocacy for the Developmentally Disabled; Client Assistance; Protection and Advocacy for Individuals with Mental Illness; Protection and Advocacy of Individual Rights; and Technology Related Protection and Advocacy programs. These Federal grants assist the Commission in strengthening the non-profit contract network which provides individuals with severe disabilities with protection and advocacy services under Federal law.

The agency also receives Federal reimbursement for agency staff activities related to the oversight and provision of Medicaid services. A combination of this funding and State tax dollars support staff investigations of deaths and allegations of abuse and neglect in mental hygiene facilities and other agency oversight functions.

The Aid to Localities appropriations, which comprise 5 percent of the total agency budget, fund:

- contracts with private, non-profit service provider agencies that provide advocacy services to residents of adult homes and adult care facilities; and
- contracts with non-profit Community Dispute Resolution Centers, which provide support services for the Surrogate Decision Making Committee (SDMC) program.

The 2000-01 Executive Budget supports completion of the Governor's 1998-99 initiative to expand the SDMC program statewide. The SDMC program provides a more responsive and lower cost alternative to the court system for securing non-emergency medical treatment for individuals in Department of Mental Hygiene residential facilities who cannot consent to treatment and do not have a surrogate to make these decisions.

The Executive Budget recommendation of \$9.6 million is \$130,300 less than 1999-2000. However, \$188,300 in Federal appropriations in excess of anticipated grant awards has been



## QUALITY OF CARE FOR THE MENTALLY DISABLED

removed, resulting in an increase in core program funding of \$58,000. Overall, the recommendation fully supports existing program and service levels.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$9,283,600	\$9,153,300	-\$130,300	\$5,689,500
Aid To Localities .....	468,000	468,000	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$9,751,600</b>	<b>\$9,621,300</b>	<b>-\$130,300</b>	<b>\$5,689,500</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	41	41	....	41	....
Administrative Program-Federal Salary Sharing					
Special Revenue Funds - Other .....	28	28	....	28	....
Client Assistance					
Special Revenue Funds - Federal .....	2	2	....	2	....
Protection and Advocacy for the Developmentally Disabled					
Special Revenue Funds - Federal .....	11	11	....	11	....
Protection and Advocacy for the Mentally III					
Special Revenue Funds - Federal .....	10	10	....	10	....
Protection and Advocacy IR					
Special Revenue Funds - Federal .....	1	1	....	1	....
<b>Total .....</b>	<b>93</b>	<b>93</b>	<b>....</b>	<b>93</b>	<b>....</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$2,886,000	\$2,933,000	+\$47,000
Special Revenue Funds - Federal .....	4,062,600	3,874,300	-188,300
Special Revenue Funds - Other .....	2,315,000	2,326,000	+11,000
Enterprise Funds .....	20,000	20,000	....
<b>Total .....</b>	<b>\$9,283,600</b>	<b>\$9,153,300</b>	<b>-\$130,300</b>

# QUALITY OF CARE FOR THE MENTALLY DISABLED

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund .....	\$2,886,000	\$2,933,000	+\$47,000
Enterprise Funds .....	20,000	20,000	....
Administrative Program-Federal Salary Sharing			
Special Revenue Funds - Other .....	2,225,000	2,236,000	+11,000
Client Assistance			
Special Revenue Funds - Federal .....	629,000	629,000	....
Conference Fee Account			
Special Revenue Funds - Other .....	90,000	90,000	....
Protection and Advocacy for the Developmentally Disabled			
Special Revenue Funds - Federal .....	1,492,800	1,455,300	-37,500
Protection and Advocacy for the Mentally Ill			
Special Revenue Funds - Federal .....	1,170,800	1,135,000	-35,800
Protection and Advocacy IR			
Special Revenue Funds - Federal .....	605,000	605,000	....
Technology Related Protection and Advocacy			
Special Revenue Funds - Federal .....	165,000	50,000	-115,000
<b>Total .....</b>	<b>\$9,283,600</b>	<b>\$9,153,300</b>	<b>-\$130,300</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$2,256,000	+\$29,000	\$2,244,000	+\$28,500	\$12,000	+\$500
<b>Total .....</b>	<b>\$2,256,000</b>	<b>+\$29,000</b>	<b>\$2,244,000</b>	<b>+\$28,500</b>	<b>\$12,000</b>	<b>+\$500</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$677,000	+\$18,000	\$41,100	+\$1,500
<b>Total .....</b>	<b>\$677,000</b>	<b>+\$18,000</b>	<b>\$41,100</b>	<b>+\$1,500</b>

<u>Program</u>	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$121,200	+\$3,100	\$456,600	+\$12,500
<b>Total .....</b>	<b>\$121,200</b>	<b>+\$3,100</b>	<b>\$456,600</b>	<b>+\$12,500</b>

<u>Program</u>	Equipment	
	Amount	Change
Administration .....	\$58,100	+\$900
<b>Total .....</b>	<b>\$58,100</b>	<b>+\$900</b>

# QUALITY OF CARE FOR THE MENTALLY DISABLED

---

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$20,000	....	....	....
Administrative Program-Federal				
Salary Sharing .....	2,236,000	+\$11,000	\$1,467,000	....
Client Assistance .....	629,000	....	94,700	+\$500
Conference Fee Account .....	90,000	....	....	....
Protection and Advocacy for the Developmentally Disabled .....	1,455,300	-37,500	536,500	-69,700
Protection and Advocacy for the Mentally Ill .....	1,135,000	-35,800	439,400	+2,400
Protection and Advocacy IR .....	605,000	....	83,200	+16,800
Technology Related Protection and Advocacy .....	50,000	-115,000	....	....
<b>Total .....</b>	<b>\$6,220,300</b>	<b>-\$177,300</b>	<b>\$2,620,800</b>	<b>-\$50,000</b>

Program	Nonpersonal Service	
	Amount	Change
Administration .....	\$20,000	....
Administrative Program-Federal		
Salary Sharing .....	769,000	+\$11,000
Client Assistance .....	534,300	-500
Conference Fee Account .....	90,000	....
Protection and Advocacy for the Developmentally Disabled .....	918,800	+32,200
Protection and Advocacy for the Mentally Ill .....	695,600	-38,200
Protection and Advocacy IR .....	521,800	-16,800
Technology Related Protection and Advocacy .....	50,000	-115,000
<b>Total .....</b>	<b>\$3,599,500</b>	<b>-\$127,300</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$95,000	\$95,000	....
Special Revenue Funds - Other .....	373,000	373,000	....
<b>Total .....</b>	<b>\$468,000</b>	<b>\$468,000</b>	<b>....</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Adult Homes			
General Fund .....	\$95,000	\$95,000	....
Surrogate Decision Making			
Special Revenue Funds - Other .....	373,000	373,000	....
<b>Total .....</b>	<b>\$468,000</b>	<b>\$468,000</b>	<b>....</b>

***TRANSPORTATION,  
ECONOMIC  
DEVELOPMENT AND  
ENVIRONMENTAL  
CONSERVATION***



# **ADIRONDACK PARK AGENCY**

## **MISSION**

The Adirondack Park Agency (APA) was established in 1971 to "insure the optimum overall conservation, protection, development and use of the unique scenic, aesthetic, wildlife, recreational, open space, ecological and natural resources of the Adirondack Park." The Park itself was created in 1892, and contains six million acres of publicly- and privately-owned lands.

## **ORGANIZATION AND STAFFING**

The APA is governed by an 11-member board, including the Commissioners of Environmental Conservation and Economic Development, and the Secretary of State. The other members, five of whom must be Park residents, are nominated by the Governor with Senate confirmation. The principal functions of the APA are:

- reviewing and issuing permits for private and State land-use projects, consistent with the Adirondack Park State Land Master Plan and the Adirondack Park Private Land Use and Development Plan, and for certain activities on or near fresh water wetlands, pursuant to the 1975 Freshwater Wetlands Act;
- analyzing and developing policy to further the goals for which the agency was established;
- helping local governments develop land use plans and providing technical expertise;
- administering the State's Wild, Scenic and Recreational River System; and
- operating two Visitor Interpretive Centers: one near Paul Smith's College, Franklin County, and one in Newcomb, Essex County, at which visitors can better understand and appreciate the Park's resources.

APA's responsibilities are carried out by the following divisions: Planning, which handles local and regional land use policy issues; Counsel's Office, which provides legal advice to all Agency functions and oversees jurisdictional determinations and enforcement functions; Regulatory, which performs the Agency's permitting function; Interpretive, which operates the Visitor Centers; Resource Analysis, which conducts scientific research of the ecology of the Adirondacks; Economic Services, which assists project sponsors in the review process; and Local Government Services, which provides technical expertise and assistance to communities. For fiscal year 2000-01, the APA will have a workforce of 60 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Agency's fiscal year 2000-01 operating costs will be funded with State tax dollars and Federal grant moneys. The Executive Budget recommends funding of \$3.6 million in General Fund support for the Agency's operations and \$300,000 in Federal New York State Scenic Byways Program funding to enhance the Route 73 corridor. The Agency's 2000-01 capital infrastructure needs will be addressed by a \$100,000 capital appropriation to be suballocated from the Department of Environmental Conservation. This overall recommendation will support the Agency's core regulatory functions and the operation of the Visitor Interpretive Centers at Newcomb and Paul Smith's.

# ADIRONDACK PARK AGENCY

In addition, the Executive Budget recommends General Fund support of \$50,000 for the Adirondack Park Local Government Review Board. The Board advises and assists the APA in carrying out its responsibilities and monitors the implementation of the Adirondack Park Land Use and Development Plan.

## PROGRAM HIGHLIGHTS

Since 1995-96, the Agency has worked to achieve a balance between strong environmental protection and sustainable economic development opportunities for the residents of the Adirondack Park. The Agency's priorities for the future include continued updating of the Agency's rules and regulations, facilitating the development of land use plans by local governments, providing local governments with technical expertise and training, and improving resource data base information to better protect the resources of the Adirondack Park.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$3,556,800	\$3,895,700	+ \$338,900	\$476,000
Aid To Localities .....	50,000	50,000	.....	.....
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$3,606,800</b>	<b>\$3,945,700</b>	<b>+ \$338,900</b>	<b>\$476,000</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration General Fund .....	60	60	.....	60	.....
<b>Total .....</b>	<b>60</b>	<b>60</b>	<b>.....</b>	<b>60</b>	<b>.....</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$3,556,800	\$3,595,700	+ \$38,900
Special Revenue Funds - Federal .....	.....	300,000	+ 300,000
<b>Total .....</b>	<b>\$3,556,800</b>	<b>\$3,895,700</b>	<b>+ \$338,900</b>

# ADIRONDACK PARK AGENCY

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$3,556,800	\$3,595,700	+ \$38,900
Special Revenue Funds - Federal .....	.....	300,000	+ 300,000
Total .....	<u>\$3,556,800</u>	<u>\$3,895,700</u>	<u>+ \$338,900</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$3,053,700	+ \$38,900	\$2,910,500	+ \$38,900	\$139,500	.....
Total .....	<u>\$3,053,700</u>	<u>+ \$38,900</u>	<u>\$2,910,500</u>	<u>+ \$38,900</u>	<u>\$139,500</u>	<u>.....</u>

<u>Program</u>	Holiday/Overtime Pay (Annual Salaried)	
	<u>Amount</u>	<u>Change</u>
Administration .....	\$3,700	.....
Total .....	<u>\$3,700</u>	<u>.....</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total		Supplies and Materials	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$542,000	.....	\$83,500	.....
Total .....	<u>\$542,000</u>	<u>.....</u>	<u>\$83,500</u>	<u>.....</u>

<u>Program</u>	Travel		Contractual Services	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$44,500	.....	\$389,900	.....
Total .....	<u>\$44,500</u>	<u>.....</u>	<u>\$389,900</u>	<u>.....</u>

<u>Program</u>	Equipment	
	<u>Amount</u>	<u>Change</u>
Administration .....	\$24,100	.....
Total .....	<u>\$24,100</u>	<u>.....</u>



# ADIRONDACK PARK AGENCY

---

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$300,000	+ \$300,000	\$300,000	+ \$300,000
<b>Total</b> .....	<u>\$300,000</u>	<u>+ \$300,000</u>	<u>\$300,000</u>	<u>+ \$300,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$50,000	\$50,000	.....
<b>Total</b> .....	<u>\$50,000</u>	<u>\$50,000</u>	<u>.....</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration General Fund .....	\$50,000	\$50,000	.....
<b>Total</b> .....	<u>\$50,000</u>	<u>\$50,000</u>	<u>.....</u>

# ***DEPARTMENT OF AGRICULTURE AND MARKETS***

## ***MISSION***

The Department of Agriculture and Markets is charged with fostering a competitive and safe New York State food and agricultural industry for the benefit of producers and consumers. Over the next year, the Department will continue to carry out its major responsibilities for encouraging the growth and economic health of the State's agricultural and food industry and conducting various inspection and testing programs to enforce laws on food safety, animal and plant health, and accuracy of labeling. The Department will also continue to act to preserve agricultural resources, improve soil and water quality, and operate the annual State Fair in concert with the Industrial Exhibit Authority.

## ***ORGANIZATION AND STAFFING***

The Department will have a workforce of 537 positions for fiscal year 2000-2001. The Agency is headquartered in Albany and maintains four regional offices located in Buffalo, Syracuse, Rochester and Brooklyn. Approximately 30 percent of the Department of Agriculture and Markets' operating programs are funded by tax dollars in the General Fund and the remaining 70 percent are financed by fees, Federal grants and the Clean Water/Clean Air Bond Act.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Executive Budget recommends funding of more than \$109 million for the Department of Agriculture and Markets in 2000-2001. The cost of operating the Department will be supported from a combination of funding sources:

- Tax dollars from the General Fund will provide \$22.8 million in 2000-2001, or 30 percent of the Department's operating expenses.
- Fee revenues will produce \$43.8 million and support 57 percent of the Department's operating costs. These revenues include fees from activities such as licensing food processing operators, certifying weighing and measuring devices, and operation of the State Fair.
- Federal funding of \$9.6 million finances the remaining 13 percent of the Department's operations.

This Budget recommends \$850,000 in new funding to assist the Department to expand its efforts in the New York City region to locate and eradicate the Asian Longhorned Beetle, a pest which is deadly to hardwood trees and for which there is no safe and effective pesticide. Recommendations also include \$344,000 for operating costs of a new child care center for children of migrant farm workers to be located in Riverhead, Long Island, as well as \$109,000 to repair the roof of the Diagnostic Laboratory at Cornell University to protect the State's investment in valuable testing equipment and supplies.

In the capital area, \$600,000 is provided for capital projects to maintain, repair and rehabilitate the State Fair's 14 major buildings and other structures. The Executive Budget also recommends \$2 million for a capital special revenue fund to continue support for development of private partnerships at the State Fair. In addition, \$500,000 is recommended from the Clean Water/Clean Air Bond Act for

## **AGRICULTURE AND MARKETS**

---

implementation of the 1996 Act, which authorized farmland preservation and agricultural non-point source pollution control and abatement projects as eligible purposes. Funding from the Environmental Protection Fund is also provided for Soil and Water Conservation Districts, non-point source pollution control and farmland preservation programs.

The Executive Budget recommends \$11.9 million from the General Fund for local assistance to continue and expand programs which provide valuable services to the State's agricultural community. Included in these funds is \$1.15 million in new resources to support agricultural economic development and farmland viability program activities. In addition, an increase of \$15 million in Federal local assistance appropriation authority will allow the Department to apply for funding to expand growers' participation in Federal conservation programs.

### **PROGRAM HIGHLIGHTS**

The Agricultural Business Services program promotes the agricultural economy of the State and fosters the responsible use of resources to preserve agricultural land and the environment. These purposes are carried out through six divisions which:

- Inspect and test livestock, poultry and plants to control and eradicate diseases which can both cause severe economic losses for farmers and present a public health hazard;
- Oversee the activities of county soil and water conservation districts, direct the agricultural non-point source pollution control and farmland preservation grant programs, establish agricultural districts, administer agricultural product market orders and the Federal Farmers Market Coupon Program for low income families, and collect and disseminate statistical agricultural information; and
- Exercise a variety of statutorily required activities involving the pricing and marketing of milk and milk products, and the licensing and bonding of milk and farm products dealers.

The Consumer Food Services program ensures that wholesome food products are sold to the consumer and that the industry and the public are protected from fraud, adulteration or malpractice in the production, processing, transportation and retailing of food and gasoline, and in the use of measuring devices. In carrying out these purposes, the program:

- Licenses and inspects over 28,000 businesses that produce, process, manufacture, or distribute food products, enforces labeling laws governing food represented as kosher, and grades farm products;
- Inspects and tests dairy products to enforce laws pertaining to milk and milk product sanitation and guards against harmful or misrepresented food; and
- Certifies and calibrates weighing and measuring devices and oversees the testing of motor fuels under the Motor Fuel Quality and Clean Air Programs.

### **STATE FAIR**

The Department and the Industrial Exhibit Authority together direct the New York State Fair and Fairgrounds, located in Syracuse. The Fairgrounds, a 365-acre complex, has 14 major exhibit buildings and 107 other structures. It is used for the annual 12-day State Fair, and its facilities are rented year-round for various shows and activities. The operating costs of the Fair and Fairgrounds are fully funded from admission, rental and concession fees. General Fund capital funding of \$600,000 is included in the budget to support costs of maintaining the Fair's facilities. In addition, a capital special revenue fund appropriation of \$2 million is recommended

## AGRICULTURE AND MARKETS

to allow the Fair to expand private partnerships and make capital improvements at the Fairgrounds.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$70,576,600	\$76,157,100	+ \$5,580,500	\$17,218,500
Aid To Localities .....	17,912,700	29,883,800	+ 11,971,100	11,581,900
Capital Projects .....	3,078,000	3,100,000	+ 22,000	7,390,000
<b>Total .....</b>	<b>\$91,567,300</b>	<b>\$109,140,900</b>	<b>+ \$17,573,600</b>	<b>\$36,190,400</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	35	35	....	35	....
Agricultural Business Services					
General Fund .....	88	88	....	88	....
Special Revenue Funds - Federal .....	3	3	....	3	....
Special Revenue Funds - Other .....	47	38	....	38	-9
Expendable Trust Funds .....	9	9	....	9	....
Clean Water/Clean Air Administration Program					
Capital Projects Funds - Other .....	8	8	....	8	....
Consumer Food Services					
General Fund .....	212	212	....	212	....
Special Revenue Funds - Federal .....	21	21	....	21	....
Special Revenue Funds - Other .....	76	65	....	65	-11
State Fair					
Enterprise Funds .....	58	58	....	58	....
<b>Total .....</b>	<b>557</b>	<b>537</b>	<b>....</b>	<b>537</b>	<b>-20</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$21,359,200	\$22,806,200	+ \$1,447,000
Special Revenue Funds - Federal .....	7,387,000	9,597,000	+ 2,210,000
Special Revenue Funds - Other .....	25,970,500	25,856,900	-113,600
Enterprise Funds .....	14,140,600	16,224,900	+ 2,084,300
Fiduciary Funds .....	1,719,300	1,672,100	-47,200
<b>Total .....</b>	<b>\$70,576,600</b>	<b>\$76,157,100</b>	<b>+ \$5,580,500</b>

# AGRICULTURE AND MARKETS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund . . . . .	\$3,863,600	\$3,863,300	-\$300
Agricultural Business Services			
General Fund . . . . .	7,187,700	8,509,500	+ 1,321,800
Special Revenue Funds - Federal . . . . .	5,152,000	7,252,000	+ 2,100,000
Special Revenue Funds - Other . . . . .	16,644,200	16,979,000	+ 334,800
Fiduciary Funds . . . . .	1,719,300	1,672,100	-47,200
Consumer Food Services			
General Fund . . . . .	10,307,900	10,433,400	+ 125,500
Special Revenue Funds - Federal . . . . .	2,235,000	2,345,000	+ 110,000
Special Revenue Funds - Other . . . . .	9,326,300	8,877,900	-448,400
State Fair			
Enterprise Funds . . . . .	14,140,600	16,224,900	+ 2,084,300
<b>Total . . . . .</b>	<b>\$70,576,600</b>	<b>\$76,157,100</b>	<b>+\$5,580,500</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$1,880,600	-\$89,600	\$1,780,600	-\$89,600	\$91,200	. . . .
Agricultural Business Services . . . . .	4,861,700	+ 301,400	4,152,900	+ 119,300	598,600	+ \$182,100
Consumer Food Services . . . . .	8,909,800	+ 88,300	8,521,600	+ 88,300	101,900	. . . .
<b>Total . . . . .</b>	<b>\$15,652,100</b>	<b>+\$300,100</b>	<b>\$14,455,100</b>	<b>+\$118,000</b>	<b>\$791,700</b>	<b>+ \$182,100</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$8,800	. . . .
Agricultural Business Services . . . . .	110,200	. . . .
Consumer Food Services . . . . .	286,300	. . . .
<b>Total . . . . .</b>	<b>\$405,300</b>	<b>. . . .</b>

# AGRICULTURE AND MARKETS

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,982,700	+ \$89,300	\$29,800	+ \$700
Agricultural Business Services . .	3,647,800	+ 1,020,400	172,600	+ 4,200
Consumer Food Services . . . . .	1,523,600	+ 37,200	155,700	+ 3,900
Total . . . . .	\$7,154,100	+ \$1,146,900	\$358,100	+ \$8,800

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$31,300	+ \$700	\$1,921,600	+ \$87,900
Agricultural Business Services . .	405,800	+ 6,000	1,912,000	+ 100,100
Consumer Food Services . . . . .	885,200	+ 21,600	350,300	+ 8,500
Total . . . . .	\$1,322,300	+ \$28,300	\$4,183,900	+ \$196,500

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Agricultural Business Services . .	\$307,400	+ \$60,100	\$850,000	+ \$850,000
Consumer Food Services . . . . .	132,400	+ 3,200	. . . . .	. . . . .
Total . . . . .	\$439,800	+ \$63,300	\$850,000	+ \$850,000

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Agricultural Business Services . .	\$25,903,100	+ \$2,387,600	\$3,143,000	+ \$563,200
Consumer Food Services . . . . .	11,222,900	-338,400	4,676,400	-475,400
State Fair . . . . .	16,224,900	+ 2,084,300	4,614,200	+ 54,300
Total . . . . .	\$53,350,900	+ \$4,133,500	\$12,433,600	+ \$142,100

Program	Nonpersonal Service	
	Amount	Change
Agricultural Business Services . .	\$22,760,100	+ \$1,824,400
Consumer Food Services . . . . .	6,546,500	+ 137,000
State Fair . . . . .	11,610,700	+ 2,030,000
Total . . . . .	\$40,917,300	+ \$3,991,400

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$14,912,700	\$11,883,800	-\$3,028,900
Special Revenue Funds - Federal . . . . .	3,000,000	18,000,000	+ 15,000,000
Total . . . . .	\$17,912,700	\$29,883,800	+ \$11,971,100

# AGRICULTURE AND MARKETS

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Agricultural Business Services			
General Fund . . . . .	\$12,058,500	\$11,883,800	-\$174,700
Special Revenue Funds - Federal . . . . .	3,000,000	18,000,000	+ 15,000,000
Community Projects			
General Fund . . . . .	2,854,200	. . . .	-2,854,200
Total . . . . .	<u>\$17,912,700</u>	<u>\$29,883,800</u>	<u>+ \$11,971,100</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Design and Construction Supervision				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$520,000
State Fair				
Capital Projects Fund . . . . .	\$600,000	\$600,000	. . . .	4,640,000
Misc. Capital Projects . . . . .	2,000,000	2,000,000	. . . .	2,230,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund . . . . .	478,000	500,000	+ \$22,000	. . . .
Total . . . . .	<u>\$3,078,000</u>	<u>\$3,100,000</u>	<u>+ \$22,000</u>	<u>\$7,390,000</u>

# ***DEPARTMENT OF ECONOMIC DEVELOPMENT***

## ***MISSION***

Together with the Empire State Development Corporation, the New York State Department of Economic Development:

- Advises the Governor and Legislature on all major economic development issues and decisions;
- Develops State economic development strategies;
- Provides technical and financial assistance to businesses through a network of regional offices; and
- Coordinates the efforts of other State agencies, authorities and organizations, as well as local governments, on actions which affect the State's economy.

## ***ORGANIZATION AND STAFFING***

State economic development programs are administered by the Department of Economic Development working in conjunction with the Empire State Development Corporation. The Department and Corporation are distinct entities, but both are headed by the Commissioner of Economic Development and share senior managers. In addition, the Department and Corporation will work closely with the New York Office of Science, Technology and Academic Research (NYSTAR), which was established in 1999 to foster technology-related job creation.

The Department of Economic Development will have a workforce of 253 in 2000-01. The Department's central office is in Albany, with ten regional offices located in Albany, Buffalo, Rochester, Syracuse, Utica, Binghamton, Fishkill, Ogdensburg, Plainview and New York City, and satellite offices in Lake Placid, Plattsburgh and Elmira.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

State tax dollars from the General Fund will finance 89 percent, or \$46.5 million, of the Department of Economic Development's \$52.1 million Budget in 2000-01. The balance of the Department's Executive Budget will be supported by revenues raised through licensing of the "I ♪ NY" logo, sale of advertising in the "I ♪ NY" Travel Guide, and through seminars and programs run by the Department which directly offset the costs of these programs. Also included are Federal dollars used to help defense-dependent industries diversify into new markets, support recycling market development and to help small business comply with Clean Air Act mandates.

The 2000-01 Budget provides:

- \$1.7 million for the Empire State Technology Employment Incentive Program;
- \$11 million for "I ♪ NY" tourism advertising;
- \$4.8 million for local tourism matching grants;
- \$4.5 million for marketing and promoting the State's favorable business climate;
- \$177,000 for the Adirondack North Country Association;
- \$600,000 for economic development projects in the Catskill watershed;
- \$3.1 million for local administration of Economic Development Zones, which includes funding for six new Zones that will be designated in 2000;



## ***ECONOMIC DEVELOPMENT***

---

- \$165,000 to continue State efforts to ensure a complete count of New York State's population in the 2000 Federal Census; and
- \$1.5 million to attract international trade to New York State, and increase export sales to foreign countries.
- \$1 million for the New York State Technology Enterprise Corporation to commercialize technologies developed at the United States Air Force Rome Laboratory and \$300,000 for the Griffiss Local Development Corporation to redevelop the former Griffiss Air Force Base. This funding represents the final year of State support for these organizations.

### ***PROGRAM HIGHLIGHTS***

#### ***TECHNOLOGY EMPLOYMENT INCENTIVE PROGRAM***

This new program will address the shortage of highly skilled employees facing New York State's high technology companies. In order to encourage graduates of the State's leading engineering, computer science and applied science programs to make their careers in New York, this program will enable employers in targeted industries to offer prospective employees cash incentives worth \$3,400 annually for four years.

#### ***MARKETING AND ADVERTISING***

This program promotes New York State as a premier tourist destination and business location. Major activities include the "I 1 NY" advertising campaign and local tourism matching grants administered through locally based tourism promotion agencies representing the State's 62 counties. The Department of Economic Development also manages tourist information services at the Beekmantown and Binghamton Gateway Centers, develops the State's tourism master plan, targets information to consumers and the travel trade, participates in national and international trade shows, provides technical assistance to tour directors, and creates publications for use by the Department and the other economic development agencies.

#### ***INTERNATIONAL***

The International Trade program promotes exports from, and attracts foreign investment to, New York State. Based in New York City, this program manages the Department's international offices in Montreal, Toronto, London, and Tokyo, and contractual presences in Frankfurt, Jerusalem, Mexico City, Chile, Brazil, Argentina and South Africa. The program also coordinates State participation in trade shows and missions, compiles and disseminates trade leads, and administers grants and seminars designed to encourage increased exporting.

#### ***ECONOMIC DEVELOPMENT ZONES***

The Economic Development Zones program benefits distressed areas suffering from high unemployment. Businesses located in a designated Zone may qualify for tax incentives and other economic development benefits designed to encourage business expansion and job creation. Currently, there are 52 Economic Development Zones statewide that were selected on a competitive basis. Zones are located in the following communities: Albany, Amsterdam, Auburn, Binghamton, Brookhaven,

## ***ECONOMIC DEVELOPMENT***

---

Brooklyn Navy Yard, Buffalo, Dunkirk, East New York, East Harlem, Elmira, Friendship, Fulton, Geneva, Gloversville, Griffiss Air Force Base, Hancock Air Force Base, Hunts Point, Islip, Jamestown, Kingston, Kirkwood, Lackawanna, Lowville/Martinsburg, Moriah/Port Henry, Niagara Falls, North Shore/Staten Island, Norwich, Ogdensburg, Olean/Allegany, Oswego, Plattsburgh, Plattsburgh Air Force Base, Port Morris, Potsdam, Poughkeepsie, Riverhead, Rochester, Rockaway, Rome, Schenectady, South Jamaica, Seneca Army Depot, Stewart

## ***ECONOMIC DEVELOPMENT***

---

Air Force Base, Sunset Park/Red Hook/Southwest Brooklyn, Syracuse, Tioga County, Troy, Utica, Watertown, Watervliet Arsenal, and Yonkers. In addition, legislation enacted in 1999 will result in the establishment of six new zones in 2000.

### ***BUSINESS ASSISTANCE PROGRAMS***

To improve the competitiveness of New York State companies, the Department of Economic Development provides assistance to businesses for productivity assessments, business-specific skills training for new and existing workers and third-party technical assistance to develop strategies for expanding export markets.

### ***SMALL BUSINESS ASSISTANCE***

The Division for Small Business serves as an ombudsman for small business and also offers these enterprises training and technical assistance. In addition, the Department provides State and Federal procurement assistance to small business. The Division also operates the Clean Air Act Ombudsman Unit, which helps small business comply with these environmental regulations.

### ***LINKED DEPOSIT PROGRAM***

This joint public/private program enables companies to obtain loans from commercial banks at an interest rate that is 2 percent to 3 percent lower than the prevailing rate. The banks are compensated by deposits of State funds earning interest at comparably reduced rates. In 1999, legislation was enacted to increase funding available for this program by \$50 million, increasing the program from \$150 million to \$200 million.

### ***RECYCLING MARKET DEVELOPMENT PROGRAM***

The Department of Economic Development is the lead agency in developing New York's recycling industries and creating programs to help municipalities and businesses develop uses for secondary materials.

### ***MINORITY AND WOMEN'S BUSINESS DEVELOPMENT***

The Division of Minority and Women's Business Development was established to increase the participation of minority- and women-owned businesses in State procurement opportunities. The Division identifies and certifies minority- and women-owned business enterprises; publishes a directory of certified firms to market small businesses to public and private sector organizations; and provides technical assistance to minority- and women-owned businesses.

### ***POLICY AND RESEARCH***

This joint Empire State Development Corporation/Department of Economic Development division develops the annual State strategic plan for economic development; collects and disseminates economic and demographic information; performs policy analysis and economic research; monitors and intervenes in State regulatory activities affecting energy supply, telecommunications, transportation, environmental facilities and commercial/industrial site and facility development; and coordinates the development and review of State economic development programs.

## ECONOMIC DEVELOPMENT

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$40,355,700	\$40,078,800	-\$276,900	\$10,947,000
Aid To Localities .....	21,840,235	12,033,600	-9,806,635	12,240,000
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$62,195,935</b>	<b>\$52,112,400</b>	<b>-\$10,083,535</b>	<b>\$23,187,000</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	51	50	.....	50	-1
Special Revenue Funds - Other .....	8	8	.....	8	.....
Clean Air					
Special Revenue Funds - Other .....	5	5	.....	5	.....
Economic Development					
General Fund .....	144	144	.....	144	.....
Special Revenue Funds - Other .....	4	4	.....	4	.....
Marketing and Advertising Program					
General Fund .....	42	41	.....	41	-1
Special Revenue Funds - Other .....	1	1	.....	1	.....
Science & Technology - Administration					
General Fund .....	8	.....	.....	.....	-8
<b>Total .....</b>	<b>263</b>	<b>253</b>	<b>.....</b>	<b>253</b>	<b>-10</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$34,695,800	\$34,418,900	-\$276,900
Special Revenue Funds - Federal .....	1,000,000	1,000,000	.....
Special Revenue Funds - Other .....	4,659,900	4,659,900	.....
<b>Total .....</b>	<b>\$40,355,700</b>	<b>\$40,078,800</b>	<b>-\$276,900</b>

# ECONOMIC DEVELOPMENT

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund . . . . .	\$3,014,000	\$3,014,000	. . . .
Special Revenue Funds - Other . . . . .	1,739,900	1,739,900	. . . .
Clean Air			
Special Revenue Funds - Other . . . . .	500,000	500,000	. . . .
Economic Development			
General Fund . . . . .	12,666,800	13,166,800	+ \$500,000
Special Revenue Funds - Federal . . . . .	1,000,000	1,000,000	. . . .
Special Revenue Funds - Other . . . . .	1,420,000	1,420,000	. . . .
Marketing and Advertising Program			
General Fund . . . . .	18,420,100	18,238,100	-182,000
Special Revenue Funds - Other . . . . .	1,000,000	1,000,000	. . . .
Science & Technology - Administration			
General Fund . . . . .	594,900	. . . .	-594,900
Total . . . . .	<u>\$40,355,700</u>	<u>\$40,078,800</u>	<u>-\$276,900</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$2,070,000	. . . .	\$2,041,800	. . . .	\$28,200	. . . .
Economic Development . . . . .	7,830,000	+ \$285,000	7,799,000	+ \$285,000	31,000	. . . .
Marketing and Advertising Program . . . . .	1,736,900	. . . .	1,722,400	. . . .	14,500	. . . .
Science & Technology - Administration . . . . .	. . . .	-320,900	. . . .	-320,900	. . . .	. . . .
Total . . . . .	<u>\$11,636,900</u>	<u>-\$35,900</u>	<u>\$11,563,200</u>	<u>-\$35,900</u>	<u>\$73,700</u>	<u>. . . .</u>

## ECONOMIC DEVELOPMENT

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$944,000	. . . .	\$110,000	. . . .
Economic Development . . . . .	5,336,800	+ \$215,000	135,000	+ \$4,000
Marketing and Advertising Program . . . . .	16,501,200	-182,000	31,000	. . . .
Science & Technology - Administration . . . . .	. . . .	-274,000	. . . .	-8,000
<b>Total . . . . .</b>	<b>\$22,782,000</b>	<b>-\$241,000</b>	<b>\$276,000</b>	<b>-\$4,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$42,000	. . . .	\$749,000	. . . .
Economic Development . . . . .	291,000	+ \$17,000	3,284,000	+ \$192,000
Marketing and Advertising Program . . . . .	39,400	. . . .	750,000	. . . .
Science & Technology - Administration . . . . .	. . . .	-19,000	. . . .	-244,000
<b>Total . . . . .</b>	<b>\$372,400</b>	<b>-\$2,000</b>	<b>\$4,783,000</b>	<b>-\$52,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$43,000	. . . .	. . . .	. . . .
Economic Development . . . . .	155,000	+ \$2,000	\$1,471,800	. . . .
Marketing and Advertising Program . . . . .	800	. . . .	15,680,000	-\$182,000
Science & Technology - Administration . . . . .	. . . .	-3,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$198,800</b>	<b>-\$1,000</b>	<b>\$17,151,800</b>	<b>-\$182,000</b>

### STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,739,900	. . . .	\$487,100	. . . .
Clean Air . . . . .	500,000	. . . .	195,000	. . . .
Economic Development . . . . .	2,420,000	. . . .	130,000	. . . .
Marketing and Advertising Program . . . . .	1,000,000	. . . .	70,000	. . . .
<b>Total . . . . .</b>	<b>\$5,659,900</b>	<b>. . . .</b>	<b>\$882,100</b>	<b>. . . .</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,252,800	. . . .	. . . .	. . . .
Clean Air . . . . .	305,000	. . . .	. . . .	. . . .
Economic Development . . . . .	2,220,000	. . . .	\$70,000	. . . .
Marketing and Advertising Program . . . . .	930,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$4,707,800</b>	<b>. . . .</b>	<b>\$70,000</b>	<b>. . . .</b>

# ***ECONOMIC DEVELOPMENT***

---

## **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund . . . . .	\$21,840,235	\$12,033,600	-\$9,806,635
<b>Total</b> . . . . .	<u>\$21,840,235</u>	<u>\$12,033,600</u>	<u>-\$9,806,635</u>
Adjustments:			
Transfer(s) To			
Science, Technology and Academic Research, Office of Special Revenue Funds - Federal . . . . .	+ 5,000,000		
Appropriated 1999-00 . . . . .	<u>\$26,840,235</u>		

## **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Economic Development			
General Fund . . . . .	\$6,602,000	\$6,857,000	+ \$255,000
Marketing and Advertising Program			
General Fund . . . . .	6,676,600	5,176,600	-1,500,000
Community Projects			
General Fund . . . . .	<u>8,561,635</u>	. . . .	<u>-8,561,635</u>
<b>Total</b> . . . . .	<u>\$21,840,235</u>	<u>\$12,033,600</u>	<u>-\$9,806,635</u>

# ***EMPIRE STATE DEVELOPMENT CORPORATION***

## ***MISSION***

The Empire State Development Corporation (ESDC) — formerly the Urban Development Corporation (UDC) — is a New York State public benefit corporation. It engages in four principal activities: economic and real estate development; State facility financing; housing portfolio maintenance; and privatization initiatives.

## ***ECONOMIC AND REAL ESTATE DEVELOPMENT***

The Corporation provides financial and technical assistance to businesses, local governments and community-based not-for-profit corporations for economic development and large-scale real estate projects that create and/or retain jobs and reinvigorate distressed areas.

## ***STATE FACILITY FINANCING***

The Empire State Development Corporation issues bonds to finance the construction and modernization of correctional facilities and other special projects for the State. Debt service on these bonds is paid from appropriations by the State.

## ***HOUSING PORTFOLIO MAINTENANCE***

In the early 1970's, the Urban Development Corporation built 113 large-scale housing developments for low- to middle-income persons. The Corporation also built non-residential civic and industrial properties, including the Niagara Falls Convention Center, the Wards Island Fire Training Center, the Monroe County Fairgrounds, the Ten Eyck Plaza in Albany, and public school facilities in Buffalo, Manhattan, the Bronx, and Brooklyn. Since the mid-1970's, activity in this area has been limited to the monitoring and loan servicing of projects.

## ***PRIVATIZATION INITIATIVES***

The Corporation is charged with facilitating efforts by State agencies and authorities to privatize State functions and assets.

## ***ORGANIZATION AND STAFFING***

State economic development programs are administered by the Empire State Development Corporation working in conjunction with the Department of Economic Development. The Corporation and Department are distinct entities, but both are headed by the Commissioner of Economic Development and share senior managers. In addition, the Corporation and Department will work closely with the New York Office of Science, Technology and Academic Research (NYSTAR), which was established in 1999 to foster technology-related job creation. The Corporation will have a workforce of 311 in 2000-01. From the Corporation's central office in New York City, a Chief Operating Officer is responsible for day-to-day operations. The Corporation and Department of Economic Development share ten regional offices.



# **EMPIRE STATE DEVELOPMENT CORPORATION**

---

## **OVERSIGHT**

The Corporation is governed by a nine-member Board of Directors comprising two ex-officio members and seven members appointed by the Governor with the consent of the Senate. The Chair of the Empire State Development Corporation Board is selected by the Governor and also serves as the Commissioner of Economic Development. Board members serve without compensation.

## **SUBSIDIARIES**

The Corporation's Board of Directors is authorized to create subsidiaries to manage specific projects or economic development activities. Subsidiaries have been established to: (1) formulate policies and initiatives to promote economic growth in Harlem; (2) redevelop Times Square, including the condemnation and acquisition of blighted properties and recruitment of prospective tenants; (3) plan and oversee a mixed-use development on 74.5 acres on the East River in Queens County; and (4) redevelop the U.S. Postal Service facility known as the Farley Building in connection with the New York City Amtrak Train Station Redevelopment project.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

- The Empire State Development Corporation's activities are funded from State General Fund appropriations and corporate revenues generated by Corporation-owned residential and non-residential properties and by its financing programs. The Corporation's operating budget will be entirely supported by corporate revenues in 2000-01.
- The Executive Budget will provide \$112 million in support for economic development initiatives, including: the JOBS NOW program for large-scale projects which will create new jobs; the Empire State Economic Development Fund for projects that create or retain jobs; the Biotechnology Industry Growth Fund for small and start-up biotechnology companies; the Urban and Community Development and Minority- and Women-Owned Business Development and Lending programs; military base re-use and retention initiatives; and projects in the Upper Manhattan/South Bronx Empowerment Zone.

## **PROGRAM HIGHLIGHTS**

The Empire State Development Corporation administers economic development programs which:

- Provide low-cost loans and grants to businesses to help cover the cost of machinery and equipment purchases, factory improvements, training and business incubator development;
- Provide financial assistance for projects ranging from development of or improvements to commercial or retail facilities, tourism destinations, child care facilities, and commercial centers;
- Assist minority- and women-owned businesses, including programs administered in cooperation with local development organizations and community-based financial institutions;
- Provide funding for the economic development initiatives in distressed urban communities; and
- Provide funding for military base retention and redevelopment efforts.

# EMPIRE STATE DEVELOPMENT CORPORATION

## ALL FUNDS APPROPRIATIONS

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	\$182,760,100	\$112,004,100	-\$70,756,000	\$102,800,000
Capital Projects .....	.....	.....	.....	425,000,000
<b>Total .....</b>	<b><u>\$182,760,100</u></b>	<b><u>\$112,004,100</u></b>	<b><u>-\$70,756,000</u></b>	<b><u>\$527,800,000</u></b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$182,760,100	\$112,004,100	-\$70,756,000
<b>Total .....</b>	<b><u>\$182,760,100</u></b>	<b><u>\$112,004,100</u></b>	<b><u>-\$70,756,000</u></b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Economic Development			
General Fund .....	\$156,200,000	\$112,000,000	-\$44,200,000
Payments to Municipalities			
General Fund .....	4,100	4,100	.....
Community Projects			
General Fund .....	26,556,000	.....	-26,556,000
<b>Total .....</b>	<b><u>\$182,760,100</u></b>	<b><u>\$112,004,100</u></b>	<b><u>-\$70,756,000</u></b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Regional Development				
Community Enhancement Facilities Assistance Fund .....	.....	.....	.....	\$425,000,000
<b>Total .....</b>	<b><u>.....</u></b>	<b><u>.....</u></b>	<b><u>.....</u></b>	<b><u>\$425,000,000</u></b>



# ***ENERGY RESEARCH AND DEVELOPMENT AUTHORITY***

## ***MISSION***

The Energy Research and Development Authority was established in 1975 to develop and implement new energy technologies, focusing on renewable energy sources and energy conservation.

As part of its central mission, the Authority manages energy research, development and demonstration programs which are funded by assessments on gas and electric utilities. The Authority's programs strengthen New York's economic base by nurturing the growth of new products and industries and helping businesses reduce their costs. Projects are selected on a competitive basis to promote applied research on State energy problems. The Energy Research and Development Authority administers Federal grant programs which help businesses, schools and hospitals implement energy efficiency measures. It also issues tax-exempt bonds on behalf of investor-owned utilities for capital improvements. The Authority also administers the System Benefits Charge, intended to fund energy programs for the public during the transition to a fully competitive energy market. Programs will focus on low-income consumers, energy efficiency, research, development and environmental protection.

The Authority also manages the former nuclear fuel reprocessing plant at West Valley in Cattaraugus County and the Malta Rocket Fuel Area Superfund Site in Saratoga County.

## ***ORGANIZATION AND STAFFING***

The Energy Research and Development Authority is headed by a 13-member board, consisting of nine members nominated by the Governor with the consent of the Senate and four ex-officio members: the commissioners of the departments of Transportation and Environmental Conservation and the chairs of the Public Service Commission and the Power Authority of the State of New York. All board members serve without compensation.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Energy Research and Development Authority is partially funded by assessments on State public utility gross intrastate operating receipts. The 2000-01 Budget recommends approximately \$14.7 million in appropriations for the Authority's energy, research and development programs and \$13.9 million for ongoing work at West Valley. The Authority will also continue to administer the Federal Petroleum Overcharge Recovery Program.

# ENERGY RESEARCH AND DEVELOPMENT

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$18,406,000	\$16,156,000	-\$2,250,000	\$1,445,000
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	12,617,000	14,017,000	+ 1,400,000	.....
<b>Total .....</b>	<b>\$31,023,000</b>	<b>\$30,173,000</b>	<b>-\$850,000</b>	<b>\$1,445,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Federal .....	\$3,000,000	\$1,500,000	-\$1,500,000
Special Revenue Funds - Other .....	15,406,000	14,656,000	-750,000
<b>Total .....</b>	<b>\$18,406,000</b>	<b>\$16,156,000</b>	<b>-\$2,250,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Planning and Operation			
Special Revenue Funds - Federal .....	\$3,000,000	\$1,500,000	-\$1,500,000
Research, Development and Demonstration			
Special Revenue Funds - Other .....	15,406,000	14,656,000	-750,000
<b>Total .....</b>	<b>\$18,406,000</b>	<b>\$16,156,000</b>	<b>-\$2,250,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Planning and Operation .....	\$1,500,000	-\$1,500,000	\$1,500,000	-\$1,500,000
Research, Development and Demonstration .....	14,656,000	-750,000	14,656,000	-750,000
<b>Total .....</b>	<b>\$16,156,000</b>	<b>-\$2,250,000</b>	<b>\$16,156,000</b>	<b>-\$2,250,000</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Comprehensive Construction Program				
Western New York Nuclear Service Center Program				
Capital Projects Fund .....	\$12,500,000	\$13,900,000	+ \$1,400,000	.....
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund .....	117,000	117,000	.....	.....
<b>Total .....</b>	<b>\$12,617,000</b>	<b>\$14,017,000</b>	<b>+ \$1,400,000</b>	<b>.....</b>

# ***DEPARTMENT OF ENVIRONMENTAL CONSERVATION***

## ***MISSION***

The Department of Environmental Conservation is responsible for conserving, improving and protecting the State's natural resources and environment. The Department also works to control water, land and air pollution in order to enhance the health, safety and welfare of all New Yorkers. In addition, the Department plays a major role in the implementation of the \$1.75 billion Clean Water/Clean Air Bond Act, which was overwhelmingly approved by the voters in 1996.

## ***ORGANIZATION AND STAFFING***

The Department is headed by a Commissioner appointed by the Governor. The Department's Central Office is in Albany, with regional offices in Buffalo, Watertown, Avon, Syracuse, Long Island City, Ray Brook, Schenectady, New Paltz and Stony Brook. These regional offices are the operational arms of the Department. They review and issue environmental permits for activities regulated by the Department such as the operation of landfills and sewage treatment plants. In addition, these offices assure compliance with State and Federal environmental statutes, consistent with policy and management direction from program divisions in the Central Office.

The Department will have a workforce of 3,904 in fiscal year 2000-01. Approximately 38 percent of these positions are paid by State tax dollars from the General Fund; 47 percent are supported by State-imposed fees and other revenues and the remaining 15 percent are financed by Federal grants.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 2000-01 Executive Budget recommends funding of more than \$964 million for the Department of Environmental Conservation, including \$121 million in General Fund support. This recommendation will support the Department's core mission and ensure funding for ongoing priority projects.

General Fund appropriations will finance 25 percent of the Department of Environmental Conservation's operations in 2000-01. Fees and license revenues will support 54 percent, including the major permitting functions, the hazardous substances bulk storage and oil spill programs, and the hazardous waste remedial and enforcement programs. Federal funds will support the remaining 21 percent of the Department's budget.

The Environmental Protection Fund (EPF), established in 1993, will continue to provide dedicated resources of \$125 million to support environmental programs, including open space protection, local landfill closure and recycling programs, municipal park and waterfront revitalization projects, and farmland preservation and non-point source pollution control projects. The Fund is supported by revenues from the sale/lease of State property (\$5 million), the real estate transfer tax (\$112 million), and other revenues (\$8.0 million). The voter-approved Clean Water/Clean Air Bond Act authorizes \$1.75 billion for critical environmental programs in the following categories: Safe Drinking Water Program (\$355 million), Clean Water Program (\$790 million), Environmental Restoration Projects (\$200 million), Solid Waste Projects (\$175 million) and Air Quality Projects (\$230 million).

The Clean Air Fund, first established in 1993-94, will continue to provide the resources needed to meet the State's obligations under the Federal Clean Air Act to control stationary and mobile sources of air pollution. The Fund is supported

## ***ENVIRONMENTAL CONSERVATION***

---

by vehicle emission inspection fees and fees on regulated pollutants emitted by factories, power plants and other stationary source facilities.

General Fund appropriations will support the preservation and maintenance of the State's dams, bridges, regional facilities, maintenance centers, and the 20 percent match required for Federal grants provided through the State Revolving Fund, which provides low-cost loans to municipalities for water pollution control projects. Since 1992-93, the cost of the State match has been reimbursed by proceeds from the sale of bonds issued by the Environmental Facilities Corporation. Principal and interest on the bonds are paid from State taxes.

The 2000-01 Executive Budget provides more than \$964 million to support the Department's critical environmental, resource management and recreation programs. Included is:

- \$162 million from the Clean Water/Clean Air Bond Act for priority projects to restore brownfields, improve our air and water resources and support local landfill closure/recycling efforts. With the \$60 million included in the Department of Health and the \$1.1 billion available from appropriations made from 1996-97 through 1999-2000, over \$1.3 billion will be provided for Bond Act projects through 2000-01.
- \$125 million in new funding from the Environmental Protection Fund (EPF) to provide resources to address such high priority programs as New York City Watershed land purchases, continued implementation of the Hudson River Estuary Management Plan, stewardship projects at State parks and lands and development of the Hudson River Park. Other projects funded by the EPF in 2000-01 will include: land acquisition; landfill closure; local waste reduction/recycling and marketing of recycled materials; municipal park grants; local waterfront revitalization projects; non-point source water pollution control projects; farmland protection; the development and operation of the Pesticide Sales and Use Database as well as breast cancer/environmental risks studies at Cornell University; the State's Zoos, Botanical Gardens and Aquaria program; and the Albany Pine Bush Commission, biodiversity stewardship, and Long Island Pine Barrens/South Shore Estuary Reserve planning. Recommendations also reflect EPF funding for several Interstate commissions: the Interstate Sanitation (\$315,000), the Delaware River Basin (\$485,000), the Susquehanna River Basin (\$200,000), the Ohio River Valley Water Sanitation (\$12,500), the Great Lakes Basin (\$45,000), and the New England Interstate Water Pollution Control (\$26,320). Additionally, EPF funding of \$3.3 million partially reimburses local governments for property tax revenue losses due to forest property tax exemptions.
- \$4.6 million to implement the New York City Watershed Agreement — an increase of \$3 million over 1999-2000 levels. These funds will support State enforcement and monitoring efforts in the Watershed and the provision of technical assistance to participating Watershed communities.
- \$450.8 million in reappropriated funds from the 1986 Environmental Quality Bond Act for the cleanup of inactive hazardous waste sites and municipal landfill closures.
- \$260.3 million in new State and Federal funds for the State Revolving Fund low-interest loan program to build and rehabilitate municipal sewage treatment facilities.
- \$38.6 million to support the programs of the Conservation Fund. In 2000-01, an increase in licensing fees will be required to meet continuing program needs.
- \$27.3 million in new funding for basic capital infrastructure projects to ensure health, safety and compliance with State and Federal laws and environmental requirements.
- \$27.9 million in non-General Fund support for the State's Clean Air programs. New programs began in 1997-98 to control pollution from automobiles and

- to require permits for major stationary sources of air pollution and in 1999-2000, to control air pollution from heavy duty vehicles.
- \$373.4 million to support the operations of the Department, including a workforce of 3,904.

### **PROGRAM HIGHLIGHTS**

Under both State and Federal law, the Department carries out a wide range of environmental, regulatory, remedial, resource management, outdoor recreation and education programs. These include the protection and management of the State's air, water, mineral and energy resources, as well as the management of both solid and hazardous waste.

Since 1995-96, the Department has restructured its operations to eliminate redundant management layers and refocused its attention on those activities that present the greatest environmental risk. Additionally, the regulatory process for issuing environmental permits has been streamlined to simplify requirements while still ensuring that environmental standards are maintained and the State's natural resources are protected.

The Department's functions can be divided into the following categories: Natural Resources, Environmental Quality/Remediation and Environmental Enforcement and Regulation.

### **NATURAL RESOURCES**

In addition to its responsibility to protect the State's fish, wildlife and marine resources and habitats, the Fish, Wildlife and Marine program also manages the operation of 12 fish hatcheries, 1 game farm and 260 boat launching and fishing access sites. The primary source of funding for this program is sporting license fees (approximately \$32 million annually) deposited to the Conservation Fund.

The Lands and Forests program manages the more than 4 million acres of State land under the Department's jurisdiction, including nearly 3 million acres of State-owned land within the Adirondack and Catskill parks. Revenues from the sale of forest products from State lands help offset program costs. The State Forest Ranger force is charged with firefighting, search and rescue and enforcing rules, regulations and laws on State land.

The Mineral Resources program regulates the State's oil and gas wells and oversees the mined land reclamation program. This program is focused on returning land used for mining to a productive use through technical and environmental reviews of new and existing mined lands.

The Department also operates 51 campgrounds and 23 day-use areas within the Adirondack and Catskill parks, as well as the Belleayre Mountain Ski Center. These recreational facilities serve approximately 2 million visitors annually, generating tourist trade to their host communities. Camping and skiing user fees are intended to fully support facility operations.

### **ENVIRONMENTAL QUALITY/REMEDATION**

The 1988 Solid Waste Management Act established the State's policies for the management of solid waste, identifying reduction and recycling as the preferred options. The Act required municipalities to implement source separation programs and to prepare Local Solid Waste Management Plans. Also in 1988, the Department of Environmental Conservation established requirements for the construction and operation of solid waste management facilities, such as landfills. Local governments must meet those requirements before the Department will grant an operating permit. Since 1982, the Department has ordered the closing of over 450 landfills that posed an imminent threat to the environment.



## ***ENVIRONMENTAL CONSERVATION***

---

This has created a significant financial burden for municipalities which must bear the cost of landfill closure. The Clean Water/Clean Air Bond Act will provide additional resources to augment those provided from the 1986 Environmental Quality Bond Act (EQBA) and the Environmental Protection Fund to help municipalities defray these costs.

The 1990 amendments to the Federal Clean Air Act imposed sweeping new mandates on the State. While the cost of complying with the Act is significant, the cost of non-compliance would be equally severe. If the Federal Environmental Protection Agency determines that there is a deficiency in New York's clean air programs, then it must apply sanctions if the deficiency is not corrected within 18 months. Sanctions include the withholding of Federal highway funds and the requirement of a 2-for-1 air pollution emissions offset for new or modified sources of emissions in areas that do not meet Federal air quality standards. The sanction would result in a virtual ban on industrial expansion and would place New York at a severe disadvantage with other states.

New York has taken steps to implement a comprehensive stationary source air permit program, a small business assistance program and programs to reduce vehicular travel and inspect vehicle emission systems — all Federal requirements. In 1997-98, the State began implementing a decentralized vehicle emission testing system mandated by the Federal Clean Air Act. New York's system is more convenient and less costly to motorists than other Federally approved testing systems, while still reducing air pollution. This decentralized and simpler testing program allows motorists to visit their local automotive service stations to have emissions inspections performed. In 1999-2000, the new Heavy Duty Inspection and Maintenance Program began on a pilot basis and is supported by registration fees.

In addition, DEC will also initiate several other actions to aggressively address serious air pollution problems. New regulations will be developed to control the precursors to acid rain from sources within the State and reduce sulfur dioxide emissions by 50 percent beyond the requirements of the Clean Air Act. The aggressive nitrogen oxide control program for ozone, currently in effect only in the summer months, will be extended to an annual basis. DEC will also propose regulations to adopt the California law emission vehicle requirements for both light and medium duty vehicles.

The 1986 Environmental Quality Bond Act — commonly known as the State Superfund — made \$1.1 billion available for inactive hazardous waste cleanups, allowing the Department to embark on one of the most ambitious remedial programs in the nation. In response to New York's enforcement actions, violators have been required to commit more than \$2.6 billion for the investigation and remediation of identified inactive hazardous waste sites. This is in addition to the \$815 million spent from Bond Act funds to investigate and rededicate 902 toxic waste sites. Bond Act funds will be sufficient to support newly-identified critical activities through the end of the 2000-01 State Fiscal Year.

To maintain New York State's place as a national leader in protecting the environment, Governor Pataki has proposed legislation to refinance and improve the New York State Superfund program, providing \$138 million annually beginning in the 2001-02 State Fiscal Year for three cleanup programs — State Superfund, Voluntary Cleanup, and Oil Spill. This program will be funded equally by the State and industry. Additionally, the legislation provides for technical assistance grants to municipalities to identify and plan for redevelopment of brownfields and tax credits of up to \$41 million to encourage the redevelopment of abandoned industrial sites. The legislation maintains the most stringent environmental and public health standards in the nation, upholds the "polluters pay" principle and makes common sense reforms that will enable New York State to remove more contamination from the environment and return more sites to productive use safely and quickly.

# ENVIRONMENTAL CONSERVATION

## ENVIRONMENTAL ENFORCEMENT/REGULATION

An additional responsibility the Department of Environmental Conservation undertakes is to enforce and regulate a myriad of activities undertaken by businesses, local governments and individuals which can have an impact on the environment and the State's natural resources.

The Department carries out this responsibility through a variety of regulatory and permitting processes and through ongoing communication with those subject to environmental laws and regulations to ensure that such requirements are understood. The Department's Environmental Conservation Officers work closely with other staff to ensure that environmental laws and regulations are enforced.

Over the last three years, the Department has enhanced and improved its overall regulatory and enforcement capabilities, including the coordination of enforcement and inspection programs at each of its regional offices. The Department will continue to review its regulatory practices to streamline procedures and eliminate unnecessary requirements, while still ensuring that strict environmental standards are maintained.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations . . . . .	\$355,283,500	\$373,387,600	+ \$18,104,100	\$154,302,200
Aid To Localities . . . . .	10,731,000	456,300	-10,274,700	4,850,000
Capital Projects . . . . .	716,727,000	590,774,000	-125,953,000	4,437,430,000
Total . . . . .	<u>\$1,082,741,500</u>	<u>\$964,617,900</u>	<u>-\$118,123,600</u>	<u>\$4,596,582,200</u>

# ENVIRONMENTAL CONSERVATION

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

2000-01 Recommended Average Fill Level

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Administration					
General Fund	122	121	....	121	-1
Special Revenue Funds - Federal	183	183	....	183	....
Special Revenue Funds - Other	18	18	....	18	....
Air and Water Quality Management					
General Fund	162	157	....	157	-5
Special Revenue Funds - Federal	208	208	....	208	....
Special Revenue Funds - Other	447	447	....	447	....
Clean Water/Clean Air Administration Program					
Capital Projects Funds - Other	95	95	....	95	....
Environmental Enforcement					
General Fund	226	226	....	226	....
Special Revenue Funds - Other	258	258	....	258	....
Fish, Wildlife and Marine Resources					
General Fund	95	95	....	95	....
Special Revenue Funds - Federal	91	91	....	91	....
Special Revenue Funds - Other	308	308	....	308	....
Forest and Land Resources					
General Fund	270	270	....	270	....
Special Revenue Funds - Federal	14	14	....	14	....
Special Revenue Funds - Other	122	122	....	122	....
Operations					
General Fund	392	388	....	388	-4
Special Revenue Funds - Other	71	71	....	71	....
Rehabilitation and Improvement					
Capital Projects Funds - Other	54	54	....	54	....
Solid and Hazardous Waste Management					
General Fund	190	189	....	189	-1
Special Revenue Funds - Federal	82	82	....	82	....
Special Revenue Funds - Other	507	507	....	507	....
<b>Total</b>	<b>3,915</b>	<b>3,904</b>	<b>....</b>	<b>3,904</b>	<b>-11</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$93,813,100	\$93,969,600	+ \$156,500
Special Revenue Funds - Federal	65,747,000	79,729,400	+ 13,982,400
Special Revenue Funds - Other	195,723,400	199,658,600	+ 3,935,200
Internal Service Funds	....	30,000	+ 30,000
<b>Total</b>	<b>\$355,283,500</b>	<b>\$373,387,600</b>	<b>+ \$18,104,100</b>
Adjustments:			
Transfer(s) From			
Environmental Conservation, Department of Special Revenue Funds - Other	-1,753,900		
Transfer(s) To			
Environmental Conservation, Department of General Fund (Aid To Localities)	+ 226,600		
Special Revenue Funds - Federal	+ 1,753,900		
Environmental Facilities Corporation Special Revenue Funds - Other	+ 150,900		
Appropriated 1999-00	<u>\$355,661,000</u>		

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund . . . . .	\$7,511,100	\$7,522,700	+ \$11,600
Special Revenue Funds - Federal . . . . .	11,457,900	11,598,000	+ 140,100
Special Revenue Funds - Other . . . . .	1,961,600	2,128,600	+ 167,000
Internal Service Funds . . . . .	. . . . .	30,000	+ 30,000
Air and Water Quality Management			
General Fund . . . . .	10,198,900	10,221,200	+ 22,300
Special Revenue Funds - Federal . . . . .	15,139,500	26,484,000	+ 11,344,500
Special Revenue Funds - Other . . . . .	63,087,300	63,355,300	+ 268,000
Air Resources			
Special Revenue Funds - Federal . . . . .	9,383,600	10,279,400	+ 895,800
Construction Management			
Special Revenue Funds - Federal . . . . .	4,504,400	4,434,800	-69,600
ECO/Ranger Settlement			
General Fund . . . . .	2,900,000	. . . . .	-2,900,000
Environmental Enforcement			
General Fund . . . . .	15,165,500	18,238,400	+ 3,072,900
Special Revenue Funds - Other . . . . .	24,508,200	24,502,500	-5,700
Fish, Wildlife and Marine Resources			
General Fund . . . . .	6,226,100	7,357,900	+ 1,131,800
Special Revenue Funds - Federal . . . . .	14,834,800	16,796,100	+ 1,961,300
Special Revenue Funds - Other . . . . .	24,378,200	26,626,800	+ 2,248,600
Forest and Land Resources			
General Fund . . . . .	14,666,400	14,582,500	-83,900
Special Revenue Funds - Federal . . . . .	3,969,200	3,816,500	-152,700
Special Revenue Funds - Other . . . . .	16,026,000	16,982,500	+ 956,500
Operations			
General Fund . . . . .	26,479,200	25,381,400	-1,097,800
Special Revenue Funds - Other . . . . .	12,170,800	12,192,000	+ 21,200
Solid and Hazardous Waste Management			
General Fund . . . . .	10,665,900	10,665,500	-400
Special Revenue Funds - Federal . . . . .	6,457,600	6,320,600	-137,000
Special Revenue Funds - Other . . . . .	53,591,300	53,870,900	+ 279,600
Total . . . . .	<u>\$355,283,500</u>	<u>\$373,387,600</u>	<u>+ \$18,104,100</u>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$6,157,900	+ \$11,600	\$5,882,100	+ \$11,300	\$242,500	. . . .
Air and Water Quality Management . . . .	9,181,400	+ 22,300	9,077,900	+ 21,900	69,100	. . . .
ECO/Ranger Settlement . . . . .	. . . . .	. . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Environmental Enforcement . . . . .	13,147,800	+ 325,700	11,027,000	+ 304,700	. . . . .	. . . . .
Fish, Wildlife and Marine Resources . . . .	3,964,200	-68,200	3,760,500	-68,500	176,400	. . . . .
Forest and Land Resources . . . . .	13,173,500	-83,900	11,741,400	-92,700	541,900	. . . . .
Operations . . . . .	15,457,700	-208,800	14,403,500	-209,600	968,100	. . . . .
Solid and Hazardous Waste Management	9,289,500	+ 74,600	9,099,300	+ 73,700	97,200	. . . . .
<b>Total . . . . .</b>	<b>\$70,372,000</b>	<b>+ \$73,300</b>	<b>\$64,991,700</b>	<b>+ \$40,800</b>	<b>\$2,095,200</b>	<b>. . . . .</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$33,300	+ \$300
Air and Water Quality Management . . . .	34,400	+ 400
ECO/Ranger Settlement . . . . .	. . . . .	. . . . .
Environmental Enforcement . . . . .	2,120,800	+ 21,000
Fish, Wildlife and Marine Resources . . . .	27,300	+ 300
Forest and Land Resources . . . . .	890,200	+ 8,800
Operations . . . . .	86,100	+ 800
Solid and Hazardous Waste Management	93,000	+ 900
<b>Total . . . . .</b>	<b>\$3,285,100</b>	<b>+ \$32,500</b>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,364,800	.....	\$257,400	.....
Air and Water Quality Management .....		1,039,800	.....	270,000
ECO/Ranger Settlement . . . . .	.....	-\$2,900,000	.....	.....
Environmental Enforcement . . . . .	5,090,600	+ 2,747,200	92,300	.....
Fish, Wildlife and Marine Resources . . . . .	3,393,700	+ 1,200,000	161,000	.....
Forest and Land Resources . . . . .	1,409,000	.....	390,000	.....
Operations . . . . .	9,923,700	-889,000	949,400	+ \$71,200
Solid and Hazardous Waste Management . . . . .	1,376,000	-75,000	3,500	.....
<b>Total . . . . .</b>	<b>\$23,597,600</b>	<b>+ \$83,200</b>	<b>\$2,123,600</b>	<b>+ \$71,200</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$83,900	.....	\$1,005,400	.....
Air and Water Quality Management .....		174,300	.....	436,400
ECO/Ranger Settlement . . . . .	.....	.....	.....	.....
Environmental Enforcement . . . . .	309,400	-\$100,000	32,200	-\$200,000
Fish, Wildlife and Marine Resources . . . . .	273,200	.....	994,000	.....
Forest and Land Resources . . . . .	601,100	.....	316,300	.....
Operations . . . . .	1,115,900	+ 289,700	5,688,700	-2,749,900
Solid and Hazardous Waste Management . . . . .	3,300	.....	50,400	.....
<b>Total . . . . .</b>	<b>\$2,561,100</b>	<b>+ \$189,700</b>	<b>\$8,523,400</b>	<b>-\$2,949,900</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$18,100	.....	.....	.....
Air and Water Quality Management .....		159,100	.....	.....
ECO/Ranger Settlement . . . . .	.....	.....	.....	-\$2,900,000
Environmental Enforcement . . . . .	20,500	.....	\$4,636,200	+ 3,047,200
Fish, Wildlife and Marine Resources . . . . .	75,500	.....	1,890,000	+ 1,200,000
Forest and Land Resources . . . . .	101,600	.....	.....	.....
Operations . . . . .	669,700	.....	1,500,000	+ 1,500,000
Solid and Hazardous Waste Management . . . . .	1,600	.....	1,317,200	-75,000
<b>Total . . . . .</b>	<b>\$1,046,100</b>	<b>.....</b>	<b>\$9,343,400</b>	<b>+ \$2,772,200</b>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$13,756,600	+ \$337,100	\$8,690,900	+ \$105,400
Air and Water Quality Management + 1,570,700		89,839,300	+ 11,612,500	29,581,800
Air Resources . . . . .	10,279,400	+ 895,800	4,900,000	-300,000
Construction Management . . . . .	4,434,800	-69,600	2,434,000	. . . . .
Environmental Enforcement . . . . .	24,502,500	-5,700	14,397,600	-100,500
Fish, Wildlife and Marine Resources . . . . .	43,422,900	+ 4,209,900	19,824,100	+ 922,500
Forest and Land Resources . . . . .	20,799,000	+ 803,800	11,714,700	+ 430,500
Operations . . . . .	12,192,000	+ 21,200	2,491,100	-311,100
Solid and Hazardous Waste Management . . . . .	60,191,500	+ 142,600	22,268,500	-240,200
<b>Total . . . . .</b>	<b>\$279,418,000</b>	<b>+ \$17,947,600</b>	<b>\$116,302,700</b>	<b>+ \$2,077,300</b>

Program	Nonpersonal Service		Maintenance	Undistributed
	Amount	Change		
Administration . . . . .	\$5,065,700	+ \$231,700	. . . . .	. . . . .
Air and Water Quality Management + \$125,200		34,640,500	+ 9,916,600	\$25,617,000
Air Resources . . . . .	5,379,400	+ 1,195,800	. . . . .	. . . . .
Construction Management . . . . .	2,000,800	-69,600	. . . . .	. . . . .
Environmental Enforcement . . . . .	9,604,900	+ 94,800	500,000	. . . . .
Fish, Wildlife and Marine Resources . . . . .	20,335,300	+ 1,484,900	3,263,500	+ 1,802,500
Forest and Land Resources . . . . .	7,964,300	-26,700	1,120,000	+ 400,000
Operations . . . . .	9,677,900	+ 332,300	23,000	. . . . .
Solid and Hazardous Waste Management . . . . .	12,315,000	+ 223,900	25,608,000	+ 158,900
<b>Total . . . . .</b>	<b>\$106,983,800</b>	<b>+ \$13,383,700</b>	<b>\$56,131,500</b>	<b>+ \$2,486,600</b>

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$10,731,000	\$456,300	-\$10,274,700
<b>Total . . . . .</b>	<b>\$10,731,000</b>	<b>\$456,300</b>	<b>-\$10,274,700</b>
Adjustments:			
Transfer(s) From			
Environmental Conservation, Department of General Fund (State Operations) . . . . .			-226,600
Local Government Assistance General Fund . . . . .			-450,000
Appropriated 1999-00 . . . . .	\$10,054,400		

# ENVIRONMENTAL CONSERVATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund . . . . .	\$531,300	\$6,300	-\$525,000
Air and Water Quality Management			
General Fund . . . . .	753,100	. . . .	-753,100
Fish, Wildlife and Marine Resources			
General Fund . . . . .	200,000	. . . .	-200,000
Solid and Hazardous Waste Management			
General Fund . . . . .	450,000	450,000	. . . .
Community Projects			
General Fund . . . . .	8,796,600	. . . .	-8,796,600
<b>Total . . . . .</b>	<b>\$10,731,000</b>	<b>\$456,300</b>	<b>-\$10,274,700</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Design and Construction Supervision				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$14,000
Marine Resources				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	183,000
Federal Capital Projects Fund . . . . .	. . . .	\$3,850,000	+ \$3,850,000	3,041,000
Air Resources - EQBA				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	21,875,000
Environmental Quality Bond Act Fund				
Environmental Quality Bond Act Fund - 1986 . . . . .	. . . .	. . . .	. . . .	479,046,000
Air Resources - Clean Water/Clean Air				
Capital Projects Fund - 1996 CWA (Bondable) . . . . .	. . . .	26,000,000	+ 26,000,000	. . . .
State Air Quality Projects				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	1,137,000
Air Quality Projects				
Clean Air Fund . . . . .	. . . .	. . . .	. . . .	2,563,000
Water Resources - PWBA				
Capital Projects Fund - PWBA (Bondable) . . . . .	. . . .	. . . .	. . . .	33,889,000
Solid Waste Management				
Capital Projects Fund . . . . .	\$725,000	4,025,000	+ 3,300,000	725,000
Capital Projects Fund - Advances . . . . .	. . . .	. . . .	. . . .	2,475,000
Federal Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	35,475,000
Environmental Protection and Enhancements				
Environmental Protection Fund . . . . .	34,475,000	. . . .	-34,475,000	34,475,000
Environment and Recreation				
Environmental Protection Fund . . . . .	125,000,000	125,000,000	. . . .	295,367,000
Fish and Wildlife				
Capital Projects Fund . . . . .	500,000	1,200,000	+ 700,000	1,698,000
Federal Capital Projects Fund . . . . .	900,000	2,000,000	+ 1,100,000	5,077,000
Hudson River Habitat Restor. Fund . . . . .	. . . .	. . . .	. . . .	351,000
Lands and Forests				
Capital Projects Fund . . . . .	4,950,000	1,250,000	-3,700,000	17,631,000
Forest Preserve Expansion Fund . . . . .	. . . .	. . . .	. . . .	146,000
Water Resources - EQBA				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	9,900,000
Air Resources				
Capital Projects Fund . . . . .	. . . .	500,000	+ 500,000	4,810,000
Clean Air Fund . . . . .	3,000,000	3,000,000	. . . .	6,672,000
Administration				
Capital Projects Fund . . . . .	500,000	500,000	. . . .	1,626,000
Federal Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	175,000
Enterprise Fund . . . . .	. . . .	. . . .	. . . .	175,000
Lands and Forests - EQBA				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	634,000
Environmental Quality Protection Bond Fund				
Environmental Quality Protection Bond Fund . . . . .	. . . .	. . . .	. . . .	76,567,000
Clean Water/Clean Air Bond Fund				
Clean Water - Clean Air Bond Fund . . . . .	. . . .	. . . .	. . . .	1,438,825,000



## **ENVIRONMENTAL CONSERVATION**

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Pure Waters Bond Fund				
Pure Waters Bond Fund . . . . .	. . . .	. . . .	. . . .	33,911,000
Recreation				
Capital Projects Fund . . . . .	650,000	150,000	-500,000	2,535,000
Solid Waste Management - EQBA				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	39,428,000
Operations				
Capital Projects Fund . . . . .	9,550,000	10,900,000	+ 1,350,000	20,610,000
Financial Security Fund . . . . .	. . . .	. . . .	. . . .	1,982,000
Natural Resource Damages Fund . . . . .	. . . .	. . . .	. . . .	11,065,000
Water Resources				
Capital Projects Fund . . . . .	30,634,000	52,183,000	+ 21,549,000	125,297,000
Capital Projects Fund - Advances . . . . .	3,170,000	1,275,000	-1,895,000	16,980,000
Federal Capital Projects Fund . . . . .	112,021,000	216,914,000	+ 104,893,000	382,394,000
Air Quality - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable) . . . . .	37,000,000	. . . .	-37,000,000	99,885,000
Clean Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable) . . . . .	196,000,000	109,500,000	-86,500,000	471,170,000
Solid Waste - Clean Water/Clean Air 96				
Federal Capital Projects Fund . . . . .	30,000,000	. . . .	-30,000,000	30,000,000
Capital Projects Fund - 1996 CWA (Bondable) . . . . .	14,000,000	16,500,000	+ 2,500,000	84,595,000
Environmental Restoration - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable) . . . . .	10,000,000	10,000,000	. . . .	86,477,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund . . . . .	6,027,000	6,027,000	. . . .	6,027,000
Solid and Hazardous Waste Management - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable) . . . . .	37,625,000	. . . .	-37,625,000	450,785,000
Lands and Forests - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable) . . . . .	. . . .	. . . .	. . . .	11,000
Solid and Hazardous Waste Management				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	2,067,000
Capital Projects Fund - Advances . . . . .	60,000,000	. . . .	-60,000,000	97,659,000
<b>Total . . . . .</b>	<b>\$716,727,000</b>	<b>\$590,774,000</b>	<b>-\$125,953,000</b>	<b>\$4,437,430,000</b>

# ***ENVIRONMENTAL FACILITIES CORPORATION***

## ***MISSION***

The Environmental Facilities Corporation is a public benefit corporation established to help local governments, state agencies and private industry comply with State and Federal environmental laws and regulations. The Corporation works with these entities to design, construct, operate and finance air pollution control, water and wastewater treatment, and solid and hazardous waste disposal facilities. The Environmental Facilities Corporation's largest program is the Clean Water State Revolving Fund, which provides low-interest rate loans to municipalities to construct water pollution control facilities. The Corporation, in conjunction with the New York State Department of Health, jointly administers the Drinking Water State Revolving Fund. Funding for these programs is provided by a Federal grant and a corresponding State match. The State match for the Drinking Water Revolving Fund is provided from the Clean Water/Clean Air Bond Act. Administration of these programs is also supported by fees and interest generated through program operations.

## ***ORGANIZATION AND STAFFING***

The Environmental Facilities Corporation is governed by a seven-member Board of Directors who serve without compensation: the Commissioner of Environmental Conservation who serves as the chairman, the Commissioner of Health, the Secretary of State, and four members nominated to six-year terms by the Governor with Senate confirmation.

The Corporation is operated by a President appointed by the Board of Directors and has a workforce of 118, including 14 staff of the Department of Environmental Conservation who are assigned administratively to the Corporation.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The operations of the Environmental Facilities Corporation are funded by:

- Financing fees and annual fees charged to municipalities that receive Revolving Fund loans and a portion of State and Federal grants made for the Clean Water and Drinking Water programs; and
- User fees paid by businesses, municipalities and industrial clients for the Corporation's technical and financial services.

For fiscal year 2000-01, a total of \$7,435,800 is recommended for operations of the Corporation. In addition, State funds are included in the Department of Environmental Conservation and Department of Health's capital budgets for the required match to Federal funding for the Clean Water State Revolving Fund and Drinking Water State Revolving Fund programs.

## ***PROGRAM HIGHLIGHTS***

The Environmental Facilities Corporation currently administers six major programs: the two State Revolving Funds, Industrial Finance Services, Technical Advisory Services, the Clean Water/Clean Air Bond Act's small business environmental compliance assistance programs, and the Pipeline for Jobs Program.

## ***ENVIRONMENTAL FACILITIES***

---

### ***CLEAN WATER STATE REVOLVING LOAN FUND***

This program was established in 1989 to help municipalities comply with the Federal Clean Water Act by providing low-interest rate loans to build water pollution control facilities. Since 1989, the program has received Federal and State appropriations totaling \$1.7 billion and \$345 million, respectively. The State Revolving Fund has made loans totaling \$4.8 billion to 334 municipalities across the State. Interest rates range from as low as zero percent to no more than two-thirds of the market rate. These low-interest rate loans substantially reduce the cost of water pollution control projects for municipal borrowers making environmental compliance and protection more attainable.

### ***DRINKING WATER STATE REVOLVING LOAN FUND PROGRAM***

In 1996, Congress enacted Federal authorizing legislation for the Drinking Water State Revolving Fund program. This program, modeled after the Clean Water State Revolving Fund program, provides low interest rate loans to community and private water systems to finance safe drinking water projects. In cases of financial hardship, funds are also available from the Clean Water/Clean Air Bond Act to make grants for the construction of drinking water facilities. The Drinking Water Program has made loans totaling \$435.5 million and grants totaling \$62 million to 110 recipients across the State. Federal funding provided for the Drinking Water State Revolving Fund requires a 20 percent State match. In 2000-01, the program is supported by \$245.9 million in Federal awards, requiring a State match of \$49.2 million. The State's share of the Drinking Water State Revolving Fund is provided from the Clean Water/Clean Air Bond Act.

### ***INDUSTRIAL FINANCE PROGRAM***

Since 1976, the Industrial Finance Program has provided more than \$942 million in low-interest rate loans and \$188 million in loan refinancing to businesses and State agencies for environmental improvement projects. Projects eligible for loans include solid waste management facilities, hazardous waste site remediation, and water supply and wastewater management facilities. Loans under the program are financed from the proceeds of special obligation bonds issued by the Corporation.

### ***TECHNICAL ADVISORY SERVICES***

The Technical Advisory Services Program advises businesses, industrial clients, State agencies and municipalities on pollution prevention, waste management and compliance with environmental laws and regulations. The Corporation also provides fund management and loan and grant servicing to its clients. The Environmental Facilities Corporation addresses issues such as air pollution control; treatment, storage and disposal of industrial hazardous waste; inactive hazardous waste site remediation; water and waste water management; and resource recovery and recycling. This program is funded through fees paid by Corporation clients who use the services.

### ***FINANCIAL ASSISTANCE TO BUSINESS***

The Clean Water/Clean Air Bond Act provides \$60 million to assist small businesses in achieving compliance with environmental laws and regulations pertaining to air and water quality. The air and water quality programs are funded at \$30 million each and are used to assist small businesses in targeted sectors to procure capital equipment necessary to prevent pollution and achieve environmental compliance.

## ENVIRONMENTAL FACILITIES

The Environmental Facilities Corporation will work with village, town and city governments to identify businesses in need of assistance.

### PIPELINE FOR JOBS

The Pipeline For Jobs Program was created in 1999 to provide low-cost loans and financial assistance to municipalities, public utilities, public benefit corporations and businesses. The purpose of the program is to encourage and support water supply and cold water supply improvement projects which provide an economic development benefit to the State. A total of \$22.5 million was authorized and appropriated for this program in 1999-00. EFC is beginning to implement this program by developing regulations with the departments of Health, Economic Development and Environmental Conservation. These regulations will define the roles of the various agencies in the selection of projects and the disbursements of funds.

#### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$7,014,700	\$7,143,800	+ \$129,100	.....
Aid To Localities .....	22,799,000	292,000	-22,507,000	\$22,500,000
Capital Projects .....	\$29,813,700	\$7,435,800	-\$22,377,900	\$22,500,000
<b>Total .....</b>	<b>29,813,700</b>	<b>7,435,800</b>	<b>-22,377,900</b>	<b>22,500,000</b>

#### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
Special Revenue Funds - Other .....	98	98	.....	98	.....
Clean Water/Clean Air Administration Program					
Capital Projects Funds - Other .....	6	6	.....	6	.....
<b>Total .....</b>	<b>104</b>	<b>104</b>	<b>.....</b>	<b>104</b>	<b>.....</b>

#### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$7,014,700	\$7,143,800	+ \$129,100
<b>Total .....</b>	<b>\$7,014,700</b>	<b>\$7,143,800</b>	<b>+ \$129,100</b>
Adjustments:			
Transfer(s) From			
Environmental Conservation, Department of Special Revenue Funds - Other .....	-150,900		
Appropriated 1999-00 .....	\$6,863,800		

# ENVIRONMENTAL FACILITIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other . . . . .	\$7,014,700	\$7,143,800	+ \$129,100
Total . . . . .	<u>\$7,014,700</u>	<u>\$7,143,800</u>	<u>+ \$129,100</u>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$7,143,800	+ \$129,100	\$4,674,300	+ \$78,000
Total . . . . .	<u>\$7,143,800</u>	<u>+ \$129,100</u>	<u>\$4,674,300</u>	<u>+ \$78,000</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$2,469,500	+ \$51,100
Total . . . . .	<u>\$2,469,500</u>	<u>+ \$51,100</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Pipeline for Jobs Program				
Capital Projects Fund . . . . .	\$22,500,000	. . . .	-\$22,500,000	\$22,500,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund . . . . .	299,000	\$292,000	-7,000	. . . .
Total . . . . .	<u>\$22,799,000</u>	<u>\$292,000</u>	<u>-\$22,507,000</u>	<u>\$22,500,000</u>

# ***DIVISION OF HOUSING AND COMMUNITY RENEWAL***

## ***MISSION***

The Division of Housing and Community Renewal is responsible for the supervision, maintenance and development of affordable low- and moderate-income housing in New York State. The Division currently performs a number of activities in fulfillment of this mission, including:

- Oversight and regulation of the State's public and publicly assisted rental housing;
- Administration of the State's rent regulations; and
- Administration of housing development and community preservation programs, including State and Federal grants and loans to housing developers to finance construction or renovation of affordable housing.

## ***ORGANIZATION AND STAFFING***

Headed by a Commissioner, the Division of Housing and Community Renewal maintains three main offices and nine regional offices. Main offices in Albany and Manhattan are responsible for agency-wide administrative functions and the development and execution of the Division of Housing and Community Renewal's policies for its Community Development and Housing programs. The Division of Housing and Community Renewal's Rent Administration program is administered through the main office in Queens and local offices in rent regulated communities.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Division of Housing and Community Renewal's fee revenues come from the following sources: 1) mortgage servicing fees; 2) application and monitoring fees collected from developers of housing projects that are partially financed by Federal low-income tax credits; 3) payments by New York City to finance a portion of the Division's rent regulation activities; and 4) fees collected from the U.S. Department of Housing and Urban Development in connection with State administration of the Federal Section 8 rental subsidy program.

The Division of Housing and Community Renewal is the lead State agency for the development, construction and oversight of State-assisted housing. The majority of the State's housing construction and rehabilitation programs are supported by appropriations administered by three public benefit corporations: the Housing Finance Agency; the Affordable Housing Corporation; and the Housing Trust Fund Corporation. The Division of Housing and Community Renewal provides administrative support to the Affordable Housing Corporation and the Housing Trust Fund Corporation.

Executive Budget recommendations for the Division of Housing and Community Renewal total over \$237 million. The 2000-01 Budget will:

- Provide nearly \$8 million to administer the development of low-income housing and \$13.9 million to supervise the operation of publicly assisted housing, including the State-financed Mitchell-Lama portfolio;
- Continue the Division's administration of the federally funded Weatherization Assistance Program, providing grants to local not-for-profit groups and governments to assist low-income households in reducing their energy consumption and lowering their fuel bills; and

## ***HOUSING AND COMMUNITY RENEWAL***

---

- Assess New York City a total of \$29.5 million to offset the Division's costs for performing the City's rent administration activities.

### ***PROGRAM HIGHLIGHTS***

#### ***COMMUNITY DEVELOPMENT***

Community Development staff provide staff support to the Housing Trust Fund Corporation and the Affordable Housing Corporation, which are public benefit corporations that provide State-funded loans and grants to for-profit and not-for-profit entities to develop housing for low-income families, tenants with special needs and the low-income elderly.

Community Development staff also administer the allocation of Federal low-income housing tax credits across the State. These tax credits promote the production of low-income rental housing projects by reducing the Federal tax liability of investors who finance the acquisition and construction of these projects.

#### ***HOUSING OVERSIGHT***

The Housing Program oversees the management of State-assisted housing projects. On a project-by-project basis, Housing Program staff periodically review the financial and physical condition of:

- 245 housing developments constructed between 1957 and 1974 under the State's Mitchell-Lama housing laws and financed with State-guaranteed debt. These projects provide more than 100,000 dwelling units to low- and moderate-income families;
- 74 public housing projects constructed between 1941 and 1973 and financed with State General Obligation bonds that provide over 20,000 apartments for low-income families; and
- Approximately 900 low-income apartment projects partially financed by State or Federal capital funds.

In addition to its regulatory functions, the Housing Program directly administers approximately 3,500 Federal Section 8 program vouchers, that provide rental assistance to low-income tenants in New York State.

#### ***HOUSING CAPITAL PROGRAMS***

There are two primary low- and moderate-income housing construction programs supported by State appropriations: the Housing Trust Fund Program and the Affordable Housing Corporation Program. This Budget includes a \$25 million appropriation and \$108 million in reappropriations for the Housing Trust Fund Program, which provides grants to finance construction or rehabilitation of low-income apartment buildings. The Affordable Housing Corporation will receive \$25 million in new funds and \$58.6 million in reappropriations to stimulate local economic growth and stabilize distressed communities across the State by providing grants of up to \$25,000 to first-time low- and moderate-income home buyers. At these funding levels, the two programs will be able to construct approximately 1,700 new housing units in the upcoming State fiscal year.

To support municipal housing authorities, this Budget also recommends that \$12.8 million in new funding and \$70.7 million in reappropriations be provided to continue repairs and renovations to the State's existing public housing stock. Finally, this Budget recommends the reauthorization of on-going funding from prior years for a number of programs, including: the Permanent Housing for Homeless Families Program, the Housing Project Repair Program and the Federal National Affordable Housing Act Program.

# HOUSING AND COMMUNITY RENEWAL

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$61,005,000	\$75,743,000	+ \$14,738,000	\$7,336,000
Aid To Localities .....	99,243,858	95,154,000	-4,089,858	139,512,000
Capital Projects .....	80,700,000	66,200,000	-14,500,000	349,144,000
<b>Total .....</b>	<b>\$240,948,858</b>	<b>\$237,097,000</b>	<b>-\$3,851,858</b>	<b>\$495,992,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	79	79	....	79	....
Community Development					
General Fund .....	51	51	....	51	....
Special Revenue Funds - Federal .....	24	24	....	24	....
Special Revenue Funds - Other .....	7	7	....	7	....
Housing					
General Fund .....	54	54	....	54	....
Special Revenue Funds - Federal .....	40	40	....	40	....
Special Revenue Funds - Other .....	65	65	....	65	....
Housing Information Systems					
General Fund .....	68	68	....	68	....
Lead-Based Paint Abatement Program					
Special Revenue Funds - Federal .....	2	2	....	2	....
New Facilities					
Capital Projects Funds - Federal .....	41	41	....	41	....
Rent Administration					
General Fund .....	570	70	....	70	-500
Special Revenue Funds - Other .....	....	500	....	500	+ 500
<b>Subtotal, Direct Funded Programs .....</b>	<b>1,001</b>	<b>1,001</b>	<b>....</b>	<b>1,001</b>	<b>....</b>
Suballocations:					
General Fund .....	13			13	....
Special Revenue Funds - Federal .....	24			24	....
Capital Projects Funds - Other .....	14			14	....
<b>Total .....</b>	<b>1,052</b>			<b>1,052</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$38,593,000	\$28,339,000	-\$10,254,000
Special Revenue Funds - Federal .....	5,743,000	7,300,000	+ 1,557,000
Special Revenue Funds - Other .....	16,669,000	40,104,000	+ 23,435,000
<b>Total .....</b>	<b>\$61,005,000</b>	<b>\$75,743,000</b>	<b>+ \$14,738,000</b>



# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund . . . . .	\$10,385,000	\$10,644,000	+ \$259,000
Community Development			
General Fund . . . . .	3,696,000	3,770,000	+ 74,000
Special Revenue Funds - Federal . . . . .	2,809,000	2,809,000	. . . . .
Special Revenue Funds - Other . . . . .	426,000	1,426,000	+ 1,000,000
Housing			
General Fund . . . . .	3,370,000	3,383,000	+ 13,000
Special Revenue Funds - Federal . . . . .	2,934,000	4,491,000	+ 1,557,000
Special Revenue Funds - Other . . . . .	5,593,000	6,078,000	+ 485,000
Housing Information Systems			
General Fund . . . . .	5,536,000	6,142,000	+ 606,000
Rent Administration			
General Fund . . . . .	15,606,000	4,400,000	-11,206,000
Special Revenue Funds - Other . . . . .	10,650,000	32,600,000	+ 21,950,000
<b>Total . . . . .</b>	<b>\$61,005,000</b>	<b>\$75,743,000</b>	<b>+ \$14,738,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,865,000	+ \$65,000	\$3,865,000	+ \$107,000	. . . . .	-\$13,000
Community Development . . . . .	3,572,000	+ 72,000	3,546,000	+ 73,000	\$20,000	. . . . .
Housing . . . . .	3,236,000	+ 10,000	3,229,000	+ 10,000	. . . . .	. . . . .
Housing Information Systems . . . . .	3,546,000	+ 46,000	3,529,000	+ 46,000	. . . . .	. . . . .
Rent Administration . . . . .	4,600,000	-19,410,000	4,600,000	-19,276,000	. . . . .	-120,000
<b>Total . . . . .</b>	<b>\$18,819,000</b>	<b>-\$19,217,000</b>	<b>\$18,769,000</b>	<b>-\$19,040,000</b>	<b>\$20,000</b>	<b>-\$133,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	. . . . .	-\$29,000
Community Development . . . . .	\$6,000	-1,000
Housing . . . . .	7,000	. . . . .
Housing Information Systems . . . . .	17,000	. . . . .
Rent Administration . . . . .	. . . . .	-14,000
<b>Total . . . . .</b>	<b>\$30,000</b>	<b>-\$44,000</b>

# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$6,779,000	+ \$194,000	\$206,000	+ \$6,000
Community Development . . . . .	198,000	+ 2,000	30,000	+ 1,000
Housing . . . . .	147,000	+ 3,000	8,100	+ 100
Housing Information Systems . . . . .	2,596,000	+ 560,000	164,000	+ 5,000
Rent Administration . . . . .	400,000	-1,846,000	. . . . .	-273,000
<b>Total . . . . .</b>	<b>\$10,120,000</b>	<b>-\$1,087,000</b>	<b>\$408,100</b>	<b>-\$260,900</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$110,000	. . . . .	\$6,453,000	+ \$188,000
Community Development . . . . .	135,000	. . . . .	33,000	+ 1,000
Housing . . . . .	41,000	. . . . .	97,900	+ 2,900
Housing Information Systems . . . . .	26,000	. . . . .	2,385,000	+ 555,000
Rent Administration . . . . .	. . . . .	-\$52,000	. . . . .	-1,880,000
<b>Total . . . . .</b>	<b>\$312,000</b>	<b>-\$52,000</b>	<b>\$8,968,900</b>	<b>-\$1,133,100</b>

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration . . . . .	\$10,000	. . . . .	. . . . .	. . . . .
Community Development . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Housing . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Housing Information Systems . . . . .	21,000	. . . . .	. . . . .	. . . . .
Rent Administration . . . . .	. . . . .	-\$41,000	\$400,000	+ \$400,000
<b>Total . . . . .</b>	<b>\$31,000</b>	<b>-\$41,000</b>	<b>\$400,000</b>	<b>+ \$400,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Community Development . . . . .	\$4,235,000	+ \$1,000,000	\$2,150,000	. . . . .
Housing . . . . .	10,569,000	+ 2,042,000	6,212,000	+ \$360,000
Rent Administration . . . . .	32,000,000	+ 32,000,000	22,000,000	+ 22,000,000
<b>Total . . . . .</b>	<b>\$46,804,000</b>	<b>+ \$35,042,000</b>	<b>\$30,362,000</b>	<b>+ \$22,360,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Community Development . . . . .	\$1,085,000	. . . . .	\$1,000,000	+ \$1,000,000
Housing . . . . .	2,857,000	+ \$182,000	1,500,000	+ 1,500,000
Rent Administration . . . . .	10,000,000	+ 10,000,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$13,942,000</b>	<b>+ \$10,182,000</b>	<b>\$2,500,000</b>	<b>+ \$2,500,000</b>

# HOUSING AND COMMUNITY RENEWAL

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$65,718,858	\$61,629,000	-\$4,089,858
Special Revenue Funds - Federal . . . . .	23,525,000	23,525,000	. . . .
Fiduciary Funds . . . . .	10,000,000	10,000,000	. . . .
Total . . . . .	<u>\$99,243,858</u>	<u>\$95,154,000</u>	<u>-\$4,089,858</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Community Development			
Special Revenue Funds - Federal . . . . .	\$10,425,000	\$10,425,000	. . . .
Housing Development Fund Program			
Fiduciary Funds . . . . .	10,000,000	10,000,000	. . . .
HUD Section 8 New Construction			
Special Revenue Funds - Federal . . . . .	13,100,000	13,100,000	. . . .
Neighborhood Preservation			
General Fund . . . . .	12,377,280	11,750,000	-\$627,280
Periodic Subsidies - Local Areas			
General Fund . . . . .	24,486,000	23,286,000	-1,200,000
Public Housing Drug Elimination Program			
General Fund . . . . .	500,000	. . . .	-500,000
Rural Homeownership Assistance Program			
General Fund . . . . .	340,910	. . . .	-340,910
Rural Preservation			
General Fund . . . . .	5,200,910	4,860,000	-340,910
Rural Rental Assistance			
General Fund . . . . .	18,156,000	20,300,000	+ 2,144,000
Urban Homeownership Assistance Program			
General Fund . . . . .	440,910	. . . .	-440,910
Urban Renewal Periodic Subsidies			
General Fund . . . . .	1,433,000	1,433,000	. . . .
Community Projects			
General Fund . . . . .	2,783,848	. . . .	-2,783,848
Total . . . . .	<u>\$99,243,858</u>	<u>\$95,154,000</u>	<u>-\$4,089,858</u>

## **HOUSING AND COMMUNITY RENEWAL**

### **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Affordable Housing Corporation				
Housing Program Fund . . . . .	\$28,500,000	\$25,000,000	-\$3,500,000	\$58,600,000
Housing Assistance Fund				
Housing Assistance Fund . . . . .	. . . . .	. . . . .	. . . . .	17,933,000
Low Income Housing Trust Fund				
Housing Program Fund . . . . .	29,000,000	25,000,000	-4,000,000	108,325,000
Maintenance and Improvements of Existing Facilities				
Housing Program Fund . . . . .	4,500,000	. . . . .	-4,500,000	15,892,000
Housing Opportunity Program For Elderly				
Housing Program Fund . . . . .	1,400,000	400,000	-1,000,000	1,800,000
Housing Program Capital Improvement				
Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	19,720,000
State Housing Bond Fund				
State Housing Bond Fund . . . . .	. . . . .	. . . . .	. . . . .	7,344,000
New Facilities				
Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	3,400,000
Federal Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	42,430,000
Public Housing Modernization Program				
Housing Program Fund . . . . .	14,300,000	12,800,000	-1,500,000	70,700,000
Homes for Working Families Program				
Housing Program Fund . . . . .	3,000,000	3,000,000	. . . . .	3,000,000
Total . . . . .	<u>\$80,700,000</u>	<u>\$66,200,000</u>	<u>-\$14,500,000</u>	<u>\$349,144,000</u>



# ***HOUSING FINANCE AGENCY***

## ***MISSION***

The New York State Housing Finance Agency is a public benefit corporation created in 1960 to finance low- and moderate-income rental housing. The Agency issues taxable and tax-exempt bonds to provide mortgage loans to developers of mixed-income and affordable rental projects.

The Housing Finance Agency also plays a role in administering several housing programs supported by State and Federal appropriations. In 1990, the Agency's mission was expanded to include the issuance of bonds to reimburse the State for appropriated expenditures under the State's housing programs.

## ***ORGANIZATION AND STAFFING***

The Housing Finance Agency is governed by a Board of Directors consisting of seven members: the Commissioner of Housing and Community Renewal, the Director of the Budget, the Commissioner of Taxation and Finance and four members nominated by the Governor with the consent of the Senate. The Governor designates a Chairperson.

The Agency is located primarily in New York City and is managed by a President/Chief Executive Officer, who is appointed by the Board of Directors. Staff is organized into five departments: the President's Office, Multi-Family Finance, Debt Issuance, Finance and Operations and Legal Services.

The Housing Finance Agency is operated and administered jointly with the State of New York Mortgage Agency, but the two agencies are governed by separate Boards of Directors.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Agency receives no direct operating support from the State. Its operating budget is funded with fees and revenues the Agency generates through its financing activities.

It is projected that from 1995 through 1999, the Housing Finance Agency will have provided over \$1 billion in loans for multi-family rental housing.

A 2000-01 General Fund Aid to Localities appropriation of \$700,000 supports the Capital Grant/Low Rent Lease Subsidy program, providing rental subsidies for approximately 230 low- to moderate-income individuals.

## ***PROGRAM HIGHLIGHTS***

Since its inception in 1960, the Agency has provided financing of \$3.5 billion for 86,000 units of multi-family housing. Between January 1, 1995 and the close of the Agency's fiscal year on October 31, 1999, the Agency provided \$1.02 billion in mortgage loans that created rental housing for over 6,700 families. During the Agency's 1998-99 fiscal year, almost 2,100 units were financed with mortgage loans totaling over \$355 million.

# HOUSING FINANCE

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	\$760,000	\$700,000	-\$60,000	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$760,000</u>	<u>\$700,000</u>	<u>-\$60,000</u>	<u>.....</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$760,000	\$700,000	-\$60,000
Total .....	<u>\$760,000</u>	<u>\$700,000</u>	<u>-\$60,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Capital Grant/Low Rent Lease General Fund .....	\$760,000	\$700,000	-\$60,000
Total .....	<u>\$760,000</u>	<u>\$700,000</u>	<u>-\$60,000</u>

# **STATE OF NEW YORK MORTGAGE AGENCY**

## **MISSION**

The State of New York Mortgage Agency is a public benefit corporation created in 1970 to increase the affordability of homeownership for low- to moderate-income residents of New York State. This is accomplished by the Agency's issuance of taxable and tax-exempt bonds and the use of proceeds to purchase low-interest rate mortgage loans. In 1978, the Agency's mission was expanded to include the issuance of mortgage insurance to promote the stabilization of neighborhoods throughout the State.

## **ORGANIZATION AND STAFFING**

The Agency is overseen by a nine-member Board of Directors comprised of the Superintendent of Banks, the State Comptroller, the Director of the Budget, the Commissioner of Housing and Community Renewal and appointees of the Governor, the Temporary President of the Senate and the Speaker of the Assembly. Responsibility for operation of the Agency rests with the President/Chief Executive Officer, who also serves in this capacity for the Housing Finance Agency — the State's other major housing finance entity. The Agency is operated jointly with the Housing Finance Agency out of its central headquarters in New York City and from regional offices in Albany and Buffalo.

The State of New York Mortgage Agency has two program divisions. Its Single Family Mortgage Finance Division provides low-interest rate mortgages to low- and moderate-income first-time homebuyers (and for other eligible homebuyers in designated target areas) through the issuance of mortgage revenue bonds. The Agency uses a network of banking institutions to originate mortgages on its behalf.

The Mortgage Insurance Division provides insurance on mortgage loans for residential, mixed residential, commercial and community service-related properties throughout the State. This insurance is supported by the Mortgage Insurance Fund, which is funded by a surcharge on the Mortgage Recording Tax.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Agency receives no direct operating support from the State. Statute requires the State to guarantee certain obligations of the Agency. The Executive Budget recommends approximately \$173 million in appropriations in 2000-01 to satisfy this requirement, although no cash disbursements are projected to be made from this appropriation. All State of New York Mortgage Agency programs and operations are supported by Agency funds, consisting of mortgage income, application fees, insurance premiums and investment proceeds.

## **PROGRAM HIGHLIGHTS**

Since its inception in 1970, the Agency's Single Family Division has provided nearly \$7.1 billion of affordable financing for over 115,000 homes in New York. Between January 1, 1995 and the close of the Agency's fiscal year on October 31, 1999, the Agency purchased \$2.1 billion in single-family mortgages — helping nearly 23,500 New Yorkers buy their first homes. During the Agency's 1998-99 fiscal year, over 5,800 loans were financed for approximately \$522 million in mortgage loan volume.



# MORTGAGE AGENCY

The Mortgage Insurance Fund's portfolio of insurance liability now exceeds \$2.2 billion. In 1998-99, mortgage insurance provided by the Agency totaled \$135 million.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations	\$76,800,000	\$76,800,000	.....	.....
Aid To Localities	80,702,000	95,981,000	+ \$15,279,000	.....
Capital Projects	.....	.....	.....	.....
<b>Total</b>	<b>\$157,502,000</b>	<b>\$172,781,000</b>	<b>+ \$15,279,000</b>	<b>.....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$76,800,000	\$76,800,000	.....
<b>Total</b>	<b>\$76,800,000</b>	<b>\$76,800,000</b>	<b>.....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues			
General Fund	\$61,800,000	\$61,800,000	.....
SONYMA Mortgage Insurance Fund Restoration General Fund	15,000,000	15,000,000	.....
<b>Total</b>	<b>\$76,800,000</b>	<b>\$76,800,000</b>	<b>.....</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Amount	Change	Maintenance Undistributed Amount	Change
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues	\$61,800,000	.....	\$61,800,000	.....
SONYMA Mortgage Insurance Fund Restoration	15,000,000	.....	15,000,000	.....
<b>Total</b>	<b>\$76,800,000</b>	<b>.....</b>	<b>\$76,800,000</b>	<b>.....</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$80,702,000	\$95,981,000	+ \$15,279,000
<b>Total</b>	<b>\$80,702,000</b>	<b>\$95,981,000</b>	<b>+ \$15,279,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
SONYMA Mortgage Insurance Fund Restoration General Fund .....	<u>\$80,702,000</u>	<u>\$95,981,000</u>	<u>+ \$15,279,000</u>
Total .....	<u>\$80,702,000</u>	<u>\$95,981,000</u>	<u>+ \$15,279,000</u>



# HUDSON RIVER PARK TRUST

## MISSION

The Hudson River Park Trust (HRPT) is a public benefit corporation established in 1999 to design, develop, and maintain the 550 acre Hudson River Park, which will extend five miles along the Hudson River waterfront from Battery Park to 59<sup>th</sup> Street. The Trust is governed by a 13 member board: 5 members appointed by the Governor, 5 by the Mayor of New York City, and 3 by the Manhattan Borough President.

## ORGANIZATION AND STAFFING

The Trust is headed by a President and Chief Executive Officer who is appointed by the Board. For 2000-01, the Trust will have a workforce of 24 permanent staff, 20 summer interns for seasonal programs, and four part-time interns.

## FISCAL BACKGROUND

A recommended overall resource level of \$85 million in new appropriations will fund all Trust activities in 2000-01, including administrative functions as well as capital costs associated with the planning, design and construction of Park projects. Specifically, 2000-01 Budget recommendations provide \$13 million from the Hudson River Park Fund, which consists of revenues generated at the properties that comprise the Park. In addition, \$20 million is provided for Park development from the Environmental Protection Fund within the budget for the Department of Environmental Conservation. Finally, the Budget provides a State-funded advance appropriation of \$52 million, which will be repaid by New York City as part of its share of the Park's initial development costs.

## PROGRAM HIGHLIGHTS

During 2000-01, the Trust will continue to refine the framework and scope of the Hudson River Park, finalize design contracts, develop detailed cost estimates, explore alternative sources of funding and continue to oversee capital projects to build the Park.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	\$7,000,000	\$65,000,000	+ \$58,000,000	\$18,845,000
Total .....	\$7,000,000	\$65,000,000	+ \$58,000,000	\$18,845,000

# HUDSON RIVER PARK TRUST

---

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Regional Development				
Capital Projects Fund - Advances .....	.....	\$52,000,000	+ \$52,000,000	.....
Hudson River Park Fund .....	\$7,000,000	13,000,000	+ 6,000,000	\$18,845,000
Total .....	<u>\$7,000,000</u>	<u>\$65,000,000</u>	<u>+ \$58,000,000</u>	<u>\$18,845,000</u>

# ***DIVISION OF THE LOTTERY***

## ***MISSION***

In 1966, New Yorkers approved a constitutional amendment to authorize a State Lottery in support of education. The Division of the Lottery raises revenue through the sale and marketing of Lottery game tickets.

## ***ORGANIZATION AND STAFFING***

The Division of the Lottery is an independent unit of the Department of Taxation and Finance whose Commissioner appoints the Director of the Lottery. The Division maintains a central office in Schenectady, regional offices in Buffalo, Schenectady, Syracuse, New York City and Long Island, and a satellite office in Fishkill to serve the Hudson Valley. District sales representatives are stationed in the regional offices, and recruit and support point-of-sale agents, which include convenience stores, newsstands, supermarkets, restaurants and bowling alleys.

In 2000-01, Lottery will have a workforce of 346. District sales representatives reflect approximately 35 percent of this total.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

Lottery games have raised more than \$16.6 billion in revenues for education since the Lottery's inception in 1967. In 1999-2000, the Division estimates gross sales of \$3.5 billion.

The Division's costs are supported entirely with Lottery sales revenues. The 2000-01 Executive Budget recommends \$110.6 million to support Lottery operations. By law, no more than 15 percent of gross Lottery sales may be used for administration, including sales agents' commissions which total 6 percent of gross sales. Historically, the Lottery Division's total administrative costs have been well below the statutory limit.

## ***PROGRAM HIGHLIGHTS***

Lottery games sold on the Division's on-line computer system include: Lotto, Pick 10, New York Numbers, Win 4, and Take Five. These games can be played from more than 14,100 locations across the State and offer players the opportunity to match their "picks" to televised drawings that take place nightly or twice weekly, depending on the game. Winning tickets up to \$600 can be validated and redeemed by customers at any location selling Lottery products.

The Lottery Division's Instant "Scratcher" cash games have contributed significantly to the growth of Lottery revenues. The Division will market up to 50 types of Instant Cash games during 2000-01.

Quick Draw, first introduced in 1995, is an electronic version of Pick 10, with winning numbers drawn by computer every five minutes, from 10 a.m. to 3 p.m. and 4 p.m. to 12 a.m. every day. Quick Draw is displayed at more than 3,000 authorized establishments statewide, such as restaurants and bowling alleys.

In 2000-01, legislation will be introduced authorizing the Lottery to participate in multi-state games such as Powerball. This legislation will provide New York residents with additional opportunities to participate in Lottery games.

In addition, the Executive Budget will establish the Leaders of Tomorrow Scholarship program, which will provide 1,300 New York State high school seniors

## LOTTERY

with annual awards of \$1,000 for four years of undergraduate study at a college within New York State. In addition, the Lottery will continue support for "New York Expeditions", a television show based upon a year-long field trip by ten New York State high school students to historically significant places throughout New York. The show provides a video study guide for New York classrooms.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$108,709,400	\$110,617,400	+ \$1,908,000	.....
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$108,709,400</u>	<u>\$110,617,400</u>	<u>+ \$1,908,000</u>	<u>.....</u>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	Personal Service (Regular)	2000-01 Recommended Average Fill Level		Change
			Maintenance Undistributed	Total Recommended 2000-01	
Administration of the Lottery					
Special Revenue Funds - Other .....	346	346	.....	346	.....
Total .....	<u>346</u>	<u>346</u>	<u>.....</u>	<u>346</u>	<u>.....</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$108,709,400	\$110,617,400	+ \$1,908,000
Total .....	<u>\$108,709,400</u>	<u>\$110,617,400</u>	<u>+ \$1,908,000</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration of the Lottery			
Special Revenue Funds - Other .....	\$108,709,400	\$110,617,400	+ \$1,908,000
Total .....	<u>\$108,709,400</u>	<u>\$110,617,400</u>	<u>+ \$1,908,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Personal Service	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration of the Lottery . . .	\$110,617,400	+ \$1,908,000	\$14,190,500	+ \$224,400
Total . . . . .	<u>\$110,617,400</u>	<u>+ \$1,908,000</u>	<u>\$14,190,500</u>	<u>+ \$224,400</u>

<u>Program</u>	Nonpersonal Service	
	<u>Amount</u>	<u>Change</u>
Administration of the Lottery . . .	\$96,426,900	+ \$1,683,600
Total . . . . .	<u>\$96,426,900</u>	<u>+ \$1,683,600</u>



## ***LOTTERY***

---

# ***METROPOLITAN TRANSPORTATION AUTHORITY***

## ***MISSION***

The Metropolitan Transportation Authority is responsible for operating, maintaining and improving public transportation in the Metropolitan Commuter Transportation District consisting of New York City and Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester counties.

The Authority oversees the operations of the bus and subway systems in New York City, commuter railroads in the region, and seven bridges and two tunnels in New York City. This oversight includes general policy direction and development of operating and capital programs.

The Authority is composed of three independent authorities: the Metropolitan Transportation Authority, the New York City Transit Authority and the Triborough Bridge and Tunnel Authority. The Metropolitan Transportation Authority has four statutory subsidiaries: Staten Island Rapid Transit Operating Authority, Long Island Rail Road, Metropolitan Suburban Bus Authority and Metro-North Commuter Railroad. The Transit Authority, which operates the New York City subway and bus systems, has one subsidiary, the Manhattan and Bronx Surface Transit Operating Authority.

## ***ORGANIZATION AND STAFFING***

Each of the three independent authorities is governed by its own Board, although by law membership on each Board is identical. There are 19 board members, 17 voting and 2 non-voting, each nominated by the Governor and confirmed by the Senate. Four members are nominated from a list provided by the Mayor of the City of New York and one each from lists prepared by the seven county executives in the Metropolitan Commuter Transportation District. The remaining six voting members are appointed directly by the Governor, with one serving as Board Chair.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The appropriation below represents only a portion of the more than \$1.3 billion subsidy provided by the State to the Metropolitan Transportation Authority each year, with the additional aid appropriated in the Department of Transportation's Aid to Localities budget.

## ***PROGRAM HIGHLIGHTS***

### ***NEW YORK CITY TRANSIT AUTHORITY AND COMMUTER RAILROADS***

The Metropolitan Transportation Authority provides 24 hour-a-day transit and commuter services in the New York City metropolitan region. Its subway system is the largest in the nation and one of the largest in the world. The New York City Transit Authority operates approximately 230 local and express bus routes throughout New York City. Complementing this service are additional bus routes in Nassau County provided by the Metropolitan Suburban Bus Authority. Approximately two billion passengers ride the subways and buses each year. Long Island Rail Road and Metro-North Commuter Railroad, the largest two commuter rail systems in the nation,

## **METROPOLITAN TRANSPORTATION**

provide transportation for travelers entering New York City from outlying suburban areas in New York State and Connecticut.

### **TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY**

The Triborough Bridge and Tunnel Authority, the largest toll authority in the Nation, operates nine intra-city bridges and tunnels in New York City: Triborough Bridge, Bronx-Whitestone Bridge, Henry Hudson Bridge, Marine Parkway-Gil Hodges Bridge, Cross Bay Veterans' Memorial Bridge, Throgs Neck Bridge, Verrazano-Narrows Bridge, Queens-Midtown Tunnel and Brooklyn Battery Tunnel. It also provides financing for the Transit Authority and commuter railroads' capital programs. In addition, the Triborough Bridge and Tunnel Authority is required by law to transfer surplus revenues to the New York City Transit Authority and the commuter railroads to support their operations.

### **OTHER SUBSIDIARIES**

The other subsidiaries — Staten Island Rapid Transit Operating Authority, Metropolitan Suburban Bus Authority, and Manhattan and Bronx Surface Transit Operating Authority — provide regional transportation services. Staten Island Rapid Transit operates transit services on Staten Island. The Manhattan and Bronx Surface Transit Operating Authority, in conjunction with the New York City Transit Authority, provides bus service within New York City, primarily to passengers traveling within a particular borough or as feeder service to the subway.

The Metropolitan Suburban Bus Authority (also known as MTA Long Island Bus) provides bus service to Nassau County, western Suffolk County and eastern Queens County, connecting these areas to the New York City Transit Authority subway stations. The Metropolitan Transportation Authority is responsible for the operation and general oversight of Long Island Bus. Nassau County is financially responsible for Long Island Bus' operating costs that are over and above those supported by fares and by Federal and State assistance.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	\$253,400,000	\$391,397,000	+ \$137,997,000	.....
Capital Projects .....	.....	.....	.....	\$36,000,000
Total .....	<u>\$253,400,000</u>	<u>\$391,397,000</u>	<u>+ \$137,997,000</u>	<u>\$36,000,000</u>

#### **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Special Revenue Funds - Other .....	\$253,400,000	\$391,397,000	+ \$137,997,000
Total .....	<u>\$253,400,000</u>	<u>\$391,397,000</u>	<u>+ \$137,997,000</u>

# METROPOLITAN TRANSPORTATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Dedicated Tax			
Special Revenue Funds - Other .....	\$253,400,000	\$391,397,000	+ \$137,997,000
<b>Total</b> .....	\$253,400,000	\$391,397,000	+ \$137,997,000

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Mass Transportation and Rail Freight Metropolitan Transportation Authority Capital Projects Fund - Advances .....	.....	.....	.....	\$36,000,000
<b>Total</b> .....	.....	.....	.....	\$36,000,000



# ***OLYMPIC REGIONAL DEVELOPMENT AUTHORITY***

## ***MISSION***

In 1980, Lake Placid and the surrounding areas were host to the Winter Olympic Games. The following year, the Olympic Regional Development Authority was established to create and administer a post-Olympic program for the Lake Placid facilities. These facilities include: the Olympic Ice Center; the Olympic Speedskating Oval; the Whiteface Mountain Ski Area and Veterans' Memorial Highway; the Mt. Van Hoevenberg Complex that includes bobsled and luge runs, cross-country ski trails and a biathlon range; the Olympic Ski Jumping Complex; and the U.S. Olympic Training Center. In 1984, the Olympic Regional Development Authority's responsibility expanded to include the management of the Gore Mountain Ski Center in North Creek, Warren County.

## ***ORGANIZATION AND STAFFING***

- The Authority is governed by a ten-member Board of Directors, consisting of the commissioners of Economic Development, Environmental Conservation, Parks, and seven other members appointed by the Governor and confirmed by the Senate. The Governor selects one of the members as Chair. The Commissioner of Economic Development currently chairs the Authority. Board members serve without compensation.
- The agency has a workforce of 172 and employs up to 800 hourly workers, depending on the season.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 2000-01, State tax dollars from the General Fund will finance 31 percent, or \$7.6 million, of the Authority's \$24.2 million operating budget. The year-to-year change in State support reflects the phase out of funding for costs associated with the February 2000 Goodwill Games.

State funding supplements \$15.3 million in revenue generated from venue marketing, fees and ticket sales to athletic and other special events; \$600,000 from the Town of North Elba; \$400,000 from the United States Olympic Committee to cover the costs associated with use of Authority facilities; \$200,000 from the Winter Sports Education Trust Fund; and \$150,000 from the Olympic Training Center Account.

## ***PROGRAM HIGHLIGHTS***

### ***OLYMPIC FACILITIES***

The Olympic Regional Development Authority manages one of three primary sites (the others being in California and Colorado) for year-round training of America's Olympic athletes. In 1998-99, the Olympic facilities at Lake Placid received more than 245,000 visitors. The Authority hosts numerous national and international athletic and entertainment events — in 1999-2000, the first-ever Winter Goodwill Games, the ECAC Hockey Championships, the Empire State Winter Games, the World Cup Biathlon Competition, and the U.S. Ski Jumping 120 and 90 Meter

## **OLYMPIC REGIONAL DEVELOPMENT**

Championships were held at Authority sites. In addition, the Authority has been the home of the Stars on Ice figure skating rehearsal and preview show since 1992.

### **SKI FACILITIES**

The Authority also manages the Gore and Whiteface mountain ski centers; two major downhill ski facilities that received more than 240,000 visitors in the 1998-99 ski season, and over 125,000 visitors for off-season activities such as mountain biking and sightseeing tours. Efforts are underway to significantly upgrade the ski facilities at Gore and Whiteface with private capital and expertise.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$6,639,000	\$7,902,000	+ \$1,263,000	.....
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	8,300,000	.....	-8,300,000	.....
<b>Total .....</b>	<b>\$14,939,000</b>	<b>\$7,902,000</b>	<b>-\$7,037,000</b>	<b>.....</b>

#### **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$6,289,000	\$7,552,000	+ \$1,263,000
Special Revenue Funds - Other .....	150,000	150,000	.....
Fiduciary Funds .....	200,000	200,000	.....
<b>Total .....</b>	<b>\$6,639,000</b>	<b>\$7,902,000</b>	<b>+ \$1,263,000</b>
Adjustments:			
Transfer(s) From			
Olympic Regional Development Authority			
Capital Projects Funds - Other (Capital Projects)	-2,317,000		
Appropriated 1999-00 .....	<u>\$4,322,000</u>		

#### **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Operations			
General Fund .....	\$6,289,000	\$7,552,000	+ \$1,263,000
Special Revenue Funds - Other .....	150,000	150,000	.....
Nonexpendable Trust Funds .....	200,000	200,000	.....
<b>Total .....</b>	<b>\$6,639,000</b>	<b>\$7,902,000</b>	<b>+ \$1,263,000</b>

# OLYMPIC REGIONAL DEVELOPMENT

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Amount	Total Change	Contractual Services Amount	Contractual Services Change
Operations .....	\$7,552,000	+ \$1,263,000	\$7,552,000	+ \$1,263,000
Total .....	<u>\$7,552,000</u>	<u>+ \$1,263,000</u>	<u>\$7,552,000</u>	<u>+ \$1,263,000</u>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Amount	Total Change	Nonpersonal Service Amount	Nonpersonal Service Change
Operations .....	\$350,000	. . . .	\$200,000	. . . .
Total .....	<u>\$350,000</u>	<u>. . . .</u>	<u>\$200,000</u>	<u>. . . .</u>

Program	Maintenance Undistributed Amount	Undistributed Change
Operations .....	\$150,000	. . . .
Total .....	<u>\$150,000</u>	<u>. . . .</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Administration				
Capital Projects Fund .....	\$8,300,000	. . . .	-\$8,300,000	. . . .
Total .....	\$8,300,000	<u>. . . .</u>	<u>-\$8,300,000</u>	<u>. . . .</u>
Adjustments:				
Transfer(s) To				
General Fund (State Operations) .....		+ 2,317,000		
Appropriated 1999-00 .....		<u>\$10,617,000</u>		





# ***OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION***

## ***MISSION***

The mission of the Office of Parks, Recreation and Historic Preservation is to provide safe and enjoyable recreational and interpretive opportunities for all New York State residents and visitors and to be responsible stewards of our valuable natural, historic and cultural resources. The Office operates and maintains 158 parks and 35 historic sites, hosts a multitude of cultural and educational programs and offers diverse recreational opportunities ranging from secluded campsites to the internationally renowned American Falls in Niagara. Over 65 million persons visit the State's parks and historic sites annually.

New York State's uniquely well developed park system and its unparalleled recreation opportunities are an important part of the State's tourism industry and economy. Services open to the public at State parks include performing arts centers, golf courses, marinas, developed beaches, swimming pools, cabins, campgrounds, and many significant historic sites.

## ***ORGANIZATION AND STAFFING***

The Office is headed by a Commissioner, appointed by the Governor. Operations are administered through a network of 11 regional offices: Allegany, Central, Finger Lakes, Genesee, Long Island, New York City, Niagara, Palisades, Saratoga/Capital District, Taconic, and Thousand Islands. The central office is located in Albany, and includes executive staff and fiscal, personnel and other administrative support functions.

For fiscal year 2000-01, the Office will have a workforce of 1,688. To supplement this permanent staff, extensive use will be made of temporary and seasonal employees, numbering more than 5,000 in the peak summer season.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 2000-01 Executive Budget recommends nearly \$195 million for the Office's programs, including \$103.2 million in General Fund moneys and over \$44.2 million in fee revenues. These funds will support operation of all park facilities and provide resources to extend the hours of operation at certain parks and historic sites, to expand services to include new entrepreneurial ventures, and to develop parklands acquired with funding from the Environmental Protection Fund and 1996 Clean Water/Clean Air Bond Act.

Specifically, these recommendations include \$10 million to create a new Heritage Trail program to identify, preserve and promote historically-significant places in New York State. Also included is \$625,000 to ensure recruitment and retention of entry-level seasonal staff for upstate parks, mirroring a similar proposal enacted in 1999-2000 to address downstate hiring difficulties. In the area of park expansion, the Budget includes \$830,000 for operations at newly-acquired or expanded parks, including the new Nissequogue River State Park on the grounds of the former Kings Park Psychiatric Center. In addition, the Budget continues funding at the 1999-2000 level for the Empire State Games and performing arts programming at Artpark. Funding for the Zoos, Botanical Gardens and Aquariums program will also continue at current year levels from the Environmental Protection Fund.

## ***PARKS, RECREATION AND HISTORIC PRESERVATION***

---

In 2000-01, the share of park operations financed with user fees will remain constant. However, the General Fund continues to be the Office's primary source of support for its operating and local assistance budgets, providing 64 percent of its funding. The remaining 36 percent is provided by a variety of sources, including:

- User fees at the parks (30 percent);
- Federal grants for activities related to the use of recreational vehicles and land and water conservation (3 percent); and
- Fiduciary and Enterprise funds, including moneys earmarked for historic sites, arboretums and the Empire State Games (3 percent).

The primary focus of the Office's capital program is maintenance and rehabilitation of existing facilities, and the health and safety of park visitors. Park facilities include more than 5,000 buildings, 51 swimming pools, 76 improved beaches, 27 golf courses, 27 marinas, 40 boat launching sites, 18 nature centers, 774 cabins, and 8,255 campsites. The Office also maintains hundreds of miles of roads and trails, expansive utility systems, 106 dams and 604 bridges.

For 2000-01, appropriations of \$29 million are recommended for capital projects from the State Park Infrastructure Fund, a dedicated fund consisting of revenues generated from day use and camping fees at the parks, as well as concession revenues and other miscellaneous revenues. Budget recommendations also include \$6 million to enable the Office to accept \$5 million from the Maid of the Mist Corporation for the Niagara Reservation State Park Observation Tower project, and other potential gifts to improve various parks.

Funding from the State Park Infrastructure Fund will be supplemented with resources for State parks capital projects from the Clean Water/Clean Air Bond Act and the Environmental Protection Fund (EPF). Funding is also provided from the Bond Act for the Office's activities related to implementation of open space protection and the local grants program. In 2000-01, the EPF will provide \$12 million in funding for infrastructure and stewardship projects at State parks and lands operated by the Office and the Department of Environmental Conservation.

### ***PROGRAM HIGHLIGHTS***

Since 1995-96, the Office has re-organized functions and consolidated management operations to more effectively provide safe and enjoyable recreational services to the public. The Office has also fostered public-private partnerships to enhance park facilities and events, including corporate sponsorships for fireworks displays, playground construction and the Empire State Games. With private sector support and expertise, the Black Course at Bethpage State Park will be the first public course ever to host the U.S. Open national golf championship tournament in 2002.

The responsibilities of the Office are carried out through five major programs:

- Administration: provides executive direction, fiscal, personnel and audit services, public communications, and management of the Office's capital program;
- Park Operations: operates the State's 158 parks. Seasonal and full time personnel are assigned to specific facilities which, in turn, are part of one of the 11 regions. Staff include security and field operations staff, as well as skilled and semi-skilled maintenance personnel. Day use, golf course, and other user fees directly offset the cost of facility operations;
- Empire State Games: plans and implements the Games for the Physically Challenged, Senior Games, Summer Games and Winter Games;
- Historic Preservation: oversees preservation activities at 35 historic sites, develops a statewide Comprehensive Historic Preservation Plan, and maintains the State Register of Historic Places; and

## **PARKS, RECREATION AND HISTORIC PRESERVATION**

- Natural Heritage Trust: receives and administers funds, including private gifts and bequests, to advance conservation, outdoor recreation and historic preservation purposes. Created under the Public Authorities Law in 1968, the Natural Heritage Trust is a public benefit corporation.

### **ALL FUNDS APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$136,023,900	\$151,256,700	+ \$15,232,800	\$375,000
Aid To Localities .....	36,873,947	5,170,000	-31,703,947	19,124,800
Capital Projects .....	32,039,000	38,483,000	+ 6,444,000	86,381,000
<b>Total .....</b>	<b>\$204,936,847</b>	<b>\$194,909,700</b>	<b>-\$10,027,147</b>	<b>\$105,880,800</b>

### **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
<b>Administration</b>					
General Fund .....	72	72	....	72	....
Special Revenue Funds - Federal .....	3	....	....	....	-3
<b>Clean Water/Clean Air Administration Program</b>					
Capital Projects Funds - Other .....	21	21	....	21	....
<b>Historic Preservation</b>					
General Fund .....	149	149	....	149	....
Special Revenue Funds - Federal .....	21	12	....	12	-9
Special Revenue Funds - Other .....	1	1	....	1	....
<b>Park Operations</b>					
General Fund .....	1,190	1,185	....	1,185	-5
Special Revenue Funds - Federal .....	10	8	....	8	-2
Special Revenue Funds - Other .....	75	75	....	75	....
Expendable Trust Funds .....	6	3	....	3	-3
Nonexpendable Trust Funds .....	1	1	....	1	....
Capital Projects Funds - Other .....	150	150	....	150	....
<b>Recreation Services</b>					
General Fund .....	11	11	....	11	....
<b>Total .....</b>	<b>1,710</b>	<b>1,688</b>	<b>....</b>	<b>1,688</b>	<b>-22</b>

### **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$87,879,900	\$101,015,900	+ \$13,136,000
Special Revenue Funds - Federal .....	2,517,300	3,358,600	+ 841,300
Special Revenue Funds - Other .....	41,953,900	43,179,000	+ 1,225,100
Enterprise Funds .....	2,500,000	2,500,000	....
Fiduciary Funds .....	1,172,800	1,203,200	+ 30,400
<b>Total .....</b>	<b>\$136,023,900</b>	<b>\$151,256,700</b>	<b>+ \$15,232,800</b>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund . . . . .	\$4,985,900	\$5,111,300	+ \$125,400
Special Revenue Funds - Federal . . . . .	75,000	75,000	. . . .
Historic Preservation			
General Fund . . . . .	9,010,200	19,141,500	+ 10,131,300
Special Revenue Funds - Federal . . . . .	869,900	952,300	+ 82,400
Special Revenue Funds - Other . . . . .	60,600	60,400	-200
Fiduciary Funds . . . . .	20,000	40,000	+ 20,000
Park Operations			
General Fund . . . . .	71,749,600	74,580,500	+ 2,830,900
Special Revenue Funds - Federal . . . . .	1,572,400	2,331,300	+ 758,900
Special Revenue Funds - Other . . . . .	41,893,300	43,118,600	+ 1,225,300
Fiduciary Funds . . . . .	1,152,800	1,163,200	+ 10,400
Recreation Services			
General Fund . . . . .	2,134,200	2,182,600	+ 48,400
Enterprise Funds . . . . .	2,500,000	2,500,000	. . . .
<b>Total . . . . .</b>	<b>\$136,023,900</b>	<b>\$151,256,700</b>	<b>+ \$15,232,800</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,562,600	-\$107,400	\$3,501,800	-\$107,400	\$23,100	. . . .
Historic Preservation . . . . .	7,653,200	+ 78,300	6,011,000	+ 23,300	1,568,300	+ \$55,000
Park Operations . . . . .	66,747,800	+ 1,586,100	43,773,600	+ 312,000	21,447,400	+ 1,274,100
Recreation Services . . . . .	566,300	+ 9,000	474,900	+ 9,000	71,800	. . . .
<b>Total . . . . .</b>	<b>\$78,529,900</b>	<b>+ \$1,566,000</b>	<b>\$53,761,300</b>	<b>+ \$236,900</b>	<b>\$23,110,600</b>	<b>+ \$1,329,100</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$37,700	. . . .
Historic Preservation . . . . .	73,900	. . . .
Park Operations . . . . .	1,526,800	. . . .
Recreation Services . . . . .	19,600	. . . .
<b>Total . . . . .</b>	<b>\$1,658,000</b>	<b>. . . .</b>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,548,700	+ \$232,800	\$112,000	+ \$2,700
Historic Preservation . . . . .	11,488,300	+ 10,053,000	424,800	+ 10,400
Park Operations . . . . .	7,832,700	+ 1,244,800	830,300	+ 20,300
Recreation Services . . . . .	1,616,300	+ 39,400	230,500	+ 5,600
<b>Total . . . . .</b>	<b>\$22,486,000</b>	<b>+ \$11,570,000</b>	<b>\$1,597,600</b>	<b>+ \$39,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$87,900	+ \$2,100	\$1,348,800	+ \$228,000
Historic Preservation . . . . .	115,600	. . . .	758,300	+ 38,000
Park Operations . . . . .	696,900	+ 17,000	4,148,000	+ 1,095,000
Recreation Services . . . . .	112,800	+ 2,800	1,259,600	+ 30,700
<b>Total . . . . .</b>	<b>\$1,013,200</b>	<b>+ \$21,900</b>	<b>\$7,514,700</b>	<b>+ \$1,391,700</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	. . . .	. . . .	. . . .	. . . .
Historic Preservation . . . . .	\$189,600	+ \$4,600	\$10,000,000	+ \$10,000,000
Park Operations . . . . .	612,500	+ 112,500	1,545,000	. . . .
Recreation Services . . . . .	13,400	+ 300	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$815,500</b>	<b>+ \$117,400</b>	<b>\$11,545,000</b>	<b>+ \$10,000,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$75,000	. . . .	. . . .	. . . .
Historic Preservation . . . . .	1,052,700	+ \$102,200	\$640,000	+ \$53,100
Park Operations . . . . .	46,613,100	+ 1,994,600	15,833,000	+ 372,900
Recreation Services . . . . .	2,500,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$50,240,800</b>	<b>+ \$2,096,800</b>	<b>\$16,473,000</b>	<b>+ \$426,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$75,000	. . . .	. . . .	. . . .
Historic Preservation . . . . .	412,700	+ \$49,100	. . . .	. . . .
Park Operations . . . . .	30,379,100	+ 1,521,700	\$401,000	+ \$100,000
Recreation Services . . . . .	2,500,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$33,366,800</b>	<b>+ \$1,570,800</b>	<b>\$401,000</b>	<b>+ \$100,000</b>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$34,903,947	\$2,200,000	-\$32,703,947
Special Revenue Funds - Federal . . . . .	870,000	1,870,000	+ 1,000,000
Special Revenue Funds - Other . . . . .	1,100,000	1,100,000	. . . .
<b>Total . . . . .</b>	<b>\$36,873,947</b>	<b>\$5,170,000</b>	<b>-\$31,703,947</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
<b>Administration</b>			
General Fund . . . . .	\$2,000,000	\$2,200,000	+ \$200,000
Special Revenue Funds - Federal . . . . .	200,000	200,000	. . . .
<b>Historic Preservation</b>			
Special Revenue Funds - Federal . . . . .	170,000	170,000	. . . .
<b>Natural Heritage Trust</b>			
General Fund . . . . .	4,951,600	. . . .	-4,951,600
<b>Park Operations</b>			
Special Revenue Funds - Federal . . . . .	. . . .	1,000,000	+ 1,000,000
Special Revenue Funds - Other . . . . .	1,100,000	1,100,000	. . . .
<b>Recreation Services</b>			
Special Revenue Funds - Federal . . . . .	500,000	500,000	. . . .
<b>Community Projects</b>			
General Fund . . . . .	27,952,347	. . . .	-27,952,347
<b>Total . . . . .</b>	<b>\$36,873,947</b>	<b>\$5,170,000</b>	<b>-\$31,703,947</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
<b>Parks EQBA 86</b>				
Capital Projects Fund - EQBA 86 (Bondable) . . . . .	. . . .	. . . .	. . . .	\$24,003,000
<b>Natural Heritage Trust</b>				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	300,000
<b>Federal Capital Projects Fund</b>				
Federal Capital Projects Fund . . . . .	. . . .	\$1,000,000	+ \$1,000,000	2,574,000
<b>New Facilities</b>				
State Parks Infrastructure Fund . . . . .	\$925,000	1,250,000	+ 325,000	2,425,000
<b>Maintenance and Improvements of Existing Facilities</b>				
Fiduciary funds - Misc Combined Expendible Trust Fund . . . . .	. . . .	6,000,000	+ 6,000,000	400,000
Misc. Capital Projects . . . . .	700,000	1,000,000	+ 300,000	2,046,000
State Parks Infrastructure Fund . . . . .	29,030,000	27,780,000	-1,250,000	53,201,000
<b>Park Lands EQBA</b>				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	406,000
<b>Outdoor Recreation Development Bond Fund</b>				
Outdoor Recreation Development Bond Fund . . . . .	. . . .	. . . .	. . . .	230,000
<b>Parks and Recreation Land Acquisition Bond Fund</b>				
Parks and Recreation Land Acquisition Bond Fund . . . . .	. . . .	. . . .	. . . .	796,000
<b>Clean Water - Clean Air Implementation</b>				
Clean Water Clean Air Implementation Fund . . . . .	1,384,000	1,453,000	+ 69,000	. . . .
<b>Total . . . . .</b>	<b>\$32,039,000</b>	<b>\$38,483,000</b>	<b>+ \$6,444,000</b>	<b>\$86,381,000</b>

# ***NEW YORK STATE PUBLIC AUTHORITIES***

New York State has statutorily created public authorities to carry out a variety of functions. These authorities play a critical role in managing, maintaining and improving New York State's infrastructure by building or financing roads, bridges and mass transit systems; rail, aviation, water, port and energy facilities; and housing, schools, public protection facilities and public buildings.

Established as public benefit corporations rather than departments of the State, the authorities are governed by boards of directors whose members can be appointed by the Governor, on the recommendation of the Legislature or local officials and by other involved municipalities. Although oversight mechanisms vary, all public authorities are accountable to the State and must submit reports to the Governor, the Legislature and the State Comptroller, including annual reports, independent financial audits and budget reports.

Detailed information on a number of public authorities reflected in Tables 1 through 4 can be found elsewhere in this Executive Budget. These authorities include:

## ***BRIDGE, TUNNEL AND HIGHWAY***

Triborough Bridge and Tunnel Authority  
Thruway Authority

## ***ECONOMIC DEVELOPMENT***

Development Authority of the North Country  
Empire State Development Corporation  
Job Development Authority

## ***ENERGY AND ENVIRONMENT***

Energy Research and Development Authority  
Environmental Facilities Corporation

## ***HOUSING, HEALTH AND FINANCE***

Housing Finance Agency  
Local Government Assistance Corporation  
State of New York Mortgage Agency

## ***REGIONAL TRANSPORTATION***

Metropolitan Transportation Authority



## ***PUBLIC AUTHORITIES***

---

Public authorities which are not included elsewhere in the Executive Budget are discussed below:

### ***BRIDGE, TUNNEL AND HIGHWAY AUTHORITIES***

#### ***Buffalo and Fort Erie Public Bridge Authority***

The Buffalo and Fort Erie Public Bridge Authority owns and operates the international "Peace Bridge" crossing the Niagara River between Buffalo and Fort Erie, Ontario. Bridge tolls cover Authority costs; no State funds are used to support the Authority.

#### ***New York State Bridge Authority***

The New York State Bridge Authority is responsible for the Bear Mountain, Kingston-Rhinecliff, Mid-Hudson, Newburgh-Beacon and Rip Van Winkle toll bridges that span the Hudson River. Various bridge tolls cover Authority costs; no State funds are used to support the Authority.

#### ***Thousand Islands Bridge Authority***

The Thousand Islands Bridge Authority operates two bridges connecting U.S. Interstate 81 in Jefferson County with Highway 401 in Ontario, Canada. The Authority also operates a sewage treatment facility and recreational and tourist facilities. Tolls from the bridge and other service fees cover operating costs; no State funds are used to support the Authority.

### ***ECONOMIC DEVELOPMENT AUTHORITIES***

#### ***Battery Park City Authority***

The Battery Park City Authority manages the commercial and residential development of a 92-acre landfill on the southwest end of Manhattan. To date, the Authority has promoted the construction of several buildings which provide more than 5,300 housing units and 6.5 million square feet of office space. It has also developed over 30 acres of parks and recreation areas. Battery Park City Authority continues to develop roads, utilities, parks and an esplanade along the Hudson River to support the private development of this mixed commercial-residential community. The Authority receives no State funds to support its operations, instead generating its revenues from its own corporate activities.

#### ***United Nations Development Corporation***

The United Nations Development Corporation develops and manages commercial and residential facilities for United Nations-related activities in New York City including One, Two and Three United Nations Plaza as well as other office space in the vicinity. Since 1968, the Corporation has issued \$260.7 million in debt to finance these facilities and does not rely on any State support to pay debt service or for its own operations.

**ENERGY AND ENVIRONMENTAL AUTHORITIES**

***New York Power Authority***

The New York Power Authority finances, builds and operates electric generation and transmission facilities. It owns and operates 12 generating facilities and a major transmission system.

The Authority generates and transmits electric power at wholesale rates to its primary customers — municipal and investor-owned utilities, rural electric cooperatives throughout the State, major industrial concerns and various New York City-area public corporations.

The Authority receives no State subsidy. It generally finances construction projects through sales of bonds and notes and pays the related debt service with revenues from the generation and transmission of electricity.

***Long Island Power Authority***

The Long Island Power Authority has the broad authority to ensure adequate, dependable and affordable gas and electric service on Long Island. The Authority has reduced commercial and residential electricity rates by approximately 20 percent. The reduction is encouraging economic development and lowering the cost of living in that region. No State tax dollars are used to fund the Authority.

**HOUSING, HEALTH AND FINANCE AUTHORITIES**

***Dormitory Authority***

The Dormitory Authority provides financing, construction management, planning and design, and equipment purchasing services for higher education, not-for-profit health care, judicial and other institutions. The Authority funds its operations from its own client-generated revenues.

***Municipal Assistance Corporation for the City of New York***

The Municipal Assistance Corporation for the City of New York was created in 1975 to provide access to the credit markets for the City during a period of fiscal crisis and to help oversee its fiscal affairs. MAC's financing mission on behalf of New York City has been completed. MAC expects its only financing role in the future to be management of its existing debt. No State money is used to finance the Corporation; it is funded through a portion of New York City's sales tax.

***Municipal Assistance Corporation for the City of Troy***

The Municipal Assistance Corporation for the City of Troy was created in 1995 to provide the City with access to the credit markets and oversee Troy's fiscal affairs. The Authority is subject to a debt cap of \$75 million. The State is authorized, subject to legislative review and appropriation, to provide moneys as necessary to ensure a 1.5:1 debt service coverage ratio on Authority debt. No such appropriation is required in the 2000-2001 State fiscal year. No State moneys are used to finance the Corporation, and failure of the State to appropriate State aid to the City does not constitute an event of default for Corporation obligations.

## ***PUBLIC AUTHORITIES***

---

### ***Municipal Bond Bank Agency***

The Municipal Bond Bank Agency was established in 1972 to provide low-cost capital financing to towns, villages, cities and counties. The Agency is staffed by the Housing Finance Agency. No State tax dollars are used to fund the Agency.

### ***Project Finance Agency***

The Project Finance Agency was created in 1975 to provide long-term financing for low- and middle-income residential housing projects originally financed by the Urban Development Corporation. During the mid-1970's, the Urban Development Corporation faced a potential default on bonds issued to construct these projects, preventing the issuance of long-term debt to complete projects under way. The Project Finance Agency was created as the financing vehicle to complete these projects. No State tax dollars are used to fund the Agency.

## ***PORT DEVELOPMENT AUTHORITIES***

### ***Albany Port District Commission***

The Albany Port District Commission develops and operates port facilities in the cities of Albany and Rensselaer. In past years, the Authority has completed a new warehouse, rehabilitated dock facilities and added rail tracks to update the port facilities. Lease revenues account for 50 to 70 percent of the Port's annual revenue with maritime traffic making up the remainder.

### ***Ogdensburg Bridge and Port Authority***

The Ogdensburg Bridge and Port Authority operates an international bridge between Ogdensburg and Prescott, Ontario, Canada, as well as a port, an airport, an industrial park and a short-line railroad. The Authority has become increasingly involved in developing port and industrial park properties in the North Country. The Authority's industrial park now has 14 buildings which house companies providing 1,000 jobs. Its marine terminal provides the North Country's mining industries with low-cost transportation.

### ***Port Authority of New York and New Jersey***

The Port Authority of New York and New Jersey was created in 1921 to improve port and transportation facilities in the New York metropolitan area. This bi-state authority is responsible for the management and daily operation of more than 30 facilities, including airports, marine terminal facilities, bus terminals, interstate bridges and tunnels, an interstate commuter railroad, the World Trade Center and industrial parks. No New York State funds are used to support the Port Authority.

### ***Port of Oswego Authority***

The Port of Oswego Authority operates port facilities in the Oswego Port District, which includes the City of Oswego, the Town of Scriba, and all waters of the Oswego River and Lake Ontario within its boundaries. The Authority operates a port terminal and storage facilities and supports a marine museum and maritime foundation.

**REGIONAL TRANSPORTATION AUTHORITIES**

***Capital District Transportation Authority***

The Capital District Transportation Authority provides public transportation service within Albany, Rensselaer, Saratoga and Schenectady counties. State funding for the Capital District Transportation Authority is provided through appropriations to the New York State Department of Transportation.

***Central New York Regional Transportation Authority***

The Central New York Regional Transportation Authority provides public transportation service within Central New York through three subsidiary corporations: CNY Centro (Onondaga County), Centro of Oswego (Oswego County) and Centro of Cayuga (Cayuga County). State funding for the Central New York Regional Transportation Authority is provided through appropriations to the New York State Department of Transportation.

***Niagara Frontier Transportation Authority***

The Niagara Frontier Transportation Authority oversees the operations of a public transportation system providing bus, rail and paratransit services in Niagara and Erie counties. The Authority also operates both a primary and reliever airport, a small boat harbor and two metro transit centers which are primary terminals for private inter-city bus service for Niagara and Erie counties. State funding for the Niagara Frontier Transportation Authority is provided through appropriations to the New York State Department of Transportation.

***Rochester-Genesee Regional Transportation Authority***

The Rochester-Genesee Regional Transportation Authority provides public transportation service in the counties of Genesee, Livingston, Monroe, Wayne and Wyoming. The Authority operates the Regional Transit Service (Rochester area), Wayne Area Transportation System, Livingston Area Transportation Service, Wyoming Transportation Service and Batavia Bus Service. State funding for the Rochester-Genesee Regional Transportation Authority is provided through appropriations to the New York State Department of Transportation.

# PUBLIC AUTHORITIES

**Table 1**  
**FINANCIAL OPERATIONS a/**  
**OF NEW YORK STATE PUBLIC AUTHORITIES, 1999 AND 2000**  
**(thousands)**

Authorities by Function	Fiscal Year Begins	1999				2000			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/
<b>BRIDGE, TUNNEL AND HIGHWAY</b>									
Buffalo and Fort Erie Public Bridge Authority . . . . .	Jan. 1	\$22,577	\$10,761	\$3,515	\$8,301	\$26,796	\$11,645	\$3,517	\$11,634
New York State Bridge Authority . . . . .	Jan. 1	27,527	13,586	4,748	9,193	35,600	14,204	4,749	16,647
Thousand Islands Bridge Authority . . . . .	Mar. 1	9,115	6,681	358	2,076	8,776	6,699	727	1,350
Triborough Bridge and Tunnel Authority . . . . .	Jan. 1	933,418	233,382	281,584	418,452	941,344	239,243	301,029	401,072
Thruway Authority c/ . . . . .	Jan. 1	419,639	246,246	94,125	79,268	434,481	245,577	98,253	90,651
<b>ECONOMIC DEVELOPMENT</b>									
Battery Park City Authority . . . . .	Nov. 1	138,350	19,940	64,840	53,570	184,639	23,324	71,036	90,279
Development Authority of the North Country . . . . .	April 1	8,264	5,295	2,932	37	8,582	5,454	3,093	35
Empire State Development Corporation . . . . .	April 1	396,612	51,292	345,320	....	453,393	34,942	418,451	....
Job Development Authority . . . . .	April 1	71,037	6,158	64,879	....	24,386	2,515	21,871	....
United Nations Development Corporation . . . . .	Jan. 1	32,220	12,387	12,966	6,867	29,314	12,249	10,409	6,656
<b>ENERGY AND ENVIRONMENT</b>									
Energy Research and Development Authority . . . . .	April 1	128,464	113,492	14,972	....	117,511	102,554	14,957	....
Environmental Facilities Corporation . . . . .	April 1	595,894	11,364	582,730	1,800	499,447	11,659	483,272	4,516
Long Island Power Authority . . . . .	Jan. 1	2,111,216	1,726,854	384,362	....	2,124,940	1,733,382	391,558	....
Power Authority . . . . .	Jan. 1	1,476,200	960,500	239,600	276,100	1,507,500	994,200	302,600	210,700
<b>HOUSING, HEALTH AND FINANCE</b>									
Dormitory Authority . . . . .	April 1	2,476,528	50,489	2,426,039	....	2,843,821	54,369	2,789,452	....
Housing Finance Agency . . . . .	Nov. 1	361,707	15,152	340,905	5,650	383,936	15,655	362,411	5,870
Local Government Assistance Corporation . . . . .	April 1	537,000	4,000	533,000	....	518,200	4,000	514,200	....
Mortgage Agency . . . . .	Nov. 1	777,817	14,785	763,032	....	650,695	27,584	621,592	1,519
Municipal Assistance Corporation for the City of New York . . . . .	July 1	503,674	8,161	495,513	....	506,915	8,161	498,754	....
Municipal Assistance Corporation for the City of Troy . . . . .	Jan. 1	2,409	50	2,359	....	3,606	25	3,581	....

## PUBLIC AUTHORITIES

Authorities by Function	Fiscal Year Begins	1999				2000			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/
<b>Municipal Bond Bank</b>									
Agency .....	Nov. 1	6,806	180	6,606	20	6,318	145	6,138	35
Project Finance Agency .....	Nov. 1	42,885	252	42,583	50	41,564	273	41,231	60
<b>PORT DEVELOPMENT</b>									
<b>Albany Port District</b>									
Commission .....	Jan. 1	3,209	1,302	80	1,827	2,460	1,466	80	914
<b>Ogdensburg Bridge and Port Authority</b>									
Authority .....	April 1	3,347	2,646	655	46	3,433	2,708	725	....
<b>Port Authority of New York and New Jersey d/ .....</b>									
Jan. 1	2,596,865	1,693,465	463,718	439,682	2,596,865	1,693,465	463,718	439,682	
<b>Port of Oswego Authority ..</b>									
April 1	1,695	1,120	90	485	1,800	1,175	93	532	
<b>REGIONAL TRANSPORTATION</b>									
<b>Capital District Transportation Authority .....</b>									
April 1	30,336	30,336	....	....	30,896	30,896	....	....	
<b>Central New York Regional Transportation Authority ..</b>									
April 1	26,765	26,665	100	....	27,045	26,945	100	....	
<b>Metropolitan Transportation Authority e/ .....</b>									
Jan. 1	6,919,500	6,093,400	700,200	125,900	7,424,900	6,787,600	888,300	(251,000)	
<b>Niagara Frontier Transportation Authority .....</b>									
April 1	100,624	91,637	8,987	....	107,070	89,042	18,028	....	
<b>Rochester-Genesee Regional Transportation Authority ..</b>									
April 1	40,323	39,470	....	853	39,537	39,537	....	....	
<b>GRAND TOTAL</b>		<u>\$20,802,023</u>	<u>\$11,491,048</u>	<u>\$7,880,798</u>	<u>\$1,430,177</u>	<u>\$21,585,770</u>	<u>\$12,220,693</u>	<u>\$8,333,925</u>	<u>\$1,031,152</u>

- a/ This table is based on authority estimates and may not reflect approval by the Board of Directors. This table covers the Authority fiscal year which includes September 30. Data vary as to cash or accrual accounting
- b/ The operating surplus may be committed to reserve requirements, repayment of State advances or funding of capital programs or programs operated by other authorities. Deficits are to be covered from existing resources or management options.
- c/ Excludes debt service for bonds sold to finance State transportation programs.
- d/ Due to the unavailability of 2000 Budget information, data for 2000 is based on carry forward of previous year data.
- e/ This table reflects the 2000 budget approved by the MTA Board as an interim financial plan. Important elements of both the MTA cost structure and the MTA revenue stream have not been firmly established.

# PUBLIC AUTHORITIES

Table 2  
CAPITAL PROGRAMS a/  
OF NEW YORK STATE PUBLIC AUTHORITIES, 1999 AND 2000  
(thousands)

Authorities by Function	1999			2000		
	Capital Program Disbursements	Available Resources	Sale of New Debt b/	Capital Program Disbursements	Available Resources	Sale of New Debt b/
<b>BRIDGE, TUNNEL AND HIGHWAY</b>						
Buffalo and Fort Erie Public						
Bridge Authority .....	\$17,612	\$19,680	....	\$16,267	\$13,830	\$3,000
New York State Bridge Authority .....	9,847	45,436	....	40,370	52,236	....
Thousand Islands Bridge Authority .....	3,416	3,416	....	9,352	9,352	....
Triborough Bridge and Tunnel Authority .....	107,685	214,254	\$220,750	144,490	201,000	200,000
Thruway Authority .....	408,033	274,391	133,642	391,031	249,930	141,101
<b>ECONOMIC DEVELOPMENT</b>						
Battery Park City Authority .....						
	11,000	11,000	....	11,000	86,000	80,000
Development Authority of the North Country .....						
	....	....	....	....	....	....
Empire State Development Corporation .....						
	55,899	....	55,899	64,328	....	64,328
Job Development Authority ..						
	10,000	....	10,000	10,000	....	10,000
United Nations Development Corporation .....						
	1,070	5,832	....	1,969	3,862	....
<b>ENERGY AND ENVIRONMENT</b>						
Energy Research and Development Authority ..						
	12,500	12,500	....	13,900	13,900	....
Environmental Facilities Corporation .....						
	479,840	....	479,840	600,930	....	600,930
Long Island Power Authority.						
	125,000	125,000	....	207,000	....	250,000
Power Authority .....						
	182,600	171,000	11,600	188,200	168,089	20,111
<b>HOUSING, HEALTH AND FINANCE</b>						
Dormitory Authority .....						
	3,308,462	4,306,398	3,501,301	3,386,516	4,499,237	2,716,480
Housing Finance Agency ...						
	372,588	319,850	294,896	424,437	242,837	300,000
Local Government Assistance Corporation .....						
	....	....	....	....	....	....
Mortgage Agency .....						
	521,865	300,721	628,967	628,650	301,038	436,685
Municipal Assistance Corporation for the City of New York .....						
	....	....	....	....	....	....
Municipal Assistance Corporation for the City of Troy .....						
	....	....	....	....	....	....

## PUBLIC AUTHORITIES

Authorities by Function	1999			2000		
	Capital Program Disbursements	Available Resources	Sale of New Debt b/	Capital Program Disbursements	Available Resources	Sale of New Debt b/
Municipal Bond Bank Agency .....	....	....	....	....	....	....
Project Finance Agency .....	....	....	....	....	....	....
<b>PORT DEVELOPMENT</b>						
Albany Port District Commission .....	373	1,827	....	602	914	....
Ogdensburg Bridge and Port Authority .....	2,248	2,248	....	1,861	1,861	....
Port Authority of New York and New Jersey c/ .....	1,034,720	830,153	300,000	1,034,720	830,153	300,000
Port of Oswego Authority ..	459	2,514	....	1,350	2,159	....
<b>REGIONAL TRANSPORTATION</b>						
Capital District Transportation Authority d/ .....	38,386	38,386	....	56,066	41,066	....
Central New York Regional Transportation Authority .....	23,613	23,613	....	14,476	14,476	....
Metropolitan Transportation Authority e/ .....	3,587,400	2,021,000	1,566,400	4,052,200	1,101,000	2,951,200
Niagara Frontier Transportation Authority .....	97,193	55,283	41,910	115,346	62,713	52,633
Rochester-Genesee Regional Transportation Authority .....	16,583	16,583	....	15,806	15,806	....
<b>GRAND TOTAL</b>	<b>\$10,428,392</b>	<b>\$8,801,085</b>	<b>\$7,245,205</b>	<b>\$11,430,867</b>	<b>\$7,911,459</b>	<b>\$8,126,468</b>

a/ This table is based on authority estimates and may not reflect approval by the Board of Directors. The table covers the Authority fiscal year which includes September 30. "Available resources" may include anticipated and/or requested State and Federal funds.

b/ Includes proceeds available for capital program only.

c/ Due to the unavailability of 2000 Budget information, data for 2000 is based on carry forward of previous year data.

d/ Additional resources need to be identified to meet disbursements for the completion of the Rensselaer Train Station. The Authority is actively seeking additional resources from various entities.

e/ This table reflects the MTA's September 29, 1999 capital plan proposal.



# PUBLIC AUTHORITIES

**Table 3**  
**DEBT STRUCTURE**  
**OF NEW YORK STATE PUBLIC AUTHORITIES AS OF SEPTEMBER 30, 1999**  
**(thousands)**

Authorities by Function	All Bonds and Notes			Moral Obligation Bonds			
	Statutory Authorizatio n	Bonds Issued	Bonds Outstanding	Notes Outstanding	Authorized Limit	Bonds Issued	Bonds Outstanding
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public							
Bridge Authority . . . . .	\$165,000	\$53,370	\$50,055	....	....	....	....
New York State Bridge Authority . . . . .	100,000	116,711	44,380	....	....	....	....
Thousand Islands Bridge Authority . . . . .	Unlimited	5,440	358	....	....	....	....
Triborough Bridge and Tunnel Authority a/ . . . . .	6,500,000	5,958,733	5,104,410	....	....	....	....
Thruway Authority . . . . .	Unlimited	8,770,787	6,609,877	....	....	....	....
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority . . . . .	1,460,000	1,052,110	941,490	....	....	....	....
Development Authority of the							
North Country . . . . .	Unlimited	46,739	37,377	....	....	....	....
Empire State Development Corporation . . . . .	Unlimited	5,457,977	4,729,903	\$15,751	\$1,295,000	\$1,075,000	....
Job Development Authority . . . . .	750,000	726,080	186,830	....	....	....	....
United Nations Development Corporation . . . . .	Unlimited	260,728	143,923	....	46,555	32,040	....
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority . . . . .	Unlimited	7,156,095	3,940,145	....	....	....	....
Environmental Facilities Corporation . . . . .	Unlimited	5,709,530	3,970,855	....	....	....	....
Long Island Power Authority . . . . .	Unlimited	7,278,852	7,278,852	....	....	....	....
Power Authority . . . . .	Unlimited	5,424,825	1,204,865	1,021,153	....	....	....
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority . . . . .	Unlimited	49,517,338	27,777,736	40,084	926,015	698,660	\$100,520
Housing Finance Agency b/ Local Government Assistance Corporation . . . . .	7,715,000	9,712,810	4,273,484	....	4,463,440	6,524,379	527,837
Mortgage Agency . . . . .	6,520,000	10,349,964	3,872,968	....	....	....	....
Municipal Assistance Corporation for the City of							
New York . . . . .	11,500,000	9,445,000	3,532,000	....	....	9,445,000	....
Municipal Assistance Corporation for the City of							
Troy c/ . . . . .	75,000	64,378	67,409	....	....	....	....

## PUBLIC AUTHORITIES

Authorities by Function	All Bonds and Notes				Moral Obligation Bonds		
	Statutory Authorizatio n	Bonds Issued	Bonds Outstanding	Notes Outstanding	Authorized Limit	Bonds Issued	Bonds Outstanding
Municipal Bond Bank Agency .....	1,000,000	64,765	44,775	....	....	....	....
Project Finance Agency .....	305,000	305,000	126,540	....	....	....	....
PORT DEVELOPMENT							
Albany Port District Commission .....	Unlimited	....	....	1,198	....	....	....
Ogdensburg Bridge and Port Authority .....	Unlimited	....	....	2,632	....	....	....
Port Authority of New York and New Jersey .....	Unlimited	9,283,660	7,773,490	390,580	....	....	....
Port of Oswego Authority ..	Unlimited	....	....	161	....	....	....
REGIONAL TRANSPORTATION							
Capital District Transpor- tation Authority .....	Unlimited	....	....	875	....	....	....
Central New York Regional Transportation Authority .....	Unlimited	....	....	....	....	....	....
Metropolitan Transportation Authority a/ .....	6,500,000	9,308,288	7,430,850	750,000	....	....	....
Niagara Frontier Transpor- tation Authority .....	Unlimited	213,445	205,335	1,136	....	....	....
Rochester-Genesee Regional Transportation Authority .....	Unlimited	....	....	....	....	....	....
		\$151,853,79			\$6,731,01	\$17,775,07	
GRAND TOTAL		<u>0</u>	<u>\$94,350,742</u>	<u>\$2,223,570</u>	<u>0</u>	<u>9</u>	<u>\$628,357</u>

- a/ The MTA and TBTA are collectively authorized to issue up to \$6.5 billion of bonds to finance their 1992-1999 capital programs. Outstanding bonds do not include \$384 million in Convention Center Project Bonds, not covered by Authority's bond cap.
- b/ HFA moral obligation bond limit is reduced as bonds outstanding after April 1, 1976 are repaid.
- c/ Bonds outstanding exceed bonds issued because bonds outstanding include accretion in value of capital appreciation bonds from date of issue through September 30, 1999.

# PUBLIC AUTHORITIES

**Table 4**  
**STATE INVOLVEMENT IN FINANCING OF PROJECTS AND OPERATIONS**  
**OF NEW YORK STATE PUBLIC AUTHORITIES, 1999 AND 2000-01**  
**(thousands)**

Authorities by Function	Authority Bonds Outstanding, 1999 a/			Outstanding Reimbursable State Appropriations, 1999	State Appropriations Requested in Support of Authority Programs, 2000-01 b/		
	Revenue and Nonrecourse	State Guaranteed	Moral Obligation		New Appropriations	Reapropriations	Total
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public Bridge Authority .....	\$50,055	....	....	....	....	....	....
New York State Bridge Authority .....	44,380	....	....	....	....	....	....
Thousand Islands Bridge Authority .....	358	....	....	....	....	....	....
Triborough Bridge and Tunnel Authority c/ .....	5,104,410	....	....	....	....	....	....
Thruway Authority .....	6,609,877	....	....	....	\$1,800	\$1,000	\$2,800
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority .....	941,490	....	....	....	....	....	....
Development Authority of the North Country .....	37,377	....	....	....	....	....	....
Empire State Development Corporation .....	4,729,903	....	....	\$32,417	112,004	531,600	643,604
Job Development Authority . .	....	\$186,830	....	....	....	....	....
United Nations Development Corporation .....	143,923	....	....	....	....	....	....
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority ..	3,940,145	....	....	....	28,673	1,445	30,118
Environmental Facilities Corporation .....	3,970,855	....	....	6,864	7,436	22,500	29,936
Long Island Power Authority.	7,278,852	....	....	....	....	....	....
Power Authority .....	1,204,865	....	....	....	....	....	....
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority .....	27,677,216	....	\$100,520	....	....	....	....
Housing Finance Agency ...	3,745,647	....	527,837	44,129	700	15,892	16,592
Local Government Assistance Corporation .....	5,002,835	....	....	....	518,200	....	518,200
Mortgage Agency .....	3,872,968	....	....	....	....	....	....
Municipal Assistance Corporation for the City of New York .....	3,532,000	....	....	....	....	....	....

## PUBLIC AUTHORITIES

Authorities by Function	Authority Bonds Outstanding, 1999 a/			Outstanding Reimbursable State Appropriations, 1999	State Appropriations Requested in Support of Authority Programs, 2000-01 b/		
	Revenue and Nonrecourse	State Guaranteed	Moral Obligation		New Appropriations	Reapropriations	Total
Municipal Assistance Corporation for the City of Troy .....	67,409	....	....	....	....	....	....
Municipal Bond Bank Agency .....	44,775	....	....	....	....	....	....
Project Finance Agency .....	126,540	....	....	....	....	....	....
<b>PORT DEVELOPMENT</b>							
Albany Port District Commission .....	....	....	....	1,358	....	....	....
Ogdensburg Bridge and Port Authority .....	....	....	....	19,500	....	....	....
Port Authority of New York and New Jersey .....	7,773,490	....	....	....	....	....	....
Port of Oswego Authority ..	....	....	....	4,231	....	....	....
<b>REGIONAL TRANSPORTATION</b>							
Capital District Transportation Authority .....	....	....	....	....	9,681	....	9,681
Central New York Regional Transportation Authority .....	....	....	....	....	11,916	....	11,916
Metropolitan Transportation Authority .....	7,430,850	....	....	....	1,312,735	132,882	1,445,617
Niagara Frontier Transportation Authority .....	205,335	....	....	3,380	17,483	....	17,483
Rochester-Genesee Regional Transportation Authority .....	....	....	....	....	10,618	....	10,618
<b>GRAND TOTAL</b>	<b>\$93,535,555</b>	<b>\$186,830</b>	<b>\$628,357</b>	<b>\$111,879</b>	<b>\$2,031,246</b>	<b>\$705,319</b>	<b>\$2,736,565</b>

a/ This table covers bonds outstanding as of September 30.

b/ Appropriations are included in the Executive Budget for State Fiscal Year 2000-2001 from the State's General Fund, dedicated tax funds, Capital Projects Fund or bond funds. Some of these funds may be appropriated to an intermediary which, in turn, makes payment to the named authority.

c/ Outstanding bonds do not include \$384 million in Convention Center Project Bonds, not covered by Authority's bond cap.



# **STATE RACING AND WAGERING BOARD**

## **MISSION**

The Racing and Wagering Board regulates all legalized gambling activities in New York except the State Lottery. Horse racing, off-track betting (OTB) and Indian casino gaming are directly regulated by the Board. The responsibility for oversight of bingo and other permitted games of chance conducted by religious and not-for-profit organizations is shared with municipalities, which collect license fees and ensure that the Board's rules and regulations are followed.

## **ORGANIZATION AND STAFFING**

A three-member Board oversees agency activities. The Governor appoints each member to a six-year term with the consent of the Senate.

The Chair and central office staff are in Albany with additional staff operating from the New York City regional office. The agency also employs on-site inspectors at the Oneida Indians' Turning Stone Casino in Verona, Oneida County and the Mohawk Indians' Akwesasne Mohawk Casino in Hogansburg, Franklin County. Temporary and full time employees oversee horse racing at New York's four thoroughbred race tracks — Aqueduct, Belmont, Saratoga and Finger Lakes — and six harness tracks — Buffalo, Monticello, Saratoga, Syracuse, Vernon Downs and Yonkers. The Racing and Wagering Board will have a workforce of 123 full time and 153 temporary staff in 2000-01. Approximately 34 percent of these positions will be supported by State tax dollars; the remaining staff will be supported by revenues generated by Indian casinos and charitable gaming activities.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2000-01 Executive Budget recommends \$9.728 million in General Fund support for staff and related costs associated with the processing of racing licenses; the review of financial statements submitted by regional OTBs; legal hearings to suspend or fine violators of racing regulations; seasonal employees at the thoroughbred and harness tracks; and the testing of race horses for prohibited drugs.

In addition, \$2 million in existing fees collected by the State from charitable gaming proceeds is recommended to support the regulation of these games. This funding will support oversight of "bell jar" games, which are games of chance in which players remove "pull tabs" from randomly drawn tickets to reveal potential winning combinations of three or more matching items. The Budget also authorizes \$3 million in revenues from fees charged to Indian casinos to pay for on-site monitoring and investigation of these casinos.

## **PROGRAM HIGHLIGHTS**

### **REGULATION OF GAMES OF CHANCE**

The Racing and Wagering Board promulgates rules and regulations governing bingo and other games of chance operated by more than 14,100 charitable and not-for-profit organizations throughout the State. The Board establishes standards for issuing licenses to suppliers and manufacturers of gaming equipment; reviews

## **RACING AND WAGERING**

financial statements of charitable gaming operations; and, in conjunction with local law enforcement officials, investigates illegal gaming activities. In accordance with legislation enacted in 1996, the Board will continue its oversight of "bell jar" games in order to decrease illegal activity.

### **INDIAN GAMING**

The State has negotiated compacts or protocols with the Oneida Nation and St. Regis Mohawk Tribe to conduct gaming activities. Under these compacts, the Racing and Wagering Board is responsible for supervising gaming activities operating on these Indian lands. The Board maintains 22 employees that oversee activities at the Oneida Nation's Turning Stone Casino and 28 employees at the St. Regis Mohawk Tribe's Akwesasne Casino.

### **REGULATION OF RACING**

The Board's permanent staff oversee 153 temporary employees who ensure that horse races at the State's race tracks are conducted legally. As part of this effort, the Board has a contract with Cornell University to conduct research and to carry out post-race testing of blood and urine samples taken from race horses.

#### **ALL FUNDS APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$14,707,300	\$14,707,300	....	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$14,707,300</u>	<u>\$14,707,300</u>	<u>....</u>	<u>....</u>

#### **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	15	15	....	15	....
Audit and Investigation					
General Fund .....	23	23	....	23	....
Regulation of Racing and Off-Track Betting					
General Fund .....	4	4	....	4	....
Regulation of Wagering					
Special Revenue Funds - Other .....	81	81	....	81	....
Total .....	<u>123</u>	<u>123</u>	<u>....</u>	<u>123</u>	<u>....</u>

## RACING AND WAGERING

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$9,728,000	\$9,728,000	.....
Special Revenue Funds - Other .....	4,979,300	4,979,300	.....
<b>Total .....</b>	<b><u>\$14,707,300</u></b>	<b><u>\$14,707,300</u></b>	<b><u>.....</u></b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$1,615,600	\$1,615,600	.....
Audit and Investigation			
General Fund .....	1,165,800	1,165,800	.....
Regulation of Racing and Off-Track Betting			
General Fund .....	6,946,600	6,946,600	.....
Regulation of Wagering			
Special Revenue Funds - Other .....	4,979,300	4,979,300	.....
<b>Total .....</b>	<b><u>\$14,707,300</u></b>	<b><u>\$14,707,300</u></b>	<b><u>.....</u></b>

### STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$674,200	.....	\$674,200	.....
Audit and Investigation .....	1,081,500	.....	1,081,500	.....
Regulation of Racing and Off-Track Betting .....	4,261,300	.....	4,261,300	.....
<b>Total .....</b>	<b><u>\$6,017,000</u></b>	<b><u>.....</u></b>	<b><u>\$6,017,000</u></b>	<b><u>.....</u></b>



# RACING AND WAGERING

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$941,400	. . . .	\$335,600	. . . .
Audit and Investigation . . . . .	84,300	. . . .	14,000	. . . .
Regulation of Racing and Off-Track Betting . . . . .	2,685,300	. . . .	56,100	. . . .
<b>Total . . . . .</b>	<b>\$3,711,000</b>	<b>. . . .</b>	<b>\$405,700</b>	<b>. . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$37,800	. . . .	\$568,000	. . . .
Audit and Investigation . . . . .	37,400	. . . .	30,700	. . . .
Regulation of Racing and Off-Track Betting . . . . .	9,400	. . . .	2,614,200	. . . .
<b>Total . . . . .</b>	<b>\$84,600</b>	<b>. . . .</b>	<b>\$3,212,900</b>	<b>. . . .</b>

Program	Equipment	
	Amount	Change
Administration . . . . .	. . . .	. . . .
Audit and Investigation . . . . .	\$2,200	. . . .
Regulation of Racing and Off-Track Betting . . . . .	5,600	. . . .
<b>Total . . . . .</b>	<b>\$7,800</b>	<b>. . . .</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Regulation of Wagering . . . . .	\$4,979,300	. . . .	\$2,982,700	. . . .
<b>Total . . . . .</b>	<b>\$4,979,300</b>	<b>. . . .</b>	<b>\$2,982,700</b>	<b>. . . .</b>

Program	Nonpersonal Service	
	Amount	Change
Regulation of Wagering . . . . .	\$1,996,600	. . . .
<b>Total . . . . .</b>	<b>\$1,996,600</b>	<b>. . . .</b>

# ***OFFICE OF SCIENCE, TECHNOLOGY, AND ACADEMIC RESEARCH***

## ***MISSION***

Established in November 1999, the New York State Office of Science, Technology, and Academic Research is an Executive agency which will replace the New York State Science and Technology Foundation and assume responsibility for directing the State's university-based high technology economic development programs. In addition, the Office of Science, Technology, and Academic Research will develop a comprehensive State policy for attracting and retaining high technology businesses with the potential for significant job creation in the State.

## ***ORGANIZATION AND STAFFING***

The Office of Science, Technology, and Academic Research is headed by an Executive Director who is appointed by the Governor and confirmed by the Senate. Agency oversight will be augmented by an 11-member advisory council. The Office of Science, Technology, and Academic Research will have a workforce of 44 positions in 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Office of Science, Technology, and Academic Research's activities are supported primarily with State tax dollars from the General Fund. The Executive Budget recommends \$3.6 million to support the agency's operating budget and \$47.42 million for its high technology programs.

## ***PROGRAM HIGHLIGHTS***

The Office of Science, Technology, and Academic Research is responsible for the following major programs:

- **Capital Facility Program:** This program supports the construction and reconstruction of research and development facilities at designated Centers for Advanced Technology and State University of New York University Centers.
- **Faculty Development Program:** This program provides grants to assist colleges and universities in attracting and retaining research faculty.
- **Center for Advanced Technology Development Program:** This program provides grants to designated Centers for Advanced Technology for enhancing and expanding activities.
- **Technology Transfer Incentive Program:** This program provides grants to colleges and universities for technology transfer activities, such as patent applications, the creation of business plans, venture capital conferences and other uses related to the commercialization of high technology innovations.

In addition, the Office of Science, Technology, and Academic Research will continue to administer programs of the former Science and Technology Foundation, including: Centers for Advanced Technology; Industrial Technology Extension Services; Technology Development Organizations; university research centers at the State University of New York at Binghamton and the University of Rochester; the Sensing, Analyzing, Interpreting and Deciding Center at Syracuse University; the

# SCIENCE, TECHNOLOGY, AND ACADEMIC RESEARCH

Buffalo Technology Transfer Center at Sisters Hospital; the Focus Center-New York semiconductor research center; and the Cornell University Nanobiotechnology Center.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$1,500,000	\$4,100,000	+ \$2,600,000	.....
Aid To Localities .....	61,820,000	52,420,000	-9,400,000	\$34,570,000
Capital Projects .....	47,500,000	.....	-47,500,000	47,500,000
<b>Total .....</b>	<b>\$110,820,000</b>	<b>\$56,520,000</b>	<b>-\$54,300,000</b>	<b>\$82,070,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration Program General Fund .....	.....	.....	44	44	+ 44
<b>Total .....</b>	<b>.....</b>	<b>.....</b>	<b>44</b>	<b>44</b>	<b>+ 44</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$1,000,000	\$3,600,000	+ \$2,600,000
Special Revenue Funds - Other .....	500,000	500,000	.....
<b>Total .....</b>	<b>\$1,500,000</b>	<b>\$4,100,000</b>	<b>+ \$2,600,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration Program General Fund .....	\$1,000,000	\$3,600,000	+ \$2,600,000
Special Revenue Funds - Other .....	500,000	500,000	.....
<b>Total .....</b>	<b>\$1,500,000</b>	<b>\$4,100,000</b>	<b>+ \$2,600,000</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Amount	Change	Maintenance Undistributed Amount	Change
Administration Program .....	\$3,600,000	+ \$2,600,000	\$3,600,000	+ \$2,600,000
<b>Total .....</b>	<b>\$3,600,000</b>	<b>+ \$2,600,000</b>	<b>\$3,600,000</b>	<b>+ \$2,600,000</b>

# SCIENCE, TECHNOLOGY, AND ACADEMIC RESEARCH

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Amount	Change	Maintenance Amount	Undistributed Change
Administration Program . . . . .	\$500,000	. . . .	\$500,000	. . . .
<b>Total . . . . .</b>	<b>\$500,000</b>	<b>. . . .</b>	<b>\$500,000</b>	<b>. . . .</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$56,820,000	\$47,420,000	-\$9,400,000
Special Revenue Funds - Federal . . . . .	5,000,000	5,000,000	. . . .
<b>Total . . . . .</b>	<b>\$61,820,000</b>	<b>\$52,420,000</b>	<b>-\$9,400,000</b>
Adjustments:			
Transfer(s) From			
Economic Development, Department of Special Revenue Funds - Federal . . . . .	-5,000,000		
Science and Technology Foundation, New York State General Fund . . . . .	-25,220,000		
Appropriated 1999-00 . . . . .	<u>\$31,600,000</u>		

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
High Technology General Fund . . . . .	\$25,220,000	\$24,420,000	-\$800,000
Training and Business Assistance Program General Fund . . . . .	4,000,000	500,000	-3,500,000
Special Revenue Funds - Federal . . . . .	5,000,000	5,000,000	. . . .
Research Development Program General Fund . . . . .	22,500,000	22,500,000	. . . .
Community Projects General Fund . . . . .	5,100,000	. . . .	-5,100,000
<b>Total . . . . .</b>	<b>\$61,820,000</b>	<b>\$52,420,000</b>	<b>-\$9,400,000</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Research Facilities Capital Projects Fund . . . . .	\$47,500,000	. . . .	-\$47,500,000	\$47,500,000
<b>Total . . . . .</b>	<b>\$47,500,000</b>	<b>. . . .</b>	<b>-\$47,500,000</b>	<b>\$47,500,000</b>



# THRUWAY AUTHORITY

In addition to operating a 641-mile toll-highway system, the Thruway Authority has jurisdiction over the New York State Canal System. Through its subsidiary, the New York State Canal Corporation, the Thruway maintains, operates, develops and makes capital improvements to the 524-mile navigable waterway which includes 57 locks, numerous dams, reservoirs and water control structures.

Revenues from canal tolls and other user fees are deposited into the Canal System Development Fund and, in accordance with the State Constitution, are used exclusively for the canals. The Executive Budget recommends a new appropriation of \$2 million and reappropriations of \$3.1 million from the Canal System Development Fund for a portion of the maintenance, construction, reconstruction, development and promotion of the canals. All other Canal System and Thruway Authority programs are supported by Authority funds and are not reflected in the Executive Budget.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	\$2,000,000	\$2,000,000	.....	\$3,134,000
Total .....	\$2,000,000	\$2,000,000	.....	\$3,134,000

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Canal Development Program				
New York State Canal System Development Fund .....	\$2,000,000	\$2,000,000	.....	\$3,134,000
Total .....	\$2,000,000	\$2,000,000	.....	\$3,134,000

***THRUWAY AUTHORITY***

---

# **DEPARTMENT OF TRANSPORTATION**

## **MISSION**

The Department of Transportation directly maintains and improves the State's more than 40,000 highway lane miles and 7,500 bridges. In addition, the Department partially funds locally-operated transit systems, local government highway and bridge construction and rail and airport programs.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner appointed by the Governor. The Department's main office is in Albany, with 11 regional offices in Albany, Utica, Syracuse, Rochester, Buffalo, Hornell, Watertown, Poughkeepsie, Binghamton, Hauppauge and New York City. The Department also maintains highway maintenance and equipment repair facilities across the State.

In 2000-01, the Department will have a full-time workforce of approximately 10,692 employees. Employees perform such activities as highway maintenance, snow and ice removal, highway and bridge design and construction inspection. In addition, the Department's staff inspects school and charter buses, regulates commercial transportation, oversees public transportation systems and State-owned airports and provides administrative support for the Department.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Department is responsible for the implementation of the highway and bridge program. It is supported primarily by revenues from the Petroleum Business Tax, highway use and motor fuel taxes, and motor vehicle fees. Substantial Federal aid is also used to support the program.

The Department's operating budget is devoted primarily to highway maintenance, particularly snow and ice removal. These activities are supported in large part through State tax dollars in the General Fund, which provides approximately 74.9 percent of the funding.

Approximately \$41.9 million or 19.7 percent of total funding for Department operations is derived from fees, including those imposed on trucks registered to transport products throughout the State, landing fees and rents levied at Republic Airport, internal service fees paid by other State agencies for consolidated printing services and revenues generated by the sale and rental of Department property, such as commercial leasing of land for parking or storage. These funds support a number of agency activities, including administrative support services, snow and ice removal, highway safety and aviation programs.

Federal aid of \$7.1 million and \$4.4 million in dedicated mass transit funds help finance the remaining 5.4 percent of operations primarily for mass transportation, aviation and motor-carrier safety programs.

Snow and ice control services constitute the bulk of the Department's state operations budget. Recommendations include over \$110 million for State maintenance crews to control snow and ice and \$21.9 million to fund snow and ice control by municipalities.

Capital appropriations provide funding for construction and reconstruction projects on State highways, bridges, railways, and airports, as well as financing the engineering staff and private-sector consultants who work on these projects. The highway and bridge construction level will total \$1.6 billion in 2000-01, initiating the first year of a new five-year transportation plan that commits over \$14 billion for the Department's capital programs.



## **TRANSPORTATION**

---

The centerpiece of the State's Highway and Bridge Program is the Dedicated Highway and Bridge Trust Fund, established in 1993. The Trust Fund derives its revenues from highway user fees, portions of the petroleum business tax, the motor fuel tax and motor vehicle registration fees. These funds are used both on a pay-as-you-go basis and to pay debt service on bonds issued by the Thruway Authority to finance portions of the State and local highway programs.

The Engineering Services Fund supports the Department's engineering, planning and construction inspection activities. The Fund derives its revenues primarily from Federal aid and Dedicated Fund resources, in accordance with the funding source of individual projects.

The Department of Transportation's State and local highway capital program is the recipient of approximately \$1.4 billion annually in Federal Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21) funding, distributed by Federal formulas and used only for federally approved projects primarily approved by local Metropolitan Planning Organizations.

Local highway and bridge capital programs include the Consolidated Highway Improvement Program (CHIPS) and the Municipal Streets and Highways Program ("Marchiselli" Program). These programs are funded by bonds issued by the Thruway Authority with debt service paid from the State's Dedicated Highway and Bridge Trust Fund. The CHIPS capital program will be funded at \$217.9 million, and the Marchiselli program will provide \$39.7 million in 2000-01; these levels represent a continuation of the 1999-2000 level, commensurate with the State highway and bridge program. CHIPS operating aid totals \$23.9 million, a \$34.9 million reduction from 1999-2000 levels. The reduction reflects elimination of CHIPS operating aid to counties and New York City. A new \$10 million appropriation for rail freight and passenger projects will fund the first year of an \$80 million five-year rail program that will expand shipping opportunities for New York businesses, reduce costs for consumers and improve passenger transportation. This new commitment builds on the State's current rail initiatives: an \$85 million freight program and a \$185 million passenger program. In addition, \$25 million will be provided for the first year of a \$125 million Industrial Access Program to promote job creation and retention by encouraging business expansion with highway, rail and port projects.

The Aid to Localities budget is comprised primarily of appropriations supported by State taxes dedicated to public transportation through the Mass Transportation Operating Assistance (MTOA) Fund and the Dedicated Mass Transportation Trust Fund. Mass Transportation Operating Assistance Fund revenues are derived from a 1/4 percent sales tax and a business tax surcharge levied in the New York City metropolitan region, as well as a portion of statewide taxes on transmission and transportation companies and petroleum-related businesses, which also fund the Dedicated Mass Transportation Trust Fund through a supplemental tax. State operating assistance to transit systems will total over \$1.5 billion, a decrease of \$97 million, reflecting a return to normal levels of aid after a release of balances from the MTOA Fund in 1999-2000.

Over \$1.3 billion in State operating aid is recommended for the Metropolitan Transportation Authority (MTA) in 2000-01. This includes \$324.6 million from the Dedicated Mass Transportation Trust Fund in support of the MTA capital program. State aid supports over one-fifth of the Authority's annual operating budget. The assistance includes \$45 million in General Fund support for the MTA as the State's contribution to reduced fares for New York City school children. The City will match this contribution.

Transit operators other than the MTA will receive a total of \$208.9 million in State operating assistance in 2000-01, a decrease of \$16.5 million from 1999-2000. Of this amount, \$71.5 million is targeted for upstate transit systems. Capital funding of \$27.7 million is recommended for transit systems other than the MTA from the Dedicated Mass

Transportation Trust Fund as the first year of a \$146 million five-year capital plan. This capital program funds a variety of transit-related needs, primarily bus purchases and a portion of the required match to Federal transit capital aid.

### **PROGRAM HIGHLIGHTS**

#### **HIGHWAYS AND BRIDGES**

Improving the State's vital transportation infrastructure remains the agency's highest priority. By the end of 1999-2000, the Department will have successfully completed the 1995-2000 Capital Program, delivering significant improvements in our highway infrastructure. Over 900 State bridges will have been replaced or rehabilitated and 30,000 preventive bridge treatments will have been completed to slow deterioration. Approximately 43,900 lane miles of state highway will have been treated. These accomplishments, coupled with new materials technology, have resulted in markedly better conditions. The new 2000-2005 program will continue our level of investment, emphasizing strategic investments to critical infrastructure needs. Preventive maintenance performed by State forces and private sector contractors will continue to be an area of significant concentration. Appropriations for the preventive maintenance program will total \$387.4 million in 2000-01.

State staff and private-sector consultants perform the planning, property acquisition, design engineering, environmental reviews, surveying, materials and soils testing, and construction inspection associated with the Department's capital program. Construction of virtually all highway and bridge projects is performed by private firms.

The State makes a significant investment in helping localities maintain safe roads and bridges through its CHIPS and Marchiselli programs. These programs primarily fund construction projects, with the majority performed by private firms.

Through its safety inspections of school and charter buses and its regulation of commercial transport, the Department also focuses its resources on passenger safety and environmental issues. In 2000-01, the Department will continue implementing the Governor's initiative to inspect heavy duty trucks and buses for emissions that can damage air quality.

#### **PUBLIC TRANSPORTATION**

The Department provides oversight and funding for more than 70 locally operated public transportation systems, including the Metropolitan Transportation Authority, the four upstate regional transportation authorities and other (usually county-sponsored) transit systems. These systems provide bus, subway, light rail and commuter rail services, as well as "paratransit" services designed to meet the needs of disabled people, as required by the Federal Americans with Disabilities Act.

State financial assistance to transit systems is supported by the Mass Transportation Operating Assistance Fund and the Dedicated Mass Transportation Trust Fund as well as the General Fund. In addition, State law authorizes the imposition of an additional mortgage recording tax in regions covered by the Metropolitan Transportation Authority and the four upstate transit authorities. These moneys are collected by the affected counties and transmitted directly to the transit systems.

# TRANSPORTATION

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations	\$214,333,000	\$212,638,000	-\$1,695,000	\$30,057,000
Aid To Localities	1,704,716,725	1,559,070,000	-145,646,725	219,943,000
Capital Projects	3,449,947,000	3,481,620,000	+ 31,673,000	8,509,954,000
Total	\$5,368,996,725	\$5,253,328,000	-\$115,668,725	\$8,759,954,000

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Design and Construction					
Capital Projects Funds - Other	4,515	....	4,497	4,497	-18
New York Metropolitan Transportation Council					
Special Revenue Funds - Other	68	68	....	68	....
Operations					
General Fund	3,430	3,430	....	3,430	....
Special Revenue Funds - Other	31	31	....	31	....
Internal Service Funds	44	44	....	44	....
Passenger and Freight Transportation					
General Fund	95	95	....	95	....
Special Revenue Funds - Federal	69	69	....	69	....
Special Revenue Funds - Other	152	152	....	152	....
Planning and Program Management					
Capital Projects Funds - Other	636	....	636	636	....
Preventive Maintenance					
Capital Projects Funds - Other	1,429	1,429	....	1,429	....
Real Estate					
Capital Projects Funds - Other	241	....	241	241	....
Total	10,710	5,318	5,374	10,692	-18

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$169,928,000	\$159,262,000	-\$10,666,000
Special Revenue Funds - Federal	6,332,000	7,064,000	+ 732,000
Special Revenue Funds - Other	33,515,000	41,709,000	+ 8,194,000
Internal Service Funds	4,558,000	4,603,000	+ 45,000
Total	\$214,333,000	\$212,638,000	-\$1,695,000

# TRANSPORTATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Clean Air			
Special Revenue Funds - Other . . . . .	\$998,000	\$587,000	-\$411,000
Operations			
General Fund . . . . .	166,187,000	155,512,000	-10,675,000
Special Revenue Funds - Other . . . . .	10,711,000	19,053,000	+ 8,342,000
Internal Service Funds . . . . .	4,558,000	4,603,000	+ 45,000
Passenger and Freight Transportation			
General Fund . . . . .	3,741,000	3,750,000	+ 9,000
Special Revenue Funds - Federal . . . . .	6,332,000	7,064,000	+ 732,000
Special Revenue Funds - Other . . . . .	21,806,000	22,069,000	+ 263,000
<b>Total . . . . .</b>	<b>\$214,333,000</b>	<b>\$212,638,000</b>	<b>-\$1,695,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Operations . . . . .	\$124,910,000	+ \$759,000	\$109,149,000	+ \$759,000	\$15,761,000	. . . .
Passenger and Freight Transportation . . .	3,750,000	+ 9,000	3,750,000	+ 9,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$128,660,000</b>	<b>+ \$768,000</b>	<b>\$112,899,000</b>	<b>+ \$768,000</b>	<b>\$15,761,000</b>	<b>. . . .</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Operations . . . . .	\$30,602,000	-\$11,434,000	\$30,602,000	-\$11,434,000
<b>Total . . . . .</b>	<b>\$30,602,000</b>	<b>-\$11,434,000</b>	<b>\$30,602,000</b>	<b>-\$11,434,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Clean Air . . . . .	\$587,000	-\$411,000	\$317,000	+ \$83,000
Operations . . . . .	23,656,000	+ 8,387,000	1,911,000	+ 71,000
Passenger and Freight Transportation . . . . .	29,133,000	+ 995,000	10,450,000	+ 274,000
<b>Total . . . . .</b>	<b>\$53,376,000</b>	<b>+ \$8,971,000</b>	<b>\$12,678,000</b>	<b>+ \$428,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Clean Air . . . . .	\$270,000	-\$494,000	. . . .	. . . .
Operations . . . . .	2,831,000	+ 31,000	\$18,914,000	+ \$8,285,000
Passenger and Freight Transportation . . . . .	15,690,000	+ 407,000	2,993,000	+ 314,000
<b>Total . . . . .</b>	<b>\$18,791,000</b>	<b>-\$56,000</b>	<b>\$21,907,000</b>	<b>+ \$8,599,000</b>

# TRANSPORTATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$172,390,725	\$130,724,000	-\$41,666,725
Special Revenue Funds - Federal . . . . .	26,003,000	27,568,000	+ 1,565,000
Special Revenue Funds - Other . . . . .	1,506,323,000	1,400,778,000	-105,545,000
Total . . . . .	<u>\$1,704,716,725</u>	<u>\$1,559,070,000</u>	<u>-\$145,646,725</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Consolidated Local Highway Assistance Program			
General Fund . . . . .	\$58,797,000	\$23,888,000	-\$34,909,000
Dedicated Mass Transportation Trust Program			
Special Revenue Funds - Other . . . . .	252,700,000	324,646,000	+ 71,946,000
Federal Highway Administration Local Planning			
Special Revenue Funds - Federal . . . . .	7,106,000	7,106,000	. . . .
Urban Mass Transportation Administration Local Planning			
Special Revenue Funds - Federal . . . . .	2,717,000	2,717,000	. . . .
Mass Transportation Assistance			
General Fund . . . . .	45,000,000	45,000,000	. . . .
Mass Transportation Special Assistance Program			
General Fund . . . . .	3,000,000	3,000,000	. . . .
Inter City Rail Passenger Service			
General Fund . . . . .	4,126,300	820,000	-3,306,300
Passenger and Freight Transportation			
General Fund . . . . .	58,016,000	58,016,000	. . . .
Special Revenue Funds - Federal . . . . .	16,180,000	17,745,000	+ 1,565,000
Special Revenue Funds - Other . . . . .	1,037,108,000	866,736,000	-170,372,000
Section 18-B Program			
Special Revenue Funds - Other . . . . .	165,989,000	165,989,000	. . . .
Special Transit Aid			
Special Revenue Funds - Other . . . . .	50,526,000	43,407,000	-7,119,000
Community Projects			
General Fund . . . . .	3,451,425	. . . .	-3,451,425
Total . . . . .	<u>\$1,704,716,725</u>	<u>\$1,559,070,000</u>	<u>-\$145,646,725</u>

# TRANSPORTATION

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
<b>Aviation</b>				
Airport or Aviation Program				
Capital Projects Fund - Aviation (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	\$6,411,000
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	1,604,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund . . . . .	\$6,000,000	\$6,000,000	. . . . .	23,454,000
Passenger Facility Charge Fund . . . . .	1,500,000	. . . . .	-\$1,500,000	4,150,000
Regional Aviation Fund . . . . .	35,000,000	. . . . .	-35,000,000	35,000,000
Federal Airport or Aviation				
Federal Capital Projects Fund . . . . .	. . . . .	10,000,000	+ 10,000,000	12,957,000
Special Rail and Aviation Program				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	326,000
Transportation Capital Facilities Bond Fund--Aviation				
Transportation Capital Facilities Bond Fund - Aviation . . . . .	. . . . .	. . . . .	. . . . .	11,626,000
<b>Canals and Waterways</b>				
Canals and Waterways - Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	485,000
<b>Economic Development</b>				
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund . . . . .	10,000,000	25,000,000	+ 15,000,000	10,000,000
<b>Highway Facilities</b>				
Accelerated Capacity and Transportation Improvements Fund				
Accel Capacity and Transport Improvemts Fund . . . . .	. . . . .	. . . . .	. . . . .	87,492,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	3,500,000
Engineering Services				
Engineering Services Fund . . . . .	559,388,000	558,704,000	-684,000	987,997,000
NY Metro Transportation Council Account . . . . .	8,031,000	8,210,000	+ 179,000	18,664,000
Federal Aid Highways - Bondable Purpose				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	9,764,000
Federal Aid Highways - Federal Purpose				
Federal Capital Projects Fund . . . . .	1,350,000,000	1,400,000,000	+ 50,000,000	4,018,279,000
Federal Aid Highways State				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Highway Facilities				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	45,266,000
Suburban Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	74,009,000
Infrastructure Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	7,747,000
Lake Champlain Bridges Program				
Lake Champlain Bridge Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Municipal Highway - Railroad Crossing Alterations				
Capital Projects Fund - Advances . . . . .	. . . . .	. . . . .	. . . . .	331,000
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	1,568,000
New York State Agency Fund				
Fiduciary funds - Misc Combined Expendible Trust Fund . . . . .	50,000,000	50,000,000	. . . . .	50,000,000
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund . . . . .	1,358,150,000	1,341,138,000	-17,012,000	2,649,275,000
Other Highway Aid				
Community Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	5,074,000
Other Transportation Aid				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	423,000
Priority Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	13,636,000
Road and Bridge Improvements - Bondable				
Capital Projects Fund - A.C. and T.I. Fund (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	83,672,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	3,700,000
Special Parkway Rehabilitation Program				
Special Parkway Rehabilitation Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
State Parkways				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Transportation Infrastructure Renewal Bond Fund				
Transportation Infrastructure Renewal Bond Fund . . . . .	. . . . .	. . . . .	. . . . .	51,278,000
<b>Maintenance Facilities</b>				
Maintenance Facilities				
Dedicated Highway and Bridge Trust Fund . . . . .	26,250,000	30,000,000	+ 3,750,000	61,717,000

# TRANSPORTATION

Comprehensive Construction Program	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01
Mass Transportation and Rail Freight				
Marine Projects				
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	954,000
Mass Transportation				
Dedicated Mass Transportation Fund . . . . .	14,628,000	15,568,000	+ 940,000	68,290,000
Mass Transportation and Rail Freight				
Capital Projects Fund - Advances . . . . .	.....	.....	.....	.....
Capital Projects Fund - Energy Conservation (Bondable) . . . . .	.....	.....	.....	2,136,000
Capital Projects Fund - Rail Preservation (Bondable) . . . . .	.....	.....	.....	.....
Dedicated Highway and Bridge Trust Fund . . . . .	13,000,000	10,000,000	-3,000,000	15,050,000
Dedicated Mass Transportation Fund . . . . .	18,000,000	27,000,000	+ 9,000,000	34,989,000
Federal Capital Projects Fund . . . . .	.....	.....	.....	25,618,000
Mass Transportation and Rail Freight Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	.....	.....	.....	10,099,000
Rail Freight				
Capital Projects Fund - Advances . . . . .	.....	.....	.....	25,495,000
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	.....	.....	.....	6,290,000
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	5,582,000
Rail Preservation and Development Fund				
Energy Conservation Through Improved Transportation Bond Fund . . . . .	.....	.....	.....	2,151,000
Rail Preservation Development Bond Fund . . . . .	.....	.....	.....	.....
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	5,000,000
Special Rail and Aviation Program				
Dedicated Mass Transportation Fund . . . . .	.....	.....	.....	28,768,000
Transportation Capital Facilities Bond Fund--Mass Transportation				
Transportation Capital Facilities Bond Fund - Mass Transportation . . . . .	.....	.....	.....	1,000
Port Development				
Port Development Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	.....	.....	.....	126,000
Total . . . . .	<u>\$3,449,947,000</u>	<u>\$3,481,620,000</u>	<u>+ \$31,673,000</u>	<u>\$8,509,954,000</u>

***GENERAL  
GOVERNMENT***





# ***DIVISION OF ALCOHOLIC BEVERAGE CONTROL***

## ***MISSION***

The Division of Alcoholic Beverage Control (ABC) regulates and controls the manufacture, sale and distribution of alcoholic beverages within the State. The Division issues and renews licenses and permits to manufacturers, distributors, wholesalers and retailers; works with local law enforcement agencies to ensure compliance with the ABC Law; regulates trade and credit practices for the sale and distribution of alcoholic beverages by such actions as registering brand labels and controlling wholesale and retail prices; and certifies alcohol awareness training programs.

## ***ORGANIZATION AND STAFFING***

The Division maintains offices in New York City, Albany, Syracuse and Buffalo. The Division will have a workforce of 208 positions for 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 2000-01, a total of \$13.3 million in special revenue funding will support the Division.

## ***PROGRAM HIGHLIGHTS***

Staff assigned to the Licensing Program are responsible for the timely processing of the permits and licenses required by the Alcoholic Beverage Control Law. The Division has installed modern computer and imaging systems to re-engineer and automate the licensing process. These improvements have reduced processing time, contained operating costs and accelerated revenue collections.

In cooperation with local law enforcement agencies, staff of the Compliance Program ensure that regulated parties comply with the Law. The Division investigates and holds administrative hearings on complaints against permit and license holders. Penalties, ranging from warnings to license suspension and revocation, are imposed for violations.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$13,702,400	\$13,332,900	-\$369,500	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$13,702,400</u>	<u>\$13,332,900</u>	<u>-\$369,500</u>	<u>....</u>

# ALCOHOLIC BEVERAGE CONTROL

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
Special Revenue Funds - Other	27	27	....	27	....
Compliance					
Special Revenue Funds - Other	88	85	....	85	-3
Licensing and Wholesaler Services					
Special Revenue Funds - Other	101	96	....	96	-5
<b>Total</b>	<b>216</b>	<b>208</b>	<b>....</b>	<b>208</b>	<b>-8</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other	\$13,702,400	\$13,332,900	-\$369,500
<b>Total</b>	<b>\$13,702,400</b>	<b>\$13,332,900</b>	<b>-\$369,500</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
Special Revenue Funds - Other	\$3,082,100	\$3,306,700	+\$224,600
Compliance			
Special Revenue Funds - Other	5,473,100	5,192,100	-281,000
Licensing and Wholesaler Services			
Special Revenue Funds - Other	5,147,200	4,834,100	-313,100
<b>Total</b>	<b>\$13,702,400</b>	<b>\$13,332,900</b>	<b>-\$369,500</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	\$3,306,700	+\$224,600	\$1,322,900	+\$86,800
Compliance	5,192,100	-281,000	3,443,100	-207,500
Licensing and Wholesaler Services				
Services	4,834,100	-313,100	3,260,600	-227,700
<b>Total</b>	<b>\$13,332,900</b>	<b>-\$369,500</b>	<b>\$8,026,600</b>	<b>-\$348,400</b>

Program	Nonpersonal Service	
	Amount	Change
Administration	\$1,983,800	+\$137,800
Compliance	1,749,000	-73,500
Licensing and Wholesaler Services		
Services	1,573,500	-85,400
<b>Total</b>	<b>\$5,306,300</b>	<b>-\$21,100</b>

# **DEPARTMENT OF AUDIT AND CONTROL**

## **MISSION**

The Department of Audit and Control was created in 1926 and is headed by the State Comptroller, who is elected by the people. The Department is responsible for paying the State's bills and payrolls; verifying all financial transactions of the State; reviewing the financial and management practices of State agencies; supervising the fiscal affairs of local governments; investing State funds and issuing bonds and notes; and administering the retirement program for State and most local government employees.

## **ORGANIZATION AND STAFFING**

The Department of Audit and Control is organized into 10 programs, with its main office in Albany and regional offices in New York City, Buffalo, Rochester, Syracuse, Binghamton, Glens Falls and Hauppauge. These regional offices function primarily as decentralized audit centers, providing financial review of the accounting of revenues collected and expenses incurred by counties, cities, towns and villages, school and fire districts, and quasi-governmental entities. The Department will have a workforce of 2,219 positions for 2000-01.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The operating expenses of the Department are funded primarily with State tax dollars from the General Fund and with revenues from the Employee Retirement Systems. The Executive Budget recommends \$160.4 million for the Department's State Operations budget, including \$100.2 million, or 63 percent, in General Fund support. This portion of the Department's budget includes additional funding of \$1 million for the operation of the payroll system, \$5.8 million mainly for auditing costs of unclaimed funds activities that were previously supported with revenues of the program, and \$1.5 million for real estate leases and for the start-up expenses of the Department's new headquarters building in Albany.

Another 33 percent of the Department's State Operations budget will be supported in 2000-01 with the recommended \$53.6 million in funding from the Retirement Systems. The remaining 4 percent of this budget will be funded with:

- \$4.0 million in payments made by the City of New York and certain businesses, which support the Department's costs associated with overseeing City finances and with administering an account related to oil spill cleanups; and
- \$1.3 million in charges to the Retirement Systems for the Department's staff and other costs related to administering an internal auditing program.
- \$1.3 million from increased investment earnings, which will finance checking and direct deposit costs of State government.

The General Municipal Law provides special accidental death benefits for the survivors of police and paid firefighters who have died from accidents sustained in the performance of duty. The Executive Budget recommendation includes \$20 million to fund the State's share of these benefits, an increase of \$1.3 million over 1999-2000.

## **PROGRAM HIGHLIGHTS**

- The Executive Direction, Legal Services, and Administrative and Data Processing Services programs are responsible for the public information, internal audit, fiscal research, data processing, financial administration, legal, office services, management analysis and human resource functions of the Department.

## AUDIT AND CONTROL

- The Payroll and Revenue Services program conducts pre-audits of the State payroll and manages two statewide revenue programs. Staff assigned to this program administer the Abandoned Property Law, which requires the timely transfer of abandoned property to the State from holders of the property, notification of the legal owners of the property and payment of all valid claims. Program staff also process revenues generated by the local courts and by the sale of licenses for bingo and games of chance. These revenues are deposited in the Justice Court Fund and are subsequently distributed to the State and localities to which the funds are owed.
- The Management Audit and State Financial Services program audits all State agency, State public authority and New York City government programs to evaluate their effectiveness and efficiency. Staff assigned to this program also conduct a pre-audit of all non-payroll State expenditures. In this capacity, the Department acts as the State's bookkeeper, recording all collected revenues in the appropriate accounts, and posting all payments. The Higher Education Services Corporation and the departments of Labor and Civil Service fund on-site auditors who monitor selected activities of those agencies.
- The Municipal Affairs program examines and standardizes fiscal reports and accounts of all governmental and quasi-governmental entities within the State, and monitors and makes recommendations on the fiscal condition of municipalities. Staff also audit school districts and boards of cooperative education, with a portion of these costs being funded by the State Education Department.
- The Office of the State Deputy Comptroller for the City of New York assists the New York State Financial Control Board in carrying out and exercising the responsibilities assigned, and powers granted, to the Board by the Financial Emergency Act for the City of New York.
- The State Retirement program administers the State Retirement Systems, consisting of the Employees' Retirement System, the Police and Fire Retirement System, and the Public Employees' Group Life Insurance Plan. Currently, there are about 2,800 participating government employers, 593,200 active and vested members and approximately 289,000 pensioners and their beneficiaries.
- The Investments and Cash Management program, in addition to overseeing the assets of the Retirement Systems, issues general obligation debt, invests short-term moneys for the State and local governments and selects financial institutions to provide banking services to the State.
- Under Chapter 845 of the Laws of 1977, the Comptroller administers the New York State Environmental Protection and Oil Spill Compensation Fund. Costs associated with cleaning up oil spills are paid from the fund upon certification of the Commissioner of Environmental Conservation. Moneys in this fund consist of receipts from a fee levied on each barrel of petroleum shipped into the State.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$151,377,200	\$160,449,500	+\$9,072,300	....
Aid To Localities .....	18,705,000	20,014,000	+1,309,000	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$170,082,200</u>	<u>\$180,463,500</u>	<u>+\$10,381,300</u>	<u>....</u>

# AUDIT AND CONTROL

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administrative and Data Processing Services Program					
General Fund .....	266	286	....	286	+20
Environmental Protection and Spill Compensation					
Special Revenue Funds - Other .....	6	6	....	6	....
Executive Direction					
General Fund .....	36	36	....	36	....
Internal Service Funds .....	15	15	....	15	....
Investments and Cash Management					
General Fund .....	11	11	....	11	....
Pension Trust Funds .....	45	45	....	45	....
Legal Services					
General Fund .....	35	35	....	35	....
Management Audit and State Financial Services					
General Fund .....	523	517	....	517	-6
Municipal Affairs					
General Fund .....	214	212	....	212	-2
Payroll and Revenue Services					
General Fund .....	281	339	....	339	+58
Office of the Special Deputy Comptroller for New York City					
Special Revenue Funds - Other .....	33	33	....	33	....
State Retirement					
Pension Trust Funds .....	636	638	....	638	+2
Subtotal, Direct Funded Programs .....	2,101	2,173	....	2,173	+72
Suballocations:					
General Fund .....	20			20	....
Internal Service Funds .....	16			16	....
Total .....	2,137			2,209	+72

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$92,339,000	\$100,243,400	+\$7,904,400
Special Revenue Funds - Other .....	4,215,000	4,019,800	-195,200
Internal Service Funds .....	2,576,000	2,568,300	-7,700
Fiduciary Funds .....	52,247,200	53,618,000	+1,370,800
Total .....	\$151,377,200	\$160,449,500	+\$9,072,300
Adjustments:			
Transfer(s) From			
Taxation and Finance, Department of			
Internal Service Funds .....	-1,310,000		
Appropriated 1999-00 .....	\$150,067,200		

# AUDIT AND CONTROL

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administrative and Data Processing Services Program			
General Fund .....	\$30,961,700	\$29,607,100	-\$1,354,600
Environmental Protection and Spill Compensation			
Special Revenue Funds - Other .....	603,000	619,100	+16,100
Executive Direction			
General Fund .....	2,778,600	2,899,000	+120,400
Internal Service Funds .....	1,266,000	1,258,300	-7,700
Investments and Cash Management			
General Fund .....	1,141,300	1,204,500	+63,200
Internal Service Funds .....	1,310,000	1,310,000	.....
Fiduciary Funds .....	4,954,200	5,085,500	+131,300
Legal Services			
General Fund .....	2,451,000	2,399,900	-51,100
Management Audit and State Financial Services			
General Fund .....	25,287,300	26,637,600	+1,350,300
Municipal Affairs			
General Fund .....	11,526,500	12,451,000	+924,500
Payroll and Revenue Services			
General Fund .....	18,192,600	25,044,300	+6,851,700
Office of the Special Deputy Comptroller for New York City			
Special Revenue Funds - Other .....	3,612,000	3,400,700	-211,300
State Retirement			
Pension Trust Funds .....	47,293,000	48,532,500	+1,239,500
<b>Total .....</b>	<b>\$151,377,200</b>	<b>\$160,449,500</b>	<b>+\$9,072,300</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administrative and Data Processing						
Services Program .....	\$12,429,800	+\$824,400	\$12,378,000	+\$824,400	\$11,600	.....
Executive Direction .....	2,205,400	+120,400	2,189,100	+120,400	16,300	.....
Investments and Cash Management .....	693,100	+63,200	693,100	+63,200	.....	.....
Legal Services .....	2,382,700	-51,100	2,370,300	-51,100	.....	.....
Management Audit and State Financial						
Services .....	24,656,000	+174,000	24,504,000	+231,700	92,300	+\$27,900
Municipal Affairs .....	11,592,000	+684,500	11,573,000	+684,500	.....	.....
Payroll and Revenue Services .....	12,749,800	+3,252,200	11,823,000	+2,524,500	424,400	+367,100
<b>Total .....</b>	<b>\$66,708,800</b>	<b>+\$5,067,600</b>	<b>\$65,530,500</b>	<b>+\$4,397,600</b>	<b>\$544,600</b>	<b>+\$395,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administrative and Data Processing		
Services Program .....	\$40,200	.....
Executive Direction .....	.....	.....
Investments and Cash Management .....	.....	.....
Legal Services .....	12,400	.....
Management Audit and State Financial		
Services .....	59,700	-\$85,600
Municipal Affairs .....	19,000	.....
Payroll and Revenue Services .....	502,400	+360,600
<b>Total .....</b>	<b>\$633,700</b>	<b>+\$275,000</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administrative and Data				
Processing Services Program . . .	\$17,177,300	-\$2,179,000	\$663,100	....
Executive Direction . . . . .	693,600	....	15,600	....
Investments and Cash Management	511,400	....	5,700	....
Legal Services . . . . .	17,200	....	5,000	....
Management Audit and State				
Financial Services . . . . .	1,981,600	+1,176,300	21,000	....
Municipal Affairs . . . . .	859,000	+240,000	33,500	....
Payroll and Revenue Services . . . . .	12,294,500	+3,599,500	68,600	+\$50,000
Total . . . . .	<u>\$33,534,600</u>	<u>+\$2,836,800</u>	<u>\$812,500</u>	<u>+\$50,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administrative and Data				
Processing Services Program . . .	\$20,600	....	\$16,434,900	-\$5,400
Executive Direction . . . . .	21,900	....	599,300	....
Investments and Cash Management	6,400	....	498,500	....
Legal Services . . . . .	2,200	....	5,000	....
Management Audit and State				
Financial Services . . . . .	240,300	....	1,708,550	+1,606,300
Municipal Affairs . . . . .	404,800	....	416,500	+240,000
Payroll and Revenue Services . . . . .	89,400	+\$65,000	12,120,750	+9,936,700
Total . . . . .	<u>\$785,600</u>	<u>+\$65,000</u>	<u>\$31,783,500</u>	<u>+\$11,777,600</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administrative and Data				
Processing Services Program . . .	\$58,700	....	....	-\$2,173,600
Executive Direction . . . . .	2,800	....	\$54,000	....
Investments and Cash Management	800	....	....	....
Legal Services . . . . .	5,000	....	....	....
Management Audit and State				
Financial Services . . . . .	11,750	....	....	-430,000
Municipal Affairs . . . . .	4,200	....	....	....
Payroll and Revenue Services . . . . .	15,750	....	....	-6,452,200
Total . . . . .	<u>\$99,000</u>	<u>....</u>	<u>\$54,000</u>	<u>-\$9,055,800</u>



# AUDIT AND CONTROL

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Environmental Protection and Spill Compensation .....	\$619,100	+\$16,100	\$303,900	+\$9,900
Executive Direction .....	1,258,300	-7,700	889,100	-11,900
Investments and Cash Management Office of the Special Deputy Comptroller for New York City .	6,395,500	+131,300	2,858,100	+31,300
State Retirement .....	3,400,700	-211,300	2,411,700	-178,300
	48,532,500	+1,239,500	25,081,600	+1,183,500
<b>Total .....</b>	<b>\$60,206,100</b>	<b>+\$1,167,900</b>	<b>\$31,544,400</b>	<b>+\$1,034,500</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Environmental Protection and Spill Compensation .....	\$315,200	+\$6,200	....	....
Executive Direction .....	369,200	+4,200	....	....
Investments and Cash Management Office of the Special Deputy Comptroller for New York City .	3,537,400	+100,000	....	....
State Retirement .....	989,000	-33,000	....	....
	23,450,900	+1,483,500	....	-\$1,427,500
<b>Total .....</b>	<b>\$28,661,700</b>	<b>+\$1,560,900</b>	<b>....</b>	<b>-\$1,427,500</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$18,705,000	\$20,014,000	+\$1,309,000
<b>Total .....</b>	<b>\$18,705,000</b>	<b>\$20,014,000</b>	<b>+\$1,309,000</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Management Audit and State Financial Services General Fund .....	\$18,705,000	\$20,014,000	+\$1,309,000
<b>Total .....</b>	<b>\$18,705,000</b>	<b>\$20,014,000</b>	<b>+\$1,309,000</b>

# ***BANKING DEPARTMENT***

## ***MISSION***

The Banking Department is charged with protecting the public interest and promoting a desirable business climate by regulating and supervising approximately 4,000 State-chartered banking institutions with total assets of approximately \$1.8 trillion. In carrying out this responsibility, the Department approves acquisitions, branch expansions, mergers and other forms of consolidation. It also levies fines, orders cessation of unsound financial practices and replaces management as needed. In addition, the Department is authorized to take possession of failing institutions and to operate or liquidate them for the benefit of depositors and creditors. In exercising this oversight function, the Banking Department maintains the highest standards to assure the continued safety and soundness of, and the full public confidence in, the institutions supervised. By dealing decisively with institutions that are not in compliance with banking laws and regulations, or cases of malfeasance, the Department promotes a desirable business climate for all financial institutions operating in New York State.

## ***ORGANIZATION AND STAFFING***

The Superintendent of Banks, appointed by the Governor, directs the Department. The Superintendent is also the Chair of the 17-member Banking Board, a quasi-legislative body which regulates the conduct of banking in the State. Members of the Board are appointed by the Governor with the consent of the Senate. They receive travel reimbursement but are not otherwise compensated. The Department maintains offices in Albany, New York City, Syracuse, London, and Tokyo. The Banking Department will have a workforce of 619 positions for 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Banking Department is entirely supported by fees charged to regulated financial institutions and organizations. The Budget recommends \$62.4 million for the Department.

The Budget continues the Holocaust Claims Processing Office established in 1997 to assist Holocaust survivors and their heirs in their search for assets that have been withheld by banks and insurance companies.

## ***PROGRAM HIGHLIGHTS***

To ensure the safety and soundness of banking institutions, the Department monitors these institutions to identify problems and works with management to promptly solve them. This responsibility is carried out through annual on-site examinations of most State-chartered institutions, the regular review of institutional financial reports and periodic site visits.

To ensure that State-chartered banking institutions are complying with State laws and regulations and that no individuals are unfairly denied credit, Department employees conduct consumer compliance examinations and resolve consumer complaints. Other staff monitor whether institutions are helping to meet the credit needs of, and providing banking services to, local communities as required by the State Community Reinvestment Act.

Additionally, the Department's fair but firm approach to criminal banking activities protects the public and provides support to institutions that do abide by applicable laws and regulations. Lastly, the Department continues to review its internal programs, policies, and procedures in order to eliminate inefficiencies, respond to the changing environment for financial services and promote a strong and healthy financial services industry.

# BANKING

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$61,845,900	\$62,408,500	+\$562,600	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$61,845,900</b>	<b>\$62,408,500</b>	<b>+\$562,600</b>	<b>....</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
Special Revenue Funds - Other .....	64	64	....	64	....
Analysis and Compliance					
Special Revenue Funds - Other .....	38	38	....	38	....
Regulation					
Special Revenue Funds - Other .....	533	512	....	512	-21
Subtotal, Direct Funded Programs .....	635	614	....	614	-21
Suballocations:					
Special Revenue Funds - Other .....	5			5	....
<b>Total .....</b>	<b>640</b>			<b>619</b>	<b>-21</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$59,145,900	\$59,708,500	+\$562,600
Fiduciary Funds .....	2,700,000	2,700,000	....
<b>Total .....</b>	<b>\$61,845,900</b>	<b>\$62,408,500</b>	<b>+\$562,600</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
Special Revenue Funds - Other .....	\$5,116,400	\$5,288,200	+\$171,800
Fiduciary Funds .....	2,700,000	2,700,000	....
Analysis and Compliance			
Special Revenue Funds - Other .....	2,875,000	3,051,900	+176,900
Regulation			
Special Revenue Funds - Other .....	51,154,500	51,368,400	+213,900
<b>Total .....</b>	<b>\$61,845,900</b>	<b>\$62,408,500</b>	<b>+\$562,600</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Personal Service	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$7,988,200	+\$171,800	\$3,548,800	+\$115,900
Analysis and Compliance .....	3,051,900	+176,900	2,128,700	+121,500
Regulation .....	51,368,400	+213,900	31,773,900	-21,800
Total .....	<u>\$62,408,500</u>	<u>+\$562,600</u>	<u>\$37,451,400</u>	<u>+\$215,600</u>

<u>Program</u>	Nonpersonal Service		Maintenance Undistributed	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$4,439,400	+\$55,900	....	....
Analysis and Compliance .....	923,200	+55,400	....	....
Regulation .....	18,616,100	+235,700	\$978,400	....
Total .....	<u>\$23,978,700</u>	<u>+\$347,000</u>	<u>\$978,400</u>	<u>....</u>



# DIVISION OF THE BUDGET

## MISSION

The Governor is responsible under the State Constitution for the preparation and execution of the State's expenditure and revenue plans. The Division of the Budget prepares a proposed budget under the Governor's direction and executes the budget as adopted by the Legislature. The Division also serves as the Governor's primary advisor on such fiscal matters as local government and public authority finances. In carrying out these responsibilities, the Budget Division assisted the Governor in eliminating a 1995-96 deficit of \$5 billion, implementing historic tax reductions and ending each year since 1994-95 with budget surpluses.

## ORGANIZATION AND STAFFING

Headed by the Director of the Budget, the Division is located in Albany. The Division will have a workforce of 360 positions for 2000-2001.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The recommended General Fund appropriation for 2000-2001 of \$30.4 million will fund the Budget Division's basic operations, including completing the transition to a LAN-based budget system.

## PROGRAM HIGHLIGHTS

The Division's activities include:

- Establishing budget policy and agency direction;
- Providing fiscal policy advice in revenue and expenditure forecasting, budget process management and intergovernmental relations; and
- Coordinating the development and execution of State agency programs and budgets.

<b>ALL FUNDS APPROPRIATIONS</b>				
<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$37,322,900	\$40,035,000	+\$2,712,100	.....
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$37,322,900</u>	<u>\$40,035,000</u>	<u>+\$2,712,100</u>	<u>.....</u>

# BUDGET

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Budget Division					
General Fund	350	350	....	350	....
Special Revenue Funds - Other	10	....	10	10	....
<b>Total</b>	<b>360</b>	<b>350</b>	<b>10</b>	<b>360</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$29,672,900	\$30,385,000	+\$712,100
Special Revenue Funds - Other	6,200,000	8,200,000	+2,000,000
Internal Service Funds	1,300,000	1,300,000	....
Fiduciary Funds	150,000	150,000	....
<b>Total</b>	<b>\$37,322,900</b>	<b>\$40,035,000</b>	<b>+\$2,712,100</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Budget Division			
General Fund	\$29,631,900	\$30,385,000	+\$753,100
Special Revenue Funds - Other	6,200,000	8,200,000	+2,000,000
Internal Service Funds	1,300,000	1,300,000	....
Fiduciary Funds	150,000	150,000	....
Legislative Initiatives			
General Fund	41,000	....	-41,000
<b>Total</b>	<b>\$37,322,900</b>	<b>\$40,035,000</b>	<b>+\$2,712,100</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Budget Division	\$20,171,800	+\$885,200	\$19,821,200	+\$869,800	\$183,200	+\$8,100
Legislative Initiatives	....	....	....	....	....	....
<b>Total</b>	<b>\$20,171,800</b>	<b>+\$885,200</b>	<b>\$19,821,200</b>	<b>+\$869,800</b>	<b>\$183,200</b>	<b>+\$8,100</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Budget Division	\$167,400	+\$7,300
Legislative Initiatives	....	....
<b>Total</b>	<b>\$167,400</b>	<b>+\$7,300</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division .....	\$10,213,200	-\$132,100	\$148,000	+\$6,500
Legislative Initiatives .....	.....	-41,000	.....	.....
<b>Total .....</b>	<b>\$10,213,200</b>	<b>-\$173,100</b>	<b>\$148,000</b>	<b>+\$6,500</b>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division .....	\$194,000	+\$8,500	\$2,725,700	+\$118,900
Legislative Initiatives .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$194,000</b>	<b>+\$8,500</b>	<b>\$2,725,700</b>	<b>+\$118,900</b>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division .....	\$24,200	+\$1,000	\$7,121,300	-\$267,000
Legislative Initiatives .....	.....	.....	.....	-41,000
<b>Total .....</b>	<b>\$24,200</b>	<b>+\$1,000</b>	<b>\$7,121,300</b>	<b>-\$308,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division .....	\$9,650,000	+\$2,000,000	\$9,650,000	+\$2,000,000
<b>Total .....</b>	<b>\$9,650,000</b>	<b>+\$2,000,000</b>	<b>\$9,650,000</b>	<b>+\$2,000,000</b>



***BUDGET***

---

# ***DEPARTMENT OF CIVIL SERVICE***

## ***MISSION***

In accordance with the Civil Service Law, the Department of Civil Service is charged with providing human resource management services to State and local governments.

## ***ORGANIZATION AND STAFFING***

Under the direction of a Commissioner nominated by the Governor, the Department is based in Albany. The Civil Service Commission, consisting of the Commissioner, who serves as its President, and two Commissioners appointed by the Governor, is an appellant body responsible for reviewing the Department's classification and staffing decisions. The Department will have a workforce of 657 positions for 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Department is funded in part with tax dollars from the General Fund that support 42 percent of the agency's operations. The remaining 58 percent of its operations are funded with payments from other agencies and governmental entities, most of which are made by employers participating in the New York State Health Insurance Program who pay premiums to offset the Department's cost of administering the program. Similarly, the Department is reimbursed for testing and other services provided to such State agencies as the Banking Department, whose operations are funded by special industry assessments.

The Executive Budget recommends funding of \$68.9 million for the Department, which includes \$28.6 million in General Fund support and \$40.3 million in payments from other State agencies and public entities. This recommendation provides additional funding to refine the New York State Electronic Personnel System (NYSTEP) in 2000-01. The Executive Budget also includes funding for the NEXTSTEP project, which will automate several routine personnel management functions for those agencies that elect to participate in the project.

## ***PROGRAM HIGHLIGHTS***

The Department of Civil Service has expanded its use of technology to provide improved services to State and local agencies. The Department's NYSTEP system automates the payroll certification process and other selected personnel management functions. During 2000-01, the system will continue to be refined to improve the usefulness of NYSTEP to State agencies. Other technological improvements include enhancing the Accident Reporting System by creating a case tracking and reporting capability of on-the-job injuries and illnesses. Full implementation of the ONECARD Rx Program, which automates the filling of drug prescriptions, will also occur in 2000-01.

The Department continues to make substantial progress in meeting many of the Governor's Civil Service Reform agenda's objectives, including a nearly 75 percent reduction in the number of long-term provisional employees from 3,501 to 967, the administration of statewide "battery" promotional examinations that were taken by more than 12,000 State employees in 1998 and a reduction in the number of position titles from 5,900 to approximately 4,500. The Department has also maintained the goal of reporting the results of certain written examinations within an average of 60 days.

## **CIVIL SERVICE**

---

- The responsibilities of the Department are carried out through six divisions:
- The Division of Information Resource Management provides the Department's basic data, information and systems. During 2000-01, the Division will continue to refine several automation projects, including the NYSTEP and ARS systems.
  - The Staffing Services Division provides State agencies with personnel selection and placement services. The Division coordinates the Department's response to agency personnel operations and develops and administers a variety of tests for State positions, including oral, performance, training and experience and performance assessment tests.
  - The Testing Services Division develops, administers and validates all State and local written tests.
  - The Division of Classification and Compensation determines appropriate job titles for agency functions and salary levels for existing and new positions.
  - The Division of Personnel Services encompasses the Employee Benefits Division and the Employee Health Service program. The Employee Benefits Division administers health, dental, life, vision, disability and accident insurance programs for State employees and participating local governments. Responsibilities include contracting with insurance companies and other vendors to deliver services, financial management of these programs, communicating plan provisions to enrollees, assisting enrollees to resolve disputed claims and maintaining enrollment information and accounting for nearly \$2.3 billion in annual premiums.
  - The Municipal Service Division assists 105 local civil service agencies in classifying positions, interpreting laws and rules and, together with the Testing Division, providing selection devices and examinations.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$54,032,200	\$68,899,500	+\$14,867,300	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$54,032,200</u>	<u>\$68,899,500</u>	<u>+\$14,867,300</u>	<u>....</u>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

2000-01 Recommended Average Fill Level

<u>Program</u>	<u>Available 1999-00</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 2000-01</u>	<u>Change</u>
Administration and Information Management					
General Fund	109	94	15	109	....
Internal Service Funds	23	23	....	23	....
Local Civil Service					
General Fund	17	17	....	17	....
Personnel Benefit Services					
General Fund	39	39	....	39	....
Internal Service Funds	183	177	6	183	....
Personnel Management Services					
General Fund	252	228	....	228	-24
Internal Service Funds	21	....	37	37	+16
Subtotal, Direct Funded Programs	644	578	58	636	-8
Suballocations:					
General Fund	21			21	....
Total	665			657	-8

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund	\$28,404,200	\$28,622,100	+\$217,900
Special Revenue Funds - Other	1,000,000	1,500,000	+500,000
Internal Service Funds	24,193,000	38,477,400	+14,284,400
Fiduciary Funds	435,000	300,000	-135,000
Total	\$54,032,200	\$68,899,500	+\$14,867,300

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration and Information Management			
General Fund	\$10,648,900	\$12,074,000	+\$1,425,100
Internal Service Funds	2,145,000	11,381,400	+9,236,400
Local Civil Service			
General Fund	917,100	926,500	+9,400
Personnel Benefit Services			
General Fund	1,971,400	1,972,700	+1,300
Special Revenue Funds - Other	500,000	500,000	....
Internal Service Funds	19,563,000	20,496,000	+933,000
Fiduciary Funds	435,000	300,000	-135,000
Personnel Management Services			
General Fund	14,866,800	13,648,900	-1,217,900
Special Revenue Funds - Other	500,000	1,000,000	+500,000
Internal Service Funds	2,485,000	6,600,000	+4,115,000
Total	\$54,032,200	\$68,899,500	+\$14,867,300

# CIVIL SERVICE

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration and Information						
Management .....	\$4,940,200	+\$280,900	\$4,937,400	+\$280,900	.....	.....
Local Civil Service .....	890,400	+9,400	889,700	+9,400	.....	.....
Personnel Benefit Services .....	1,882,500	+1,300	1,852,700	+1,300	\$28,300	.....
Personnel Management Services .....	11,689,600	-1,217,900	10,854,400	-1,217,900	819,400	.....
Total .....	<u>\$19,402,700</u>	<u>-\$926,300</u>	<u>\$18,534,200</u>	<u>-\$926,300</u>	<u>\$847,700</u>	<u>.....</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration and Information		
Management .....	\$2,800	.....
Local Civil Service .....	700	.....
Personnel Benefit Services .....	1,500	.....
Personnel Management Services .....	15,800	.....
Total .....	<u>\$20,800</u>	<u>.....</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration and Information				
Management .....	\$7,133,800	+\$1,144,200	\$144,500	+\$100,000
Local Civil Service .....	36,100	.....	6,400	.....
Personnel Benefit Services .....	90,200	.....	38,300	.....
Personnel Management Services ..	1,959,300	.....	108,200	.....
Total .....	<u>\$9,219,400</u>	<u>+\$1,144,200</u>	<u>\$297,400</u>	<u>+\$100,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration and Information				
Management .....	\$32,100	.....	\$5,404,900	+\$1,044,200
Local Civil Service .....	11,000	.....	18,700	.....
Personnel Benefit Services .....	9,600	.....	27,500	.....
Personnel Management Services ..	116,100	.....	1,719,000	.....
Total .....	<u>\$168,800</u>	<u>.....</u>	<u>\$7,170,100</u>	<u>+\$1,044,200</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Information				
Management .....	.....	.....	\$1,552,300	.....
Personnel Benefit Services .....	\$14,800	.....	.....	.....
Personnel Management Services ..	16,000	.....	.....	.....
Total .....	<u>\$30,800</u>	<u>.....</u>	<u>\$1,552,300</u>	<u>.....</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration and Information				
Management . . . . .	\$11,381,400	+\$9,236,400	\$1,129,700	-\$48,300
Personnel Benefit Services . . . . .	21,296,000	+798,000	7,512,000	+312,000
Personnel Management Services . .	7,600,000	+4,615,000	.....	.....
Total . . . . .	<u>\$40,277,400</u>	<u>+\$14,649,400</u>	<u>\$8,641,700</u>	<u>+\$263,700</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration and Information				
Management . . . . .	\$951,700	-\$15,300	\$9,300,000	+\$9,300,000
Personnel Benefit Services . . . . .	5,063,000	+621,000	8,721,000	-135,000
Personnel Management Services . .	.....	.....	7,600,000	+4,615,000
Total . . . . .	<u>\$6,014,700</u>	<u>+\$605,700</u>	<u>\$25,621,000</u>	<u>+\$13,780,000</u>



# CONSUMER PROTECTION BOARD

## MISSION

The Consumer Protection Board (CPB) was created to protect the rights of the State's consumers. The CPB represents consumers in utility rate cases and related proceedings; advises the Governor on consumer issues; helps draft legislation that protects consumers; and handles consumer complaints and promotes consumer education.

## ORGANIZATION AND STAFFING

The Consumer Protection Board consists of two units: Utility Intervention and Consumer Advocacy. The Utility Intervention Unit is staffed by attorneys and experts in the field of economics, engineering, finance, and accounting. The Advocacy Unit employs specialists in the field of consumer law, complaint handling, consumer education, and research. The CPB is located in Albany, with satellite offices in Rochester and New York City. For 2000-01 the Consumer Protection Board will have a workforce of 33.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Consumer Protection Board is financed primarily from an assessment on utility companies operating within the State. The Executive Budget recommends approximately \$2.8 million for the Consumer Protection Board for 2000-01 including \$400,000 in General Fund support and nearly \$2.4 million in funding provided from utilities.

## PROGRAM HIGHLIGHTS

The Consumer Advocacy Unit mediates disputes between consumers and businesses, analyzes legislation affecting consumers, investigates consumer-related issues, and conducts education programs.

The Utility Intervention Unit is responsible for representing residential and commercial customers in rate proceedings before the Public Service Commission (PSC). The Board participates in proceedings involving telephone, electric, gas and water utilities as well as generic proceedings to formulate consumer protections as the various industries work toward deregulation. The Board's participation in these proceedings offers the consumers' perspective and assists regulators in developing policies that balance the interests of all parties. Ongoing proceedings include opening local telephone service to competition, metering and other issues related to gas and electric utilities that are no longer sole service providers.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,791,400	\$2,769,300	-\$22,100	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	\$2,791,400	\$2,769,300	-\$22,100	....



# CONSUMER PROTECTION

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Consumer Protection					
General Fund	6	6	....	6	....
Utility Intervention					
Special Revenue Funds - Other	27	27	....	27	....
Total	33	33	....	33	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$412,300	\$411,300	-\$1,000
Special Revenue Funds - Other	2,379,100	2,358,000	-21,100
Total	\$2,791,400	\$2,769,300	-\$22,100
Adjustments:			
Transfer(s) From			
Consumer Protection Board, State			
General Fund	-30,200		
Transfer(s) To			
Consumer Protection Board, State			
Special Revenue Funds - Other	+30,200		
Appropriated 1999-00	\$2,791,400		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Consumer Protection			
General Fund	\$412,300	\$411,300	-\$1,000
Utility Intervention			
Special Revenue Funds - Other	2,379,100	2,358,000	-21,100
Total	\$2,791,400	\$2,769,300	-\$22,100

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Consumer Protection	\$268,400	-\$1,000	\$268,400	-\$1,000
Total	\$268,400	-\$1,000	\$268,400	-\$1,000

# CONSUMER PROTECTION

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Supplies and Materials	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Consumer Protection .....	\$142,900	....	\$13,000	....
Total .....	<u>\$142,900</u>	<u>....</u>	<u>\$13,000</u>	<u>....</u>

<u>Program</u>	Travel		Contractual Services	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Consumer Protection .....	\$24,500	....	\$97,400	....
Total .....	<u>\$24,500</u>	<u>....</u>	<u>\$97,400</u>	<u>....</u>

<u>Program</u>	Equipment	
	<u>Amount</u>	<u>Change</u>
Consumer Protection .....	\$8,000	....
Total .....	<u>\$8,000</u>	<u>....</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Personal Service	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Utility Intervention .....	\$2,358,000	-\$21,100	\$1,552,000	-\$25,600
Total .....	<u>\$2,358,000</u>	<u>-\$21,100</u>	<u>\$1,552,000</u>	<u>-\$25,600</u>

<u>Program</u>	Nonpersonal Service		Maintenance Undistributed	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Utility Intervention .....	\$796,000	+\$4,500	\$10,000	....
Total .....	<u>\$796,000</u>	<u>+\$4,500</u>	<u>\$10,000</u>	<u>....</u>



# STATE BOARD OF ELECTIONS

## MISSION

The New York State Board of Elections executes and enforces all laws relating to the elective franchise and oversees the disclosure of campaign financing and practices.

## ORGANIZATION AND STAFFING

The State Board of Elections is comprised of four commissioners, two chosen by each major political party, and is supported by a workforce of 42. The Board administers provisions of the Election Law regarding campaign financial disclosure, including civil judgments levied for failure to file disclosure documents; oversees the petitioning process and certification of ballots; investigates allegations of criminal violations of the Election Law and recommends prosecution where warranted; and certifies electronic voting machines purchased by local Boards of Elections and tests each machine upon delivery. The Board also assists County Boards of Elections by completing administrative reviews, assisting in resolving complaints, and producing reports and recommendations.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Board receives more than 99 percent of its funding from the General Fund and less than 1 percent from a fee imposed upon prospective vendors of electronic voting machines and ballot-counting devices.

The Executive Budget recommends \$3.1 million in General Fund support for the Board of Elections. This funding will permit the Board to continue to carry out its various responsibilities related to the electoral process, including the Board's voter outreach activities and its interaction with local Boards of Elections.

## PROGRAM HIGHLIGHTS

Over the past 25 years, the scope of the Board's services has grown to include providing legal counsel to 62 County Boards of Election, administering registration efforts, providing technical assistance to administrators of elections, and investigating violations of the Election Law.

A priority for the Board is expanding the use of modern technology in both its own operations and those of local Boards. In 1997, the agency began to develop an automated system for the electronic filing of campaign financial disclosure statements, which became operational in July 1999. Campaign financial statements are now readily accessible at the State Board's Internet web site, which has received more than 40,000 inquiries since July.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$3,107,000	\$3,132,100	+\$25,100	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	\$3,107,000	\$3,132,100	+\$25,100	....

# ELECTIONS

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Regulation of Elections General Fund .....	46	46	....	46	....
Total .....	46	46	....	46	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$3,087,000	\$3,112,100	+\$25,100
Special Revenue Funds - Other .....	20,000	20,000	....
Total .....	\$3,107,000	\$3,132,100	+\$25,100

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Regulation of Elections General Fund .....	\$3,087,000	\$3,112,100	+\$25,100
Special Revenue Funds - Other .....	20,000	20,000	....
Total .....	\$3,107,000	\$3,132,100	+\$25,100

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Regulation of Elections .....	\$2,297,100	+\$210,100	\$2,297,100	+\$210,100
Total .....	\$2,297,100	+\$210,100	\$2,297,100	+\$210,100

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Regulation of Elections .....	\$815,000	-\$185,000	\$815,000	+\$82,000
Total .....	\$815,000	-\$185,000	\$815,000	+\$82,000

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Maintenance Undistributed Amount</u>	<u>Change</u>
Regulation of Elections .....	\$20,000	....	\$20,000	....
Total .....	\$20,000	....	\$20,000	....



# **OFFICE OF EMPLOYEE RELATIONS**

## **MISSION**

The Office of Employee Relations (OER) serves as the Governor's agent in carrying out the State's labor relations responsibilities as an employer in accordance with the Public Employees' Fair Employment Act (the Taylor Law).

## **ORGANIZATION AND STAFFING**

Under the administration of a Director appointed by the Governor, the agency is located in Albany. OER will have a workforce of 95 positions for 2000-01, 46 of which are funded by State tax dollars from the General Fund and are involved in negotiating the collective bargaining agreements. State tax dollars also support another 49 positions involved in implementing collectively bargained programs.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends about \$6.4 million for the Office of Employee Relations, which includes \$3.8 million in General Fund moneys. This funding will provide continued support for the Office's primary mission of negotiating and administering collective bargaining agreements.

Funding from the Office's other sources include:

- \$2,171,400 in charges to the Collective Bargaining Agreements to support statewide employee training and other developmental programs and the cost of administering these agreements; and
- Revenues of \$450,000 received from non-General Fund agencies to reimburse the Office for providing training programs and collective bargaining services provided by the Office. These revenues also include payments from the National Association of State Directors of Employee Relations to support the operations of that organization.

## **PROGRAM HIGHLIGHTS**

The Office of Employee Relations represents the Governor in Executive Branch collective bargaining negotiations with nine public employee unions, assists State agencies to interpret and administer the negotiated agreements, and represents the State in hearings and arbitrations before the Public Employment Relations Board.

The Office of Employee Relations also is the Executive Branch's in-house consulting agency for advancing sound management practices and improving productivity and innovation in State government. Currently, the agency is working with more than 25 agencies on various organizational development and improvement initiatives. The Office is further charged with designing and administering statewide training programs, developing policy and providing oversight for several employee benefit programs.

In its capacity as the Governor's labor relations agent, the Office continues to be instrumental in providing direction for workforce management and, through labor management partnerships, working with the unions to mitigate the impact of structural changes aimed at improving the efficiency of State government. The Office is also making a concerted effort to provide and enhance a consistent labor relations philosophy in all departments and agencies. This is being accomplished by promoting labor-management cooperation by offering a comprehensive training program through the Employee Relations



## EMPLOYEE RELATIONS

Institute and by increasing the use of technology for better communication of common issues and concerns. A major focus during 2000-01 will be to expand the use of technology in making training programs available to the State's workforce.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$6,281,800	\$6,427,900	+\$146,100	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$6,281,800</b>	<b>\$6,427,900</b>	<b>+\$146,100</b>	<b>....</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Contract Negotiation and Administration					
General Fund .....	40	40	....	40	....
Internal Service Funds .....	49	49	....	49	....
Management Confidential Affairs					
General Fund .....	6	6	....	6	....
<b>Total .....</b>	<b>95</b>	<b>95</b>	<b>....</b>	<b>95</b>	<b>....</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$3,784,400	\$3,806,500	+\$22,100
Special Revenue Funds - Other .....	450,000	450,000	....
Internal Service Funds .....	2,047,400	2,171,400	+124,000
<b>Total .....</b>	<b>\$6,281,800</b>	<b>\$6,427,900</b>	<b>+\$146,100</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Contract Negotiation and Administration			
General Fund .....	\$2,855,400	\$2,902,600	+\$47,200
Special Revenue Funds - Other .....	450,000	450,000	....
Internal Service Funds .....	2,047,400	2,171,400	+124,000
Management Confidential Affairs			
General Fund .....	929,000	903,900	-25,100
<b>Total .....</b>	<b>\$6,281,800</b>	<b>\$6,427,900</b>	<b>+\$146,100</b>

## EMPLOYEE RELATIONS

### STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Contract Negotiation and Administration .....	\$2,650,700	+\$47,200	\$2,636,400	+\$47,200	\$11,700	....
Management Confidential Affairs .....	298,200	-25,100	297,700	-25,100	....	....
Total .....	<u>\$2,948,900</u>	<u>+\$22,100</u>	<u>\$2,934,100</u>	<u>+\$22,100</u>	<u>\$11,700</u>	<u>....</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Contract Negotiation and Administration .....	\$2,600	....
Management Confidential Affairs .....	500	....
Total .....	<u>\$3,100</u>	<u>....</u>

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Contract Negotiation and Administration .....	\$251,900	....	\$33,900	....
Management Confidential Affairs ..	605,700	....	18,300	....
Total .....	<u>\$857,600</u>	<u>....</u>	<u>\$52,200</u>	<u>....</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Contract Negotiation and Administration .....	\$30,400	....	\$187,600	....
Management Confidential Affairs ..	13,500	....	27,900	....
Total .....	<u>\$43,900</u>	<u>....</u>	<u>\$215,500</u>	<u>....</u>

Program	Maintenance Undistributed	
	Amount	Change
Management Confidential Affairs ..	\$546,000	....
Total .....	<u>\$546,000</u>	<u>....</u>

# ***EMPLOYEE RELATIONS***

---

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Personal Service Amount</u>	<u>Change</u>
Contract Negotiation and Administration .....	\$2,621,400	+\$124,000	\$1,852,700	+\$124,000
Total .....	<u>\$2,621,400</u>	<u>+\$124,000</u>	<u>\$1,852,700</u>	<u>+\$124,000</u>

<u>Program</u>	<u>Nonpersonal Service Amount</u>	<u>Change</u>	<u>Maintenance Undistributed Amount</u>	<u>Change</u>
Contract Negotiation and Administration .....	\$318,700	....	\$450,000	....
Total .....	<u>\$318,700</u>	<u>....</u>	<u>\$450,000</u>	<u>....</u>

# EXECUTIVE CHAMBER

## MISSION

The Executive Chamber is the Office of the Governor and includes the immediate staff that assists in managing State government.

## ORGANIZATION AND STAFFING

The Office of the Governor is located in the State Capitol in Albany. This budget represents programs directly related to the Governor's Office and is supported by General Fund revenues.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The 2000-2001 Executive Budget recommends a General Fund appropriation of \$15.5 million, an increase of \$500,000 from 1999-2000. This recommendation includes funding for the ongoing costs of the Moreland Act Commission. A fiduciary fund appropriation of \$100,000 is also requested to permit the use of private grants within the Office of Community Affairs.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$15,089,400	\$15,614,400	+\$525,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$15,089,400</b>	<b>\$15,614,400</b>	<b>+\$525,000</b>	<b>....</b>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	Personal Service (Regular)	2000-01 Recommended Average Fill Level		Change
			Maintenance Undistributed	Total Recommended 2000-01	
Executive Chamber General Fund .....	177	177	....	177	....
<b>Total .....</b>	<b>177</b>	<b>177</b>	<b>....</b>	<b>177</b>	<b>....</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$14,989,400	\$15,514,400	+\$525,000
Fiduciary Funds .....	100,000	100,000	....
<b>Total .....</b>	<b>\$15,089,400</b>	<b>\$15,614,400</b>	<b>+\$525,000</b>

# EXECUTIVE CHAMBER

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Executive Chamber			
General Fund .....	\$14,989,400	\$15,514,400	+\$525,000
Expendable Trust Funds .....	100,000	100,000	.....
<u>Total .....</u>	<u>\$15,089,400</u>	<u>\$15,614,400</u>	<u>+\$525,000</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>		<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Executive Chamber .....	\$9,620,400	+\$403,000	\$9,426,400	+\$394,500	\$78,000	+\$4,000
<u>Total .....</u>	<u>\$9,620,400</u>	<u>+\$403,000</u>	<u>\$9,426,400</u>	<u>+\$394,500</u>	<u>\$78,000</u>	<u>+\$4,000</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Executive Chamber .....	\$116,000	+\$4,500
<u>Total .....</u>	<u>\$116,000</u>	<u>+\$4,500</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Executive Chamber .....	\$5,894,000	+\$122,000	\$180,000	+\$7,300
<u>Total .....</u>	<u>\$5,894,000</u>	<u>+\$122,000</u>	<u>\$180,000</u>	<u>+\$7,300</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Executive Chamber .....	\$225,600	+\$8,500	\$2,268,800	+\$90,300
<u>Total .....</u>	<u>\$225,600</u>	<u>+\$8,500</u>	<u>\$2,268,800</u>	<u>+\$90,300</u>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Executive Chamber .....	\$397,100	+\$15,900	\$2,822,500	.....
<u>Total .....</u>	<u>\$397,100</u>	<u>+\$15,900</u>	<u>\$2,822,500</u>	<u>.....</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Maintenance Undistributed Amount</u>	<u>Change</u>
Executive Chamber .....	\$100,000	....	\$100,000	....
Total .....	\$100,000	....	\$100,000	....

**EXECUTIVE CHAMBER**

**LIEUTENANT GOVERNOR, OFFICE OF**

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$457,200	\$473,200	+\$16,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$457,200</u>	<u>\$473,200</u>	<u>+\$16,000</u>	<u>....</u>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	2000-01 Recommended Average Fill Level	
				Total Recommended 2000-01	Change
Office of the Lieutenant Governor General Fund .....	8	8	....	8	....
Total .....	<u>8</u>	<u>8</u>	<u>....</u>	<u>8</u>	<u>....</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$457,200	\$473,200	+\$16,000
Total .....	<u>\$457,200</u>	<u>\$473,200</u>	<u>+\$16,000</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
Office of the Lieutenant Governor General Fund .....	\$457,200	\$473,200	+\$16,000
Total .....	<u>\$457,200</u>	<u>\$473,200</u>	<u>+\$16,000</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total Amount	Change	Maintenance Undistributed Amount	Change
Office of the Lieutenant Governor .....	\$473,200	+\$16,000	\$473,200	+\$16,000
Total .....	<u>\$473,200</u>	<u>+\$16,000</u>	<u>\$473,200</u>	<u>+\$16,000</u>

# **OFFICE OF GENERAL SERVICES**

## **MISSION**

The Office of General Services (OGS) was established to consolidate into a single agency state-of-the-art, cost efficient support services required to operate a changing and increasingly complex State government. These included telecommunications and computer systems, building design and construction, leasing, facility maintenance, purchasing of goods and services, and other basic support services, including mail, parking, printing and surplus property.

In recent years, these activities have continued and evolved to meet State government's changing needs. Many additional responsibilities have been added to make the Office the central "housekeeping" agency for the State. Among these more recent responsibilities are the purchasing of new technologies, participating in the statewide financing of various types of equipment, and overseeing the distribution of surplus Federal food to public and private organizations.

The Office supports the operations of State agencies by providing voice and data communications; centralized information processing; space planning and leasing; real property management and maintenance; centralized contracting for commodities, services and printing; employee and visitor parking management; and interagency mail and courier assistance. The Office also helps local governments reduce their operating costs by distributing federally donated foods and surplus equipment to them, and by offering them the use of its centralized commodity and service contracts.

## **ORGANIZATION AND STAFFING**

The Office is headed by a Commissioner, who is appointed by the Governor, with a central, executive staff and is structured around customer-focused, business enterprises: Real Property Management and Development; Information Technology and Procurement Services; Design and Construction; and Support Services. The Office will have a workforce of 2,130 positions for 2000-01.

In the Spring of 1999, the Office released its first comprehensive Strategic Plan. The Plan establishes three major goals, 10 strategic objectives and 26 broad performance measures, and sets forth specific strategies for improving performance. Every major business unit is now developing key performance measures that will be based on reliable data. The measures will assist the Office in remaining focused on the work that matters most to its customers and stakeholders and in identifying needed improvements and changes. The Office's performance measures will be in place during 2000-01, and OGS will work with the Division of the Budget to determine how to link information about performance to the budgeting process.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends \$430.1 million for the Office, which includes support of \$190.3 million in State tax dollars from the General Fund. This recommendation also includes \$233.8 million in user fees charged to State agencies and other governmental entities that utilize OGS central and other support services, and \$6 million in Federal funding. Most of this funding supports the operation of State office buildings, rehabilitation and other projects aimed at preserving or extending the useful life of office buildings, and the provision of centralized services to State agencies.

Recommended funding for the Capital Projects Budget includes support for critical projects at the State Capitol and for the modernization of State office buildings in the Capital District. The recommended decrease in year-to-year funding will still allow the Office to maintain its current spending for the upkeep and preservation of office buildings.



## **GENERAL SERVICES**

---

### **PROGRAM HIGHLIGHTS**

#### **EXECUTIVE DIRECTION**

Employees in this group provide the day-to-day leadership of the agency, and assure that Administration policies are reflected in the Office's programs and services. In addition, this group helps State agencies acquire vehicle insurance, administers financing the State equipment purchasing program and coordinates the centralized purchasing of electricity from the Power Authority of the State of New York.

The Office is now working on an important initiative to improve how the State manages its exposure to real property losses and liability claims. The OGS Insurance Bureau is coordinating an effort that will propose a comprehensive approach for acquiring catastrophic insurance coverage for buildings and liability exposure, determining an appropriate level of self-insurance, and instituting a defined approach to risk management.

#### **REAL PROPERTY MANAGEMENT AND DEVELOPMENT**

This program is responsible for providing for the safe and efficient operation of approximately 41 major and 85 ancillary State-owned and operated buildings across the State. Services provided by this program include building management, operation, maintenance, cleaning and security for facilities encompassing 17.7 million interior gross square feet with a replacement value estimated at \$4.4 billion. Employees assigned to this program also manage building renovation projects, administer service contracts for the maintenance and operation of certain heating, ventilation and air conditioning systems, and negotiate agreements as needed for leased space.

The Office is also making a major capital investment in office facilities in the Albany area. The need for this effort results from years of under-investment, and the need for State offices to accommodate modern technology. This program includes new office buildings for the Department of Environmental Conservation and the Office of the State Comptroller, a new parking garage in downtown Albany, the modernization of the Alfred E. Smith State Office Building and the development of the Harriman State Office Campus.

#### **TECHNOLOGY AND PROCUREMENT SERVICES**

This group provides State agencies with state-of-the-art voice and data communications services, and manages the statewide procurement of goods, services and commodities having an annual value of \$1.5 billion. In carrying out these responsibilities, this group provides centralized information processing services and establishes standards for each commodity purchased by the Office by developing detailed specifications, evaluating bids, and monitoring vendor performance and quality control. Eligible local governments, schools and not-for-profit organizations may use these centralized contracts, which generally offer the best prices because of the State's purchasing power, to reduce their own operating costs.

#### **DESIGN AND CONSTRUCTION**

This group provides architectural, engineering, planning, and design and construction management services to State agencies operating State-owned facilities. This group provides these services to over 20 agencies, and has projects valued at approximately \$300 million underway in design and \$800 million underway in construction.

#### **SUPPORT SERVICES**

Employees in this group provide and manage the delivery of interagency mail, employee and visitor parking and transfer of Federal and State surplus property. These employees also warehouse federally donated food and distribute it to school districts and food pantries.

# GENERAL SERVICES

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$352,150,300	\$358,793,100	+\$6,642,800	\$3,204,000
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	95,900,000	71,300,000	-24,600,000	131,969,000
<b>Total .....</b>	<b>\$448,050,300</b>	<b>\$430,093,100</b>	<b>-\$17,957,200</b>	<b>\$135,173,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Capital Planning					
Capital Projects Funds - Other .....	1	1	....	1	....
Design and Construction					
Internal Service Funds .....	491	491	....	491	....
Executive Direction					
General Fund .....	118	117	....	117	-1
Internal Service Funds .....	21	21	....	21	....
Information Technology and Procurement					
General Fund .....	160	158	....	158	-2
Special Revenue Funds - Other .....	18	18	....	18	....
Internal Service Funds .....	243	210	....	210	-33
Real Property Management and Development					
General Fund .....	957	951	....	951	-6
Special Revenue Funds - Other .....	54	54	....	54	....
Enterprise Funds .....	14	14	....	14	....
Internal Service Funds .....	95	95	....	95	....
<b>Total .....</b>	<b>2,172</b>	<b>2,130</b>	<b>....</b>	<b>2,130</b>	<b>-42</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$113,687,300	\$118,950,100	+\$5,262,800
Special Revenue Funds - Federal .....	6,050,000	6,050,000	.....
Special Revenue Funds - Other .....	16,648,000	17,408,000	+760,000
Enterprise Funds .....	1,153,000	1,217,000	+64,000
Internal Service Funds .....	213,658,000	214,196,000	+538,000
Fiduciary Funds .....	954,000	972,000	+18,000
<b>Total .....</b>	<b>\$352,150,300</b>	<b>\$358,793,100</b>	<b>+\$6,642,800</b>

# GENERAL SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Design and Construction			
General Fund	\$1,700,000	.....	-\$1,700,000
Internal Service Funds	43,261,000	\$43,577,000	+316,000
Executive Direction			
General Fund	12,314,200	11,891,300	-422,900
Enterprise Funds	56,000	56,000	.....
Internal Service Funds	40,986,000	42,157,000	+1,171,000
Fiduciary Funds	704,000	722,000	+18,000
Information Technology and Procurement			
General Fund	7,240,700	8,620,000	+1,379,300
Special Revenue Funds - Federal	6,050,000	6,050,000	.....
Special Revenue Funds - Other	3,268,000	3,290,000	+22,000
Internal Service Funds	118,484,000	117,477,000	-1,007,000
Real Property Management and Development			
General Fund	92,432,400	98,438,800	+6,006,400
Special Revenue Funds - Other	13,380,000	14,118,000	+738,000
Enterprise Funds	1,097,000	1,161,000	+64,000
Internal Service Funds	10,927,000	10,985,000	+58,000
Agency Trust Funds	250,000	250,000	.....
<b>Total</b>	<b>\$352,150,300</b>	<b>\$358,793,100</b>	<b>+\$6,642,800</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Direction	\$5,538,500	-\$488,400	\$5,403,300	-\$488,400	\$116,000	.....
Information Technology and Procurement	7,430,200	+1,343,500	7,392,000	+1,343,500	23,900	.....
Real Property Management and Development	33,802,000	+732,700	33,102,000	+732,700	.....	.....
<b>Total</b>	<b>\$46,770,700</b>	<b>+\$1,587,800</b>	<b>\$45,897,300</b>	<b>+\$1,587,800</b>	<b>\$139,900</b>	<b>.....</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Direction	\$19,200	.....
Information Technology and Procurement	14,300	.....
Real Property Management and Development	700,000	.....
<b>Total</b>	<b>\$733,500</b>	<b>.....</b>

# GENERAL SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Design and Construction .....	.....	-\$1,700,000	.....	.....
Executive Direction .....	\$6,352,800	+65,500	\$191,800	+\$5,800
Information Technology and Procurement .....	1,189,800	+35,800	96,900	+2,900
Real Property Management and Development .....	64,636,800	+5,273,700	6,870,100	+207,000
<b>Total .....</b>	<b>\$72,179,400</b>	<b>+\$3,675,000</b>	<b>\$7,158,800</b>	<b>+\$215,700</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Direction .....	\$87,600	+\$2,600	\$1,898,400	+\$57,100
Information Technology and Procurement .....	56,700	+1,700	1,015,600	+30,600
Real Property Management and Development .....	270,300	+8,100	56,023,700	+5,014,300
<b>Total .....</b>	<b>\$414,600</b>	<b>+\$12,400</b>	<b>\$58,937,700</b>	<b>+\$5,102,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Design and Construction .....	.....	.....	.....	-\$1,700,000
Executive Direction .....	.....	.....	\$4,175,000	.....
Information Technology and Procurement .....	\$20,600	+\$600	.....	.....
Real Property Management and Development .....	1,472,700	+44,300	.....	.....
<b>Total .....</b>	<b>\$1,493,300</b>	<b>+\$44,900</b>	<b>\$4,175,000</b>	<b>-\$1,700,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Design and Construction .....	\$43,577,000	+\$316,000	\$24,652,000	-\$26,000
Executive Direction .....	42,935,000	+1,189,000	1,122,000	-13,000
Information Technology and Procurement .....	126,817,000	-985,000	9,262,000	-2,096,000
Real Property Management and Development .....	26,514,000	+860,000	5,519,000	+286,200
<b>Total .....</b>	<b>\$239,843,000</b>	<b>+\$1,380,000</b>	<b>\$40,555,000</b>	<b>-\$1,848,800</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Design and Construction .....	\$18,925,000	+\$342,000	.....	.....
Executive Direction .....	41,813,000	+1,202,000	.....	.....
Information Technology and Procurement .....	117,555,000	+1,111,000	.....	.....
Real Property Management and Development .....	20,745,000	+573,800	\$250,000	.....
<b>Total .....</b>	<b>\$199,038,000</b>	<b>+\$3,228,800</b>	<b>\$250,000</b>	<b>.....</b>

**GENERAL SERVICES**

---

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Design and Construction Supervision				
Capital Projects Fund .....	\$21,600,000	\$6,500,000	-\$15,100,000	\$30,575,000
Petroleum Storage Tank				
Capital Projects Fund .....	500,000	.....	-500,000	500,000
Flood Disaster Restoration Program				
Capital Projects Fund .....	.....	.....	.....	3,000,000
Maintenance and Improvement of Real Property Facilities				
Capital Projects Fund .....	73,800,000	64,800,000	-9,000,000	92,386,000
Capital Projects Fund - Advances .....	.....	.....	.....	5,508,000
<b>Total .....</b>	<b>\$95,900,000</b>	<b>\$71,300,000</b>	<b>-\$24,600,000</b>	<b>\$131,969,000</b>

# OFFICE OF THE STATE INSPECTOR GENERAL

## MISSION

The Office of the State Inspector General is responsible for detecting, investigating, eliminating and deterring fraud, corruption, criminal activity, conflicts of interest and abuse in State government. Its mission is designed to ensure that State government maintains the highest standards of integrity and accountability.

## ORGANIZATION AND STAFFING

The Office of the State Inspector General was fundamentally restructured pursuant to Executive Order 39 issued by the Governor in June, 1996. The Executive Order provides for the consolidation of most of the State's inspector general activities in a single Office that replaces what were formerly separate, semi-independent deputy inspectors general based in the agencies they served. Headed by the Inspector General who is appointed by the Governor, the Office is headquartered in Albany and has offices in New York City and Buffalo. It will have a workforce of 94 in 2000-01.

## FISCAL BACKGROUND AND HIGHLIGHTS

The 2000-01 Executive Budget recommends a General Fund appropriation of \$4.7 million and \$1.3 million in support coming primarily from public authorities. This will allow the Office to maintain existing operations and to relocate its New York City office to new leased space.

## PROGRAM HIGHLIGHTS

Since the promulgation of Executive Order 39, the Office of the State Inspector General has acted on more than 3,500 complaints of fraud, criminal activity, waste and abuse involving State employees and resources. The Office has focused its investigative efforts on major cases involving theft, bribery, contract fraud, abuse of authority, and other serious allegations of corruption. Currently, the agency's investigators are working jointly with local, state, and federal law enforcement personnel and prosecutors on significant matters of public concern.

During calendar years 1998 and 1999, the Office's investigations resulted in the arrest of more than 80 individuals, and referrals for discipline in numerous other cases. In addition, many cases resulted in recommendations for administrative or policy changes. The State Inspector General's cases uncovered instances of theft, bid rigging, bribery, creation of fraudulent documents, misuse of computers, narcotics trafficking, and sexual assault. Equally important, the Office's investigations have, in many instances, cleared agencies and individuals of allegations that were unfounded or unsubstantiated.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$5,975,000	\$6,006,600	+\$31,600	.....
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$5,975,000</u>	<u>\$6,006,600</u>	<u>+\$31,600</u>	<u>.....</u>

# STATE INSPECTOR GENERAL

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Inspector General					
General Fund .....	76	75	....	75	-1
Special Revenue Funds - Other .....	19	19	....	19	....
<b>Total .....</b>	<b>95</b>	<b>94</b>	<b>....</b>	<b>94</b>	<b>-1</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$4,675,000	\$4,706,600	+\$31,600
Special Revenue Funds - Other .....	1,300,000	1,300,000	....
<b>Total .....</b>	<b>\$5,975,000</b>	<b>\$6,006,600</b>	<b>+\$31,600</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Inspector General			
General Fund .....	\$4,675,000	\$4,706,600	+\$31,600
Special Revenue Funds - Other .....	1,300,000	1,300,000	....
<b>Total .....</b>	<b>\$5,975,000</b>	<b>\$6,006,600</b>	<b>+\$31,600</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Inspector General .....	\$4,126,600	+\$35,600	\$4,126,600	+\$35,600
<b>Total .....</b>	<b>\$4,126,600</b>	<b>+\$35,600</b>	<b>\$4,126,600</b>	<b>+\$35,600</b>

# STATE INSPECTOR GENERAL

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Contractual Services	
	Amount	Change	Amount	Change
Inspector General .....	\$580,000	-\$4,000	\$580,000	-\$4,000
Total .....	\$580,000	-\$4,000	\$580,000	-\$4,000

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	Total		Personal Service	
	Amount	Change	Amount	Change
Inspector General .....	\$1,300,000	....	\$967,000	-\$1,000
Total .....	\$1,300,000	....	\$967,000	-\$1,000

<u>Program</u>	Nonpersonal Service	
	Amount	Change
Inspector General .....	\$333,000	+\$1,000
Total .....	\$333,000	+\$1,000





# ***INSURANCE DEPARTMENT***

## ***MISSION***

The Insurance Department, which was established January 1, 1860, is charged with regulating the insurance industry and with ensuring that the interests of insurance consumers, companies, and producers are balanced. Specific statutory responsibilities include approving the formation, consolidation or merger of insurance organizations, monitoring the financial stability of insurers, overseeing the testing and licensing of agents, adjusters, consultants and insurance intermediaries, and disciplining licensees who violate the Insurance Law or regulations.

## ***ORGANIZATION AND STAFFING***

The Insurance Department is headed by a Superintendent, who is appointed by the Governor. The Department maintains offices in Albany and New York City and local offices in Mineola, Rochester, Syracuse and Buffalo. The Department's activities are carried out through three programs: Administration, Regulation, and Consumer Services. The Department will have a workforce of 944 positions for 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Insurance Department is funded by assessments on domestic insurance carriers and by examination fees. These moneys fully support the operations of the Department as well as insurance-specific operations in other agencies.

The Executive Budget recommends \$101.1 million for the Insurance Department, which will fund the Department's current level of activity and provide \$12.4 million to the Department of State for costs associated with fire prevention efforts and enforcement of state building code regulations.

## ***PROGRAM HIGHLIGHTS***

The Department ensures that insurance companies meet statutory requirements regarding their financial condition and corporate conduct by monitoring the financial condition of companies and conducting periodic field examinations of insurers. It strives for the fair treatment of policy holders, claimants, and the public through the regulation of company claims and sales practices, and its timely responses to consumer complaints.

The Department promotes high standards of ethical conduct and technical knowledge through oversight of testing, pre-licensing and continuing education of insurers and agents. It maintains a registry of all licensees, collects fees and imposes fines related to the revocation of licenses and irregular activities.

Reflecting the dynamic and changing environment confronting the insurance industry, the Department has reformed and rescinded over half its regulations and eased the process by which companies are licensed and new insurance products approved. Finally, the Department continues to work closely with the Banking Department to assist Holocaust victims and their families to identify and recover assets from foreign financial institutions.

# INSURANCE

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$98,521,000	\$101,069,500	+\$2,548,500	\$1,000,000
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$98,521,000</b>	<b>\$101,069,500</b>	<b>+\$2,548,500</b>	<b>\$1,000,000</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
Special Revenue Funds - Other .....	133	133	....	133	....
Consumer Services					
Special Revenue Funds - Other .....	107	107	....	107	....
Regulation					
Special Revenue Funds - Other .....	706	704	....	704	-2
<b>Total .....</b>	<b>946</b>	<b>944</b>	<b>....</b>	<b>944</b>	<b>-2</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Other .....	\$98,521,000	\$101,069,500	+\$2,548,500
<b>Total .....</b>	<b>\$98,521,000</b>	<b>\$101,069,500</b>	<b>+\$2,548,500</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
Special Revenue Funds - Other .....	\$10,080,800	\$10,228,300	+\$147,500
Consumer Services			
Special Revenue Funds - Other .....	6,601,800	6,905,700	+303,900
Regulation			
Special Revenue Funds - Other .....	81,838,400	83,935,500	+2,097,100
<b>Total .....</b>	<b>\$98,521,000</b>	<b>\$101,069,500</b>	<b>+\$2,548,500</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$10,228,300	+\$147,500	\$7,086,500	+\$76,400
Consumer Services .....	6,905,700	+303,900	4,871,100	+232,200
Regulation .....	83,935,500	+2,097,100	39,346,500	+1,165,100
Total .....	<u>\$101,069,500</u>	<u>+\$2,548,500</u>	<u>\$51,304,100</u>	<u>+\$1,473,700</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$3,141,800	+\$71,100	.....	.....
Consumer Services .....	2,034,600	+71,700	.....	.....
Regulation .....	30,251,500	+1,040,400	\$14,337,500	-\$108,400
Total .....	<u>\$35,427,900</u>	<u>+\$1,183,200</u>	<u>\$14,337,500</u>	<u>-\$108,400</u>



# **DEPARTMENT OF LAW**

## **MISSION**

The Department of Law was created in 1926 and is headed by the State Attorney General, who is elected by the people. The Department is responsible for protecting the legal rights of New York State and its citizens by representing the State in litigation and in other legal affairs.

In implementing its constitutional mandate, the Department performs a wide range of responsibilities. Major activities of the Department include prosecuting or defending all actions and proceedings for or against the State and its departments; prosecuting certain criminal violations of the Labor, Workers' Compensation, and Unemployment Insurance laws; investigating and prosecuting other criminal cases at the request of the Governor or the commissioners of State departments; investigating the activities of organized crime; bringing civil and/or criminal actions against polluters, violators of antitrust laws, and those who defraud consumers or investors; mediating consumer complaints; investigating Medicaid fraud; and defending the legal and civil rights of New Yorkers.

## **ORGANIZATION AND STAFFING**

The legal functions of the Department of Law are divided into major divisions which comprise bureaus dealing with specific legal issues and cases. These are the Divisions of Appeals and Opinions, Criminal, State Counsel, Public Advocacy, and Regional Offices.

The Department's main office is located in Albany. The Department also has a major office in the City of New York and regional offices in Binghamton, Poughkeepsie, Syracuse, Buffalo, Plattsburgh, Rochester, Watertown, and Mineola and in Suffolk and Westchester counties. The Department will have a workforce of 1,783 positions for 2000-01.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends \$152.9 million for the Department. This recommendation includes \$102.3 million in tax dollars from the General Fund, which will finance 67 percent of these expenses for 2000-01. Additional support for 2000-01 will be provided by:

- Federal funding of \$25.3 million that finance Medicaid fraud efforts and that fund 16 percent of the Department's budget;
- Revenues of \$19.3 million related to the collection of non-tax debt and litigation settlements comprise 13 percent of the Department's budget; and
- The remaining 4 percent of the Department's expenses are funded with \$6.0 million consisting of assets seized as part of criminal prosecution activities and Medicaid fraud recoveries.

The General Fund recommendation includes \$1.4 million for security and other improvements and \$1.7 million for anticipated workload increases. The Budget also funds the third year of the Department's computer upgrade, including \$348,000 for 14 additional staff and \$2.3 million for hardware and software purchases. With this recommended funding, a total of 50 new positions and \$12.3 million for hardware and software will have been provided to improve the Department's technology operations.

**PROGRAM HIGHLIGHTS**

- Agency divisions perform the following functions:
- The Administration Division serves as the Support Service and Business Management arm of the Attorney General by providing budget, personnel, operations, and technology management activities for the agency.
  - The Division of Appeals and Opinions handles appellate litigation in both State and Federal courts, determines which cases warrant appeal and the arguments to be advanced in these cases on behalf of the State of New York. The Division also prepares opinions, both formal and informal, interpreting State laws for State agencies and municipalities.
  - The Criminal Division investigates and prosecutes criminal cases, including those involving medicaid fraud dealing with health care crime and organized crime involving multi-county, multi-state and even multi-national criminal activities occurring within New York State.
  - The Division of State Counsel provides State agencies, the Governor, other State officials and the Legislature with counsel and representation in legal proceedings. It recoups non-tax revenue on behalf of State taxpayers and provides legal assistance to State agencies in connection with the acquisition and disposition of public land. It also enforces State Labor and Workers Compensation Laws and defends and prosecutes actions in defense of the State.
  - The Division of Public Advocacy defends and protects the public interest in the courts. It enforces laws to prevent trade restraint and promotes competition, protects charitable donors and beneficiaries from unscrupulous practices in charitable asset management, and enforces laws prohibiting discrimination. It also protects consumers from fraudulent, misleading, deceptive and illegal trade practices, enforces laws enacted to prevent environmental damage and protects the public by regulating sales of investment securities.
  - The Regional Offices program provides mini-satellite offices of the main agency offices in all regions of the State to afford State residents enhanced service delivery.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$152,416,200	\$152,799,800	+\$383,600	\$30,990,500
Aid To Localities .....	150,000	150,000	....	150,000
Capital Projects .....	....	....	....	....
Total .....	<u>\$152,566,200</u>	<u>\$152,949,800</u>	<u>+\$383,600</u>	<u>\$31,140,500</u>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund .....	164	175	....	175	+11
Appeals and Opinions					
General Fund .....	66	64	....	64	-2
Counsel for the State					
General Fund .....	295	300	....	300	+5
Special Revenue Funds - Other .....	95	95	....	95	....
Internal Service Funds .....	109	....	109	109	....
Criminal Prosecutions					
General Fund .....	185	182	....	182	-3
Medicaid Fraud Control					
General Fund .....	73	73	....	73	....
Special Revenue Funds - Federal .....	269	269	....	269	....
Public Advocacy					
General Fund .....	291	286	....	286	-5
Regional Offices					
General Fund .....	154	151	....	151	-3
Subtotal, Direct Funded Programs .....	1,701	1,595	109	1,704	+3
Suballocations:					
General Fund .....	27			27	....
Special Revenue Funds - Federal .....	7			7	....
Special Revenue Funds - Other .....	45			45	....
Total .....	1,780			1,783	+3

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$101,777,200	\$102,282,800	+\$505,600
Special Revenue Funds - Federal .....	25,660,000	25,316,000	-344,000
Special Revenue Funds - Other .....	18,374,000	18,529,000	+155,000
Internal Service Funds .....	6,605,000	6,672,000	+67,000
Total .....	\$152,416,200	\$152,799,800	+\$383,600



**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund	\$24,005,900	\$24,627,900	+\$622,000
Appeals and Opinions			
General Fund	4,286,700	4,249,500	-37,200
Counsel for the State			
General Fund	28,191,000	26,814,900	-1,376,100
Special Revenue Funds - Other	12,374,000	12,529,000	+155,000
Internal Service Funds	6,605,000	6,672,000	+67,000
Criminal Prosecutions			
General Fund	13,320,200	13,828,500	+508,300
Special Revenue Funds - Other	2,500,000	2,500,000	....
Medicaid Fraud Control			
General Fund	3,902,300	4,003,000	+100,700
Special Revenue Funds - Federal	25,660,000	25,316,000	-344,000
Special Revenue Funds - Other	3,500,000	3,500,000	....
Public Advocacy			
General Fund	18,321,800	18,237,600	-84,200
Regional Offices			
General Fund	9,749,300	10,521,400	+772,100
<b>Total</b>	<b>\$152,416,200</b>	<b>\$152,799,800</b>	<b>+\$383,600</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>		<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	\$8,210,500	+\$1,318,800	\$7,981,600	+\$1,107,300	\$228,900	+\$228,900
Appeals and Opinions	3,567,400	-67,200	3,476,200	-158,400	91,200	+91,200
Counsel for the State	18,263,400	+1,425,400	17,833,000	+2,136,000	430,400	-710,600
Criminal Prosecutions	10,943,300	-136,000	10,697,600	-298,700	243,300	+160,300
Medicaid Fraud Control	3,986,000	+72,900	3,926,000	+66,600	60,000	+6,300
Public Advocacy	16,523,000	-209,900	16,131,300	-524,800	382,000	+305,200
Regional Offices	8,667,500	+703,600	8,435,500	+471,600	214,000	+214,000
<b>Total</b>	<b>\$70,161,100</b>	<b>+\$3,107,600</b>	<b>\$68,481,200</b>	<b>+\$2,799,600</b>	<b>\$1,649,800</b>	<b>+\$295,300</b>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Administration	....	-\$17,400
Criminal Prosecutions	\$2,400	+2,400
Public Advocacy	9,700	+9,700
Regional Offices	18,000	+18,000
<b>Total</b>	<b>\$30,100</b>	<b>+\$12,700</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$16,417,400	-\$696,800	\$91,600	....
Appeals and Opinions .....	682,100	+30,000	344,200	....
Counsel for the State .....	8,551,500	-2,801,500	159,500	....
Criminal Prosecutions .....	2,885,200	+644,300	69,200	....
Medicaid Fraud Control .....	2,517,000	+27,800	34,600	....
Public Advocacy .....	1,714,600	+125,700	78,300	....
Regional Offices .....	1,853,900	+68,500	18,900	....
Total .....	<u>\$34,621,700</u>	<u>-\$2,602,000</u>	<u>\$796,300</u>	<u>....</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$65,900	....	\$15,600,600	-\$1,096,800
Appeals and Opinions .....	28,500	....	307,100	+30,000
Counsel for the State .....	369,500	....	871,000	-9,801,500
Criminal Prosecutions .....	297,600	....	1,943,600	+94,300
Medicaid Fraud Control .....	38,900	....	987,900	+27,800
Public Advocacy .....	75,800	....	1,425,000	+125,700
Regional Offices .....	212,700	....	1,586,300	+68,500
Total .....	<u>\$1,088,900</u>	<u>....</u>	<u>\$22,721,500</u>	<u>-\$10,552,000</u>

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration .....	\$659,300	+\$400,000	....	....
Appeals and Opinions .....	2,300	....	....	....
Counsel for the State .....	151,500	....	....	....
Criminal Prosecutions .....	574,800	+550,000	....	....
Medicaid Fraud Control .....	4,900	....	\$1,450,700	....
Public Advocacy .....	135,500	....	....	....
Regional Offices .....	36,000	....	....	....
Total .....	<u>\$1,564,300</u>	<u>+\$950,000</u>	<u>\$1,450,700</u>	<u>....</u>

Program	Maintenance Undistributed	
	Amount	Change
Counsel for the State .....	\$7,000,000	+\$7,000,000
Total .....	<u>\$7,000,000</u>	<u>+\$7,000,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Counsel for the State .....	\$19,201,000	+\$222,000	\$6,660,000	+\$49,000
Criminal Prosecutions .....	2,500,000	.....	.....	.....
Medicaid Fraud Control .....	28,816,000	-344,000	14,724,000	+110,000
<b>Total .....</b>	<b>\$50,517,000</b>	<b>-\$122,000</b>	<b>\$21,384,000</b>	<b>+\$159,000</b>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Counsel for the State .....	\$5,869,000	+\$106,000	\$6,672,000	+\$67,000
Criminal Prosecutions .....	.....	.....	2,500,000	.....
Medicaid Fraud Control .....	10,592,000	-454,000	3,500,000	.....
<b>Total .....</b>	<b>\$16,461,000</b>	<b>-\$348,000</b>	<b>\$12,672,000</b>	<b>+\$67,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$150,000	\$150,000	.....
<b>Total .....</b>	<b>\$150,000</b>	<b>\$150,000</b>	<b>.....</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Public Advocacy General Fund .....	\$150,000	\$150,000	.....
<b>Total .....</b>	<b>\$150,000</b>	<b>\$150,000</b>	<b>.....</b>

# ***TEMPORARY STATE COMMISSION ON LOBBYING***

## ***MISSION***

The Temporary State Commission on Lobbying is responsible for monitoring, maintaining and making public the identities, activities, and expenditures of lobbyists, clients and public corporations attempting to influence the legislative, regulatory and rule- and rate-making actions of elected State officials and agency decision makers. The Commission is also authorized to hold hearings and impose civil penalties. A final responsibility of the Commission is to collect, maintain, and make public the records of appearances before regulatory State agencies.

## ***ORGANIZATION AND STAFFING***

The Lobbying Act sets forth the administrative and enforcement responsibilities of the Commission. Under the guidance of a six-member bipartisan board appointed by the Governor, with advice from the legislative leaders, these responsibilities are carried out by a workforce of nine.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Commission receives 94 percent of its support from State tax dollars from the General Fund. The remaining 6 percent of its operations are funded by civil penalty fines assessed on lobbyists for violations of the Lobbying Law.

The Executive Budget recommends \$635,000 in General Fund support for the Commission. This recommended funding will allow the Commission to continue its present level of oversight activity.

## ***PROGRAM HIGHLIGHTS***

In 1998, the Commission's oversight responsibilities included 2,100 registered lobbyists, 1,291 clients of lobbyists, and 55 public corporations which reported lobbying expenses. The Commission's monitoring responsibilities encompassed both registered and unregistered special interest groups. These groups were active on over 18,250 bills before the Legislature and 2,150 rules, regulations and rate applications involving State agencies.

In 1996, the Commission established a web site on the Internet to further increase the public's access to lobbying information. The web site has been accessed more than one million times through the end of October 1999. A scanning and imaging system allows for almost same day processing of incoming registrations and reports.

# LOBBYING

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$656,000	\$675,000	+\$19,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$656,000</b>	<b>\$675,000</b>	<b>+\$19,000</b>	<b>....</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	Personal Service (Regular)	2000-01 Recommended Average Fill Level		Change
			Maintenance Undistributed	Total Recommended 2000-01	
Operations					
General Fund .....	9	9	....	9	....
<b>Total .....</b>	<b>9</b>	<b>9</b>	<b>....</b>	<b>9</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$616,000	\$635,000	+\$19,000
Special Revenue Funds - Other .....	40,000	40,000	....
<b>Total .....</b>	<b>\$656,000</b>	<b>\$675,000</b>	<b>+\$19,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Operations			
General Fund .....	\$616,000	\$635,000	+\$19,000
Special Revenue Funds - Other .....	40,000	40,000	....
<b>Total .....</b>	<b>\$656,000</b>	<b>\$675,000</b>	<b>+\$19,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Operations .....	\$559,000	+\$19,000	\$559,000	+\$19,000
<b>Total .....</b>	<b>\$559,000</b>	<b>+\$19,000</b>	<b>\$559,000</b>	<b>+\$19,000</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations .....	\$76,000	....	\$76,000	....
Total .....	<u>\$76,000</u>	<u>....</u>	<u>\$76,000</u>	<u>....</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations .....	\$40,000	....	\$40,000	....
Total .....	<u>\$40,000</u>	<u>....</u>	<u>\$40,000</u>	<u>....</u>



# ***PUBLIC EMPLOYMENT RELATIONS BOARD***

## ***MISSION***

The Public Employment Relations Board resolves labor disputes between public employers and employees. The Board provides mediation, fact-finding and arbitration in contract disputes for approximately 4,000 negotiating units in New York. In addition, the Board settles questions of union representation, conducts hearings on charges of improper practices, designates Management/Confidential positions, and acts as a clearinghouse for information on wages, benefits and employment practices.

## ***ORGANIZATION AND STAFFING***

The Board consists of a full-time Chair and two part-time members nominated by the Governor for six-year terms. The Board's jurisdiction includes State, county, and local governments, certain special service districts, school districts and public authorities. Central offices are in Albany, with additional staff in Buffalo and Brooklyn. The Board will have a workforce of 43 positions for 2000-01.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Board receives 95 percent of its funding from the General Fund, which supports its mediation, fact-finding, and arbitration services and administrative costs.

The Executive Budget recommends \$3.6 million in General Fund support for the Board, and the Board's remaining expenses of \$192,500 are financed by fees paid by public employers and unions for filings and publications.

## ***PROGRAM HIGHLIGHTS***

The Board provides three principal services: conciliation, settlement of petitions involving representation, and rulings on charges of improper practices.

## ***CONCILIATION***

The Board provided assistance in approximately 393 of the 2,500 State and local contracts negotiated in 1998-99. The Board has followed many of these cases through the full range of impasse resolution steps: mediation, followed by either fact-finding or arbitration and conciliation.

## ***REPRESENTATION***

Through its Office of Public Employment Practices and Representation, the Board reviews all petitions from public employee unions and employers requesting the creation of new negotiating units or the transfer of members between units. It also reviews requests to remove positions from negotiating units and may designate them management or confidential. In 1998-99, the Board received 115 petitions raising questions about representation and conducted 19 elections for representation.



# **PUBLIC EMPLOYMENT RELATIONS**

## **EMPLOYMENT PRACTICES**

The Board conducts hearings and renders decisions on improper practice charges, and received petitions on 943 charges of improper employment and negotiating practices in the previous year. In 1998-99, the agency wrote over 300 decisions and closed, either by decision or settlement, over 1,140 improper practice cases. Each case must be addressed in a pre-hearing conference attended by the affected parties. If a case cannot be resolved, a Board administrative law judge must rule on the charge after conducting a formal hearing.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$3,499,900	\$3,788,000	+\$288,100	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$3,499,900</b>	<b>\$3,788,000</b>	<b>+\$288,100</b>	<b>....</b>

### **ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS**

<u>Program</u>	<u>Available 1999-00</u>	2000-01 Recommended Average Fill Level			<u>Change</u>
		<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 2000-01</u>	
Administration					
General Fund .....	39	41	....	41	+2
Special Revenue Funds - Other .....	2	2	....	2	....
<b>Total .....</b>	<b>41</b>	<b>43</b>	<b>....</b>	<b>43</b>	<b>+2</b>

### **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$3,307,400	\$3,595,500	+\$288,100
Special Revenue Funds - Other .....	192,500	192,500	....
<b>Total .....</b>	<b>\$3,499,900</b>	<b>\$3,788,000</b>	<b>+\$288,100</b>

### **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$3,307,400	\$3,595,500	+\$288,100
Special Revenue Funds - Other .....	192,500	192,500	....
<b>Total .....</b>	<b>\$3,499,900</b>	<b>\$3,788,000</b>	<b>+\$288,100</b>

# PUBLIC EMPLOYMENT RELATIONS

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$3,142,900	+\$232,100	\$2,825,900	+\$132,100	\$313,900	+\$100,000
Total .....	\$3,142,900	+\$232,100	\$2,825,900	+\$132,100	\$313,900	+\$100,000

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$3,100	....
Total .....	\$3,100	....

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$452,600	+\$56,000	\$80,900	+\$50,000
Total .....	\$452,600	+\$56,000	\$80,900	+\$50,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$51,500	....	\$120,200	+\$6,000
Total .....	\$51,500	....	\$120,200	+\$6,000

Program	Maintenance Undistributed	
	Amount	Change
Administration .....	\$200,000	....
Total .....	\$200,000	....

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration .....	\$192,500	....	\$50,000	....
Total .....	\$192,500	....	\$50,000	....

Program	Nonpersonal Service	
	Amount	Change
Administration .....	\$142,500	....
Total .....	\$142,500	....



# ***DEPARTMENT OF PUBLIC SERVICE***

## ***MISSION***

The Department of Public Service has a broad mandate to ensure that all New Yorkers have access to reliable and low-cost utility services. The Department is the staff arm of the Public Service Commission, which regulates the rates and services of the State's public utilities, including electric, gas, steam, telephone, and water. The Commission also oversees the siting of major electric and gas transmission lines and facilities, ensures the safety of natural gas and liquid petroleum pipelines, and is responsible for oversight and regulation of the cable television industry in New York State. As the transition is made from a regulated utility industry to a more competitive market, the Department will use its oversight responsibilities to foster competitive market forces which will produce lower rates for consumers, enable customers to choose from a variety of suppliers, and continue reliable service.

## ***ORGANIZATION AND STAFFING***

The Public Service Commission consists of five members who are nominated by the Governor and confirmed by the Senate. The Chairman serves as the chief executive officer of the Department which operates offices in Albany, New York City and Buffalo.

The Department's budget has two programs: the Administration Program, which supports Public Service Commission activities; and the Regulation Program, which undertakes activities to ensure fair and reasonable rates, foster proper competition, monitor service standards, address consumer complaints, promote efficient operation and ensure that industry construction programs meet safety and environmental requirements.

The Department will have a workforce of 619 for 2000-01. Approximately 98 percent of this staff is financed by utility and cable assessments and the remaining two percent by Federal grants and coin-operated telephone fees.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 2000-01 budget recommendations for the Department of Public Service reflect the changing mission of the agency as the utility industry moves from a regulated environment to a competitive market. As the electric industry undergoes restructuring, the Department is overseeing this process to ensure that policies are implemented to encourage competition for retail and wholesale business, and a level playing field in this new competitive market. It should be noted that, while power generation will eventually function in a competitive market, the monopolistic transmission and distribution of electricity will remain regulated for the foreseeable future. As the industry changes and evolves, the Department of Public Service will continue to act as a consumer advocate through education and outreach to ensure that it fulfills its core mission.

The Department's 2000-01 operating budget includes funding of \$59.7 million from utility and cable assessments and coin operated telephone fees. Public utility assessments are based on a utility's gross intrastate operating revenues above \$25,000. Cable television assessments are based on revenues from those companies with 1,000 or more subscribers.

In addition, the local assistance budget provides a total of \$4.4 million, from fees paid by entities proposing the siting of electric generation facilities, that may be accessed by local governments and community groups to fund intervention activities related to the siting.

# PUBLIC SERVICE

## PROGRAM HIGHLIGHTS

The Department's highest priority for the coming year remains its move toward competition in the electric, telecommunications, and gas industries. This transition must be effectively managed to ensure that competition benefits both the State's economic interests and utility ratepayers. During this transition to competitive markets, the Department will develop the infrastructure needed for competitive alternatives, maintain the high standards of reliability and service quality that New Yorkers expect, ensure fair competition, and, where necessary, provide ratepayers effective protection.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$60,766,700	\$60,816,300	+\$49,600	....
Aid To Localities .....	800,000	4,400,000	+3,600,000	\$1,200,000
Capital Projects .....	....	....	....	....
Total .....	<u>\$61,566,700</u>	<u>\$65,216,300</u>	<u>+\$3,649,600</u>	<u>\$1,200,000</u>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
Special Revenue Funds - Other .....	107	107	....	107	....
Regulation of Utilities					
Special Revenue Funds - Federal .....	12	12	....	12	....
Special Revenue Funds - Other .....	501	500	....	500	-1
Total .....	<u>620</u>	<u>619</u>	<u>....</u>	<u>619</u>	<u>-1</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
Special Revenue Funds - Federal .....	\$1,138,100	\$1,149,000	+\$10,900
Special Revenue Funds - Other .....	59,628,600	59,667,300	+38,700
Total .....	<u>\$60,766,700</u>	<u>\$60,816,300</u>	<u>+\$49,600</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other .....	\$9,421,400	\$9,467,400	+\$46,000
Regulation of Utilities			
Special Revenue Funds - Federal .....	1,138,100	1,149,000	+10,900
Special Revenue Funds - Other .....	50,207,200	50,199,900	-7,300
<b>Total .....</b>	<b>\$60,766,700</b>	<b>\$60,816,300</b>	<b>+\$49,600</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$9,467,400	+\$46,000	\$5,129,400	+\$25,000
Regulation of Utilities .....	51,348,900	+3,600	30,661,400	-73,200
<b>Total .....</b>	<b>\$60,816,300</b>	<b>+\$49,600</b>	<b>\$35,790,800</b>	<b>-\$48,200</b>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$4,338,000	+\$21,000	.....	.....
Regulation of Utilities .....	20,354,800	+76,800	\$332,700	.....
<b>Total .....</b>	<b>\$24,692,800</b>	<b>+\$97,800</b>	<b>\$332,700</b>	<b>.....</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Special Revenue Funds - Other .....	\$800,000	\$4,400,000	+\$3,600,000
<b>Total .....</b>	<b>\$800,000</b>	<b>\$4,400,000</b>	<b>+\$3,600,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Regulation of Utilities			
Special Revenue Funds - Other .....	\$800,000	\$4,400,000	+\$3,600,000
<b>Total .....</b>	<b>\$800,000</b>	<b>\$4,400,000</b>	<b>+\$3,600,000</b>



# **GOVERNOR'S OFFICE OF REGULATORY REFORM**

## **MISSION**

The Governor's Office of Regulatory Reform was restructured in 1995 and charged with the promotion of private sector job growth in New York through the review and reform of State regulations. The Office creates a positive climate for job growth by reviewing and streamlining regulations, expediting regulatory approval and improving attitudes of regulators toward affected parties. Since 1994-95, the Office has substantively reviewed and/or eliminated over 1,500 rules which, together with other regulatory, statutory and permitting reforms, has saved State businesses and localities \$2.9 billion in operating and other expenses.

## **ORGANIZATION AND STAFFING**

Led by a Director appointed by the Governor, the Office is located in Albany. Agency objectives are achieved through its Business Permits Assistance and Regulatory Review programs. The Office will have a workforce of 38 positions for 2000-01.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Office's operations are supported by State tax dollars from the General Fund. The Executive Budget recommends \$2.6 million in support for the Office to maintain current efforts to streamline the State's regulatory process. Recommended funding also supports a sophisticated database, including a web site, [www.nys-permits.org](http://www.nys-permits.org), which provides businesses with comprehensive information on the permits related to starting or expanding a business.

## **PROGRAM HIGHLIGHTS**

### **REGULATORY REVIEW**

The Office reviews the need for proposed new and revised regulations and their economic impact. Staff continue efforts begun in 1994-95 to review all existing State agency regulations to identify those hampering the growth of business and jobs in New York State. The Office requires regulating agencies to analyze the costs and benefits of any proposed new or amended rule and to consider its effect on job creation and retention, public health, safety and welfare. Recommendations are also made to agencies to help them simplify their regulatory processes. The Office has also played a key role in the innovative SEMI-NY and BUILDNOW-NY programs to facilitate economic development.

### **BUSINESS PERMITS ASSISTANCE**

The Business Permits Assistance program provides comprehensive information about permits required to operate businesses in New York State, in addition to consulting with local governments to better coordinate local permit applications. Program staff also assist agencies in streamlining and simplifying permit procedures required for business and local government undertakings. Since 1994, this program has provided assistance to almost 250,000 individuals or firms interested in starting or growing a business in New



## REGULATORY REFORM

York. This effort was facilitated by the development in 1995 of a master application form for complex business ventures and a comprehensive permit reform program in 1997 which is expected to generate over \$50 million in one-time savings.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,468,800	\$2,609,300	+\$140,500	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$2,468,800</u>	<u>\$2,609,300</u>	<u>+\$140,500</u>	<u>....</u>

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level		Total Recommended 2000-01	Change
		Personal Service (Regular)	Maintenance Undistributed		
Administration General Fund .....	38	38	....	38	....
Total .....	<u>38</u>	<u>38</u>	<u>....</u>	<u>38</u>	<u>....</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$2,468,800	\$2,609,300	+\$140,500
Total .....	<u>\$2,468,800</u>	<u>\$2,609,300</u>	<u>+\$140,500</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration General Fund .....	\$2,468,800	\$2,609,300	+\$140,500
Total .....	<u>\$2,468,800</u>	<u>\$2,609,300</u>	<u>+\$140,500</u>

# REGULATORY REFORM

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$2,091,100	+\$17,000	\$2,086,400	+\$17,000	\$4,700	.....
Total .....	\$2,091,100	+\$17,000	\$2,086,400	+\$17,000	\$4,700	.....

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$518,200	+\$123,500	\$49,000	-\$2,500
Total .....	\$518,200	+\$123,500	\$49,000	-\$2,500

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$49,500	-\$2,000	\$255,550	+\$65,000
Total .....	\$49,500	-\$2,000	\$255,550	+\$65,000

Program	Equipment	
	Amount	Change
Administration .....	\$164,150	+\$63,000
Total .....	\$164,150	+\$63,000



# **DEPARTMENT OF STATE**

## **MISSION**

The Department of State's mission is to coordinate programs with and provide services to local governments and businesses. The Department protects the public's safety by managing arson, fire prevention, building and energy code programs; assists the public by providing ombudsman services; administers programs for community development and local government service activities; and supports businesses through various licensing and registration activities.

## **ORGANIZATION AND STAFFING**

The Department is headed by the Secretary of State, who is appointed by the Governor and confirmed by the Senate. The Department's central office is located in Albany. It also has 20 regional offices across the State and operates the Academy of Fire Science in Montour Falls, Schuyler County. The Department of State will have a workforce of 850 positions for 2000-01.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Approximately 37 percent of the Department's operations and local aid programs are funded from fees and other income, 46 percent are funded with Federal grants, and State tax dollars from the General Fund support the remaining 17 percent. The Executive Budget recommends funding of \$108.9 million for the Department of State; \$90.2 million in Federal funding and fee revenues, and \$18.7 million in General Fund support.

Major recommendations include:

- Support for a Department-wide technology initiative which will improve automation and Internet computer capacities to enhance service for the Department's business customers, improve the electronic filing of Financial Disclosure Statements, and implement a new fire incident reporting system.
- Funding of \$1.1 million to continue the process of adopting new model building, fire prevention and energy codes and \$3 million to reimburse municipalities for the cost of training local code enforcement officials.

## **PROGRAM HIGHLIGHTS**

The responsibilities of the Department of State are carried out through three programs:

- The Local Government and Community Service Program includes the Office of Fire Prevention and Control which works with paid and volunteer fire companies on arson investigations and the handling of hazardous material, and the Division of Code Enforcement and Administration which administers New York's building and energy code. In addition to these activities, staff provide ombudsman services to citizens, offer planning and management services to local governments through the Office for Local Government, support land use planning activities in the New York City/Catskill Watershed, coordinate New York's coastal resources and waterfront revitalization activities, provide low interest loans to fire and ambulance companies through the Emergency Services Revolving Loan Program and administer the Department's federal grant programs, including the Appalachian Regional Commission and Community Services Block Grants.

# STATE

- The Business and Licensing Services Program provides information on credit and debt for individuals, businesses and corporations; tracks all certificates of incorporation; administers qualifying examinations and licensing of 16 occupations; and oversees the operation of almost 1,900 cemeteries.
- The Administration Program provides the basic executive direction, fiscal, personnel and electronic data processing activities that support the Department's operations.

Additionally, the Department's budget contains funds for the Lake George Park Commission, the State Ethics Commission, the State Athletic Commission, the Commission on Uniform State Laws, and the Tug Hill Commission.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$48,777,800	\$59,375,100	+\$10,597,300	\$7,422,600
Aid To Localities .....	77,007,673	49,200,000	-27,807,673	35,000,000
Capital Projects .....	1,317,000	348,000	-969,000	1,444,000
<b>Total .....</b>	<b>\$127,102,473</b>	<b>\$108,923,100</b>	<b>-\$18,179,373</b>	<b>\$43,866,600</b>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

2000-01 Recommended Average Fill Level

Program	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	Change
Administration					
General Fund .....	48	48	....	48	....
Clean Water/Clean Air Administration					
Capital Projects Funds - Other .....	6	6	....	6	....
Lake George Park Commission					
Special Revenue Funds - Other .....	10	10	....	10	....
Licensing Services					
General Fund .....	17	17	....	17	....
Special Revenue Funds - Other .....	412	432	....	432	+20
Local Government and Community Services					
General Fund .....	45	55	....	55	+10
Special Revenue Funds - Federal .....	75	75	....	75	....
Special Revenue Funds - Other .....	17	17	....	17	....
Expendable Trust Funds .....	2	2	....	2	....
State Ethics Commission					
General Fund .....	22	22	....	22	....
Tug Hill Commission					
General Fund .....	16	16	....	16	....
<b>Subtotal, Direct Funded Programs .....</b>	<b>670</b>	<b>700</b>	<b>....</b>	<b>700</b>	<b>+30</b>
Suballocations:					
General Fund .....	4			4	....
Special Revenue Funds - Federal .....	3			3	....
Special Revenue Funds - Other .....	139			139	....
Capital Projects Funds - Other .....	4			4	....
<b>Total .....</b>	<b>820</b>			<b>850</b>	<b>+30</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$15,213,500	\$18,386,800	+\$3,173,300
Special Revenue Funds - Federal .....	6,215,000	6,985,000	+770,000
Special Revenue Funds - Other .....	27,349,300	32,003,300	+4,654,000
Fiduciary Funds .....	.....	2,000,000	+2,000,000
<b>Total .....</b>	<b>\$48,777,800</b>	<b>\$59,375,100</b>	<b>+\$10,597,300</b>
Adjustments:			
Transfer(s) From			
State Police, Division of			
General Fund .....	-40,000		
Appropriated 1999-00 .....	<u>\$48,737,800</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Administration			
General Fund .....	\$4,298,000	\$4,639,100	+\$341,100
Lake George Park Commission			
Special Revenue Funds - Other .....	954,000	1,000,800	+46,800
Licensing Services			
General Fund .....	641,300	646,700	+5,400
Special Revenue Funds - Other .....	23,775,900	28,722,400	+4,946,500
Local Government and Community Services			
General Fund .....	8,007,900	10,526,800	+2,518,900
Special Revenue Funds - Federal .....	6,215,000	6,985,000	+770,000
Special Revenue Funds - Other .....	2,606,800	2,267,500	-339,300
Fiduciary Funds .....	.....	2,000,000	+2,000,000
State Ethics Commission			
General Fund .....	1,460,000	1,734,500	+274,500
Tug Hill Commission			
General Fund .....	806,300	839,700	+33,400
Special Revenue Funds - Other .....	12,600	12,600	.....
<b>Total .....</b>	<b>\$48,777,800</b>	<b>\$59,375,100</b>	<b>+\$10,597,300</b>

# STATE

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$3,073,900	+\$307,300	\$3,018,700	+\$305,500	\$39,300	+\$1,300
Licensing Services .....	553,000	+5,400	552,100	+5,400	.....	.....
Local Government and Community Services .....	2,578,100	+364,800	2,572,300	+364,600	5,800	+200
State Ethics Commission .....	1,176,100	+8,500	1,175,800	+8,500	.....	.....
Tug Hill Commission .....	712,600	+13,400	705,700	+13,200	6,900	+200
<b>Total .....</b>	<b>\$8,093,700</b>	<b>+\$699,400</b>	<b>\$8,024,600</b>	<b>+\$697,200</b>	<b>\$52,000</b>	<b>+\$1,700</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration .....	\$15,900	+\$500
Licensing Services .....	900	.....
State Ethics Commission .....	300	.....
<b>Total .....</b>	<b>\$17,100</b>	<b>+\$500</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$1,565,200	+\$33,800	\$210,000	.....
Licensing Services .....	93,700	.....	10,400	.....
Local Government and Community Services .....	7,948,700	+2,154,100	29,700	+\$15,000
State Ethics Commission .....	558,400	+266,000	20,100	.....
Tug Hill Commission .....	127,100	+20,000	12,700	.....
<b>Total .....</b>	<b>\$10,293,100</b>	<b>+\$2,473,900</b>	<b>\$282,900</b>	<b>+\$15,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$40,000	.....	\$1,078,500	+\$30,000
Licensing Services .....	1,100	.....	78,700	.....
Local Government and Community Services .....	164,300	+\$33,000	585,600	+217,000
State Ethics Commission .....	20,000	.....	382,500	+166,000
Tug Hill Commission .....	7,900	.....	104,400	+20,000
<b>Total .....</b>	<b>\$233,300</b>	<b>+\$33,000</b>	<b>\$2,229,700</b>	<b>+\$433,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$143,700	.....	\$93,000	+\$3,800
Licensing Services .....	3,500	.....	.....	.....
Local Government and Community Services .....	169,100	+\$139,100	7,000,000	+1,750,000
State Ethics Commission .....	135,800	+100,000	.....	.....
Tug Hill Commission .....	2,100	.....	.....	.....
<b>Total .....</b>	<b>\$454,200</b>	<b>+\$239,100</b>	<b>\$7,093,000</b>	<b>+\$1,753,800</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Lake George Park Commission . . .	\$1,000,800	+\$46,800	\$517,600	+\$34,100
Licensing Services . . . . .	28,722,400	+4,946,500	15,087,000	+1,159,100
Local Government and Community Services . . . . .	11,252,500	+2,430,700	4,502,900	+184,800
Tug Hill Commission . . . . .	12,600	....	....	....
<b>Total . . . . .</b>	<b>\$40,988,300</b>	<b>+\$7,424,000</b>	<b>\$20,107,500</b>	<b>+\$1,378,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Lake George Park Commission . . .	\$483,200	+\$12,700	....	....
Licensing Services . . . . .	13,635,400	+3,787,400	....	....
Local Government and Community Services . . . . .	3,999,600	+41,500	\$2,750,000	+\$2,204,400
Tug Hill Commission . . . . .	12,600	....	....	....
<b>Total . . . . .</b>	<b>\$18,130,800</b>	<b>+\$3,841,600</b>	<b>\$2,750,000</b>	<b>+\$2,204,400</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund . . . . .	\$27,957,673	....	-\$27,957,673
Special Revenue Funds - Federal . . . . .	45,150,000	\$43,000,000	-2,150,000
Special Revenue Funds - Other . . . . .	300,000	3,300,000	+3,000,000
Fiduciary Funds . . . . .	3,600,000	2,900,000	-700,000
<b>Total . . . . .</b>	<b>\$77,007,673</b>	<b>\$49,200,000</b>	<b>-\$27,807,673</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
Licensing Services Special Revenue Funds - Other . . . . .	\$300,000	\$300,000	....
Local Government and Community Services General Fund . . . . .	2,975,000	....	-\$2,975,000
Special Revenue Funds - Federal . . . . .	45,150,000	43,000,000	-2,150,000
Special Revenue Funds - Other . . . . .	....	3,000,000	+3,000,000
Fiduciary Funds . . . . .	3,600,000	2,900,000	-700,000
Community Projects General Fund . . . . .	24,982,673	....	-24,982,673
<b>Total . . . . .</b>	<b>\$77,007,673</b>	<b>\$49,200,000</b>	<b>-\$27,807,673</b>



**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations 2000-01</u>
Design and Construction Supervision				
Capital Projects Fund .....	\$240,000	....	-\$240,000	\$365,000
Office of Fire Prevention and Control				
Capital Projects Fund .....	729,000	....	-729,000	1,079,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund .....	348,000	\$348,000	....	....
Total .....	<u>\$1,317,000</u>	<u>\$348,000</u>	<u>-\$969,000</u>	<u>\$1,444,000</u>

# **DEPARTMENT OF TAXATION AND FINANCE**

## **MISSION**

The Department of Taxation and Finance administers the State's taxes and related local taxes and manages the State Treasury. In fulfilling its responsibilities under the State's Tax Laws, the Department collects approximately \$39.6 billion in State revenue and approximately \$21.3 billion in local taxes, including New York City and the City of Yonkers income taxes, on behalf of municipalities.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner who is appointed by the Governor and confirmed by the Senate. It fulfills its mission through 11 programs: Administration, Revenue Support, Office of the Counsel, Tax Policy and Analysis, Tax Enforcement, Tax Compliance, Treasury Management, Audit, Revenue and Information Management, Taxpayer Services and the Office of Conciliation and Mediation. The Department of Taxation and Finance will have a workforce of 5,419 positions in 2000-01, of which 4,995 will be funded by State tax dollars in the General Fund.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

In 2000-01, the Department will be financed primarily with State tax dollars from the General Fund, which support its revenue generation, collection, and administration programs. The Executive Budget recommends \$383.2 million to support the Department's operating budget. This amount includes \$280.2 million in General Fund support, which will finance 73.1 percent of the Department's operations, and which will be supplemented by fee income of \$34.5 million and Federal funding of \$500,000. Fee income will support costs associated with the collection of personal income taxes for New York City, and financial and investment services for certain State agencies and public benefit corporations. The Budget further recommends \$68 million for the Banking Services Fund. The Fund pays banking institutions for certain services related to administering personal income and other taxes.

## **PROGRAM HIGHLIGHTS**

Tax and Finance Department employees are responsible for providing equitable and efficient service to taxpayers. The Department is organized along functional lines to support a high level of taxpayer service:

- **Administration:** This program includes the Department's central policy direction and oversight functions. Activities include fiscal management, human resources/payroll, internal audit, management services and public information.
- **Revenue Support:** This program provides essential support services for the Department, including managing office and warehouse space, developing and printing tax forms and instructions, and mailing tax liability notices, refunds and other tax forms.
- **Office of the Counsel:** This Office prepares regulations, interprets statutes, manages litigation, and drafts and reviews proposed legislation. The Office is involved in resolving taxpayer protests and litigation, and maintains coordination between the Department, the Department of Law and the Division of Tax Appeals.
- **Tax Policy and Analysis:** This program estimates the revenues expected to be produced by each tax, assesses the impact of different tax structures and tax

## TAXATION AND FINANCE

---

- proposals on the State's economy, reviews tax policies and legislation, and prepares descriptive and analytical studies.
- **Tax Enforcement:** This program identifies and investigates alleged evasion of the State tax code. Staff assigned to this program work with Federal, State and local law enforcement officials in the prosecution of tax fraud and tax evasion cases.
  - **Tax Compliance:** This is the State's largest accounts receivable program, collecting delinquent State and local taxes. Computer-generated billings and an automated telephone collection system are used in collection activities.
  - **Audit:** The Audit Division ensures that voluntarily remitted taxes are accurate and complete. The Division plans, conducts and evaluates desk and field audits, increasingly with the aid of technology.
  - **Revenue and Information Management:** This program contains the Department's information management, tax processing and tax accounting functions. It supports the collection of an estimated \$60.9 billion in State and local voluntary and non-voluntary tax collections.
  - **Taxpayer Services:** This program assists taxpayers in fulfilling their tax obligations by developing and distributing tax information, advice and instructions.
  - **Office of Conciliation and Mediation:** This program offers taxpayers the option of informally resolving disputes with the Department.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$368,880,650	\$382,435,000	+\$13,554,350	....
Aid To Localities .....	750,000	750,000	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$369,630,650</u>	<u>\$383,185,000</u>	<u>+\$13,554,350</u>	<u>....</u>

## TAXATION AND FINANCE

### ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration					
General Fund	95	93	....	93	-2
Audit					
General Fund	1,978	1,945	....	1,945	-33
Office of Conciliation and Mediation					
General Fund	35	35	....	35	....
Counsel					
General Fund	78	77	....	77	-1
Tax Policy and Analysis					
General Fund	36	35	....	35	-1
Revenue and Information Management					
General Fund	1,753	1,655	....	1,655	-98
Special Revenue Funds - Other	392	379	....	379	-13
Revenue Support Services					
General Fund	71	70	....	70	-1
Tax Compliance					
General Fund	835	821	....	821	-14
Tax Enforcement					
General Fund	123	131	....	131	+8
Taxpayer Services					
General Fund	135	133	....	133	-2
Treasury Management					
Special Revenue Funds - Other	37	36	....	36	-1
Subtotal, Direct Funded Programs	<u>5,568</u>	<u>5,410</u>	<u>....</u>	5,410	-158
Suballocations:					
Special Revenue Funds - Federal	9			9	....
Total	<u>5,577</u>			<u>5,419</u>	<u>-158</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund	\$273,424,650	\$279,468,000	+\$6,043,350
Special Revenue Funds - Federal	300,000	500,000	+200,000
Special Revenue Funds - Other	32,761,000	34,492,000	+1,731,000
Internal Service Funds	62,395,000	67,975,000	+5,580,000
Total	<u>\$368,880,650</u>	<u>\$382,435,000</u>	<u>+\$13,554,350</u>
Adjustments:			
Transfer(s) To			
Internal Service Funds	+1,310,000		
Appropriated 1999-00	<u>\$370,190,650</u>		

# TAXATION AND FINANCE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration			
General Fund	\$5,115,000	\$5,156,000	+\$41,000
Audit			
General Fund	98,598,000	101,747,000	+3,149,000
Banking Services			
Internal Service Funds	62,395,000	67,975,000	+5,580,000
Office of Conciliation and Mediation			
General Fund	2,118,000	2,135,000	+17,000
Counsel			
General Fund	4,695,000	4,733,000	+38,000
Tax Policy and Analysis			
General Fund	2,025,000	2,041,000	+16,000
Revenue and Information Management			
General Fund	80,723,000	83,007,000	+2,284,000
Special Revenue Funds - Federal	300,000	.....	-300,000
Special Revenue Funds - Other	30,758,000	32,473,000	+1,715,000
Revenue Support Services			
General Fund	30,215,000	30,809,000	+594,000
Tax Compliance			
General Fund	33,014,650	32,282,000	-732,650
Tax Enforcement			
General Fund	7,801,000	8,364,000	+563,000
Special Revenue Funds - Federal	.....	500,000	+500,000
Taxpayer Services			
General Fund	9,120,000	9,194,000	+74,000
Treasury Management			
Special Revenue Funds - Other	2,003,000	2,019,000	+16,000
<b>Total</b>	<b>\$368,880,650</b>	<b>\$382,435,000</b>	<b>+\$13,554,350</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration	\$4,747,000	+\$38,000	\$4,709,000	+\$38,000	.....	.....
Audit	85,218,000	+2,173,000	84,253,000	+2,165,000	\$842,000	+\$7,000
Office of Conciliation and Mediation	2,040,000	+16,000	2,022,000	+16,000	.....	.....
Counsel	4,605,000	+37,000	4,385,000	+35,000	215,000	+2,000
Tax Policy and Analysis	2,018,000	+16,000	1,934,000	+15,000	81,000	+1,000
Revenue and Information Management	58,376,000	-2,659,000	55,318,000	-2,684,000	2,468,000	+20,000
Revenue Support Services	4,043,000	+33,000	3,544,000	+29,000	496,000	+4,000
Tax Compliance	28,740,000	+231,000	28,690,000	+231,000	.....	.....
Tax Enforcement	6,683,000	+476,000	6,659,000	+476,000	16,000	.....
Taxpayer Services	6,855,000	+55,000	5,882,000	+47,000	969,000	+8,000
<b>Total</b>	<b>\$203,325,000</b>	<b>+\$416,000</b>	<b>\$197,396,000</b>	<b>+\$368,000</b>	<b>\$5,087,000</b>	<b>+\$42,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	\$38,000	.....
Audit	123,000	+\$1,000
Office of Conciliation and Mediation	18,000	.....
Counsel	5,000	.....
Tax Policy and Analysis	3,000	.....
Revenue and Information Management	590,000	+5,000
Revenue Support Services	3,000	.....
Tax Compliance	50,000	.....
Tax Enforcement	8,000	.....
Taxpayer Services	4,000	.....
<b>Total</b>	<b>\$842,000</b>	<b>+\$6,000</b>

## TAXATION AND FINANCE

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration .....	\$409,000	+\$3,000	\$291,000	+\$2,000
Audit .....	16,529,000	+976,000	32,000	....
Office of Conciliation and Mediation .....	95,000	+1,000	4,000	....
Counsel .....	128,000	+1,000	8,000	....
Tax Policy and Analysis .....	23,000	....	5,000	....
Revenue and Information Management .....	24,631,000	+4,943,000	1,777,000	+429,000
Revenue Support Services .....	26,766,000	+561,000	151,000	+1,000
Tax Compliance .....	3,542,000	-963,650	279,000	+2,000
Tax Enforcement .....	1,681,000	+87,000	11,000	....
Taxpayer Services .....	2,339,000	+19,000	71,000	+1,000
<b>Total .....</b>	<b>\$76,143,000</b>	<b>+\$5,627,350</b>	<b>\$2,629,000</b>	<b>+\$435,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration .....	\$5,000	....	\$74,000	+\$1,000
Audit .....	4,196,000	+\$877,000	11,141,000	+90,000
Office of Conciliation and Mediation .....	70,000	+1,000	21,000	....
Counsel .....	30,000	....	88,000	+1,000
Tax Policy and Analysis .....	6,000	....	10,000	....
Revenue and Information Management .....	116,000	+28,000	20,230,000	+4,882,000
Revenue Support Services .....	6,000	....	26,609,000	+560,000
Tax Compliance .....	604,000	+5,000	2,017,000	-975,650
Tax Enforcement .....	592,000	+78,000	995,000	+8,000
Taxpayer Services .....	10,000	....	2,255,000	+18,000
<b>Total .....</b>	<b>\$5,635,000</b>	<b>+\$989,000</b>	<b>\$63,440,000</b>	<b>+\$4,584,350</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration .....	\$39,000	....	....	....
Audit .....	1,160,000	+\$9,000	....	....
Counsel .....	2,000	....	....	....
Tax Policy and Analysis .....	2,000	....	....	....
Revenue and Information Management .....	1,653,000	+399,000	\$855,000	-\$795,000
Tax Compliance .....	642,000	+5,000	....	....
Tax Enforcement .....	83,000	+1,000	....	....
Taxpayer Services .....	3,000	....	....	....
<b>Total .....</b>	<b>\$3,584,000</b>	<b>+\$414,000</b>	<b>\$855,000</b>	<b>-\$795,000</b>

# TAXATION AND FINANCE

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Banking Services .....	\$67,975,000	+\$5,580,000	....	....
Revenue and Information Management .....	32,473,000	+1,415,000	\$16,300,000	-\$80,000
Tax Enforcement .....	500,000	+500,000	....	....
Treasury Management .....	2,019,000	+16,000	1,345,000	+11,000
<b>Total .....</b>	<b>\$102,967,000</b>	<b>+\$7,511,000</b>	<b>\$17,645,000</b>	<b>-\$69,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Banking Services .....	....	....	\$67,975,000	+\$5,580,000
Revenue and Information Management .....	\$16,173,000	+\$1,795,000	....	-300,000
Tax Enforcement .....	....	....	500,000	+500,000
Treasury Management .....	674,000	+5,000	....	....
<b>Total .....</b>	<b>\$16,847,000</b>	<b>+\$1,800,000</b>	<b>\$68,475,000</b>	<b>+\$5,780,000</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$750,000	\$750,000	....
<b>Total .....</b>	<b>\$750,000</b>	<b>\$750,000</b>	<b>....</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration General Fund .....	\$750,000	\$750,000	....
<b>Total .....</b>	<b>\$750,000</b>	<b>\$750,000</b>	<b>....</b>

# DIVISION OF TAX APPEALS

## MISSION

The Division of Tax Appeals provides taxpayers with a system of due process for resolving disputes with the Department of Taxation and Finance. The separation of tax administration from tax adjudication promotes the impartial and timely hearing of taxpayer disputes.

## ORGANIZATION AND STAFFING

The Division of Tax Appeals is headed by the Tax Appeals Tribunal, which is comprised of three commissioners appointed by the Governor and confirmed by the Senate. Under the direction of the Tax Tribunal, dispute adjudication is provided through small claims hearings, formal hearings and the Tribunal appeals process. The Division holds formal hearings and Tax Tribunal oral arguments in Troy, New York City, Buffalo, Rochester and Hauppauge, while small claims hearings are conducted throughout the State. The Division will have a workforce of 37 positions for 2000-01.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Division's activities are supported entirely with State tax dollars, which finance the Tribunal's staff and other expenses such as rent and supplies.

The Executive Budget recommends \$3.176 million in annual General Fund support for the Division. This recommendation will enable the Tribunal to continue to provide for the timely resolution of taxpayer disputes with the Department of Taxation and Finance.

## PROGRAM HIGHLIGHTS

The Division's hearing process has been substantially improved in recent years to benefit taxpayers. These improvements have allowed taxpayers more flexibility in scheduling hearings, thus minimizing delays caused by sudden cancellations. Since 1998-99, there has been a 26 percent reduction in case inventory.

Since January 1997, the Division has conducted formal hearings in New York City to provide easier access for taxpayers in the New York City metropolitan area. Recently, the Division expanded this initiative to Buffalo, Rochester and Hauppauge. At these locations, the Division utilizes existing State office space, thus providing improved service at nominal additional cost.

### ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$3,176,000	\$3,176,000	....	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$3,176,000</u>	<u>\$3,176,000</u>	<u>....</u>	<u>....</u>



# TAX APPEALS

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Administration General Fund .....	37	37	....	37	....
Total .....	37	37	....	37	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$3,176,000	\$3,176,000	....
Total .....	\$3,176,000	\$3,176,000	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1999-00	Recommended 2000-01	Change
Administration General Fund .....	\$3,176,000	\$3,176,000	....
Total .....	\$3,176,000	\$3,176,000	....

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$2,681,000	....	\$2,525,000	....	\$156,000	....
Total .....	\$2,681,000	....	\$2,525,000	....	\$156,000	....

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$495,000	....	\$38,000	....
Total .....	<u>\$495,000</u>	<u>....</u>	<u>\$38,000</u>	<u>....</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration .....	\$55,000	....	\$344,000	....
Total .....	<u>\$55,000</u>	<u>....</u>	<u>\$344,000</u>	<u>....</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration .....	\$58,000	....
Total .....	<u>\$58,000</u>	<u>....</u>



# **OFFICE FOR TECHNOLOGY**

## **MISSION**

The Office for Technology, formerly the Governor's Task Force on Information Resource Management, was statutorily created in 1997. The Office is responsible for planning and coordinating the State's investment in information technology in consultation with an Advisory Council for Technology consisting of representatives of State agencies and the Legislature. In carrying out this mission, the Office works to accomplish three objectives: achieving financial efficiencies; improving communication between State and local agencies; and making it easier for citizens and the private sector to do business with New York.

## **ORGANIZATION AND STAFFING**

The Office is located in Albany and has a staff of 458 for 2000-01. It is supported with State tax dollars from the General Fund and payments from other State agencies.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2000-01 General Fund recommendation of \$55.5 million includes \$1.9 million to maintain current staffing levels and support ongoing agency efforts. A total of \$32.4 million is also recommended for payments on Certificates of Participation for already completed programming and other changes to make selected computer systems Year 2000 compliant. Additional recommendations include:

- Elimination of \$39 million in General Fund appropriations to reflect completion of Year 2000 compliance activities.
- A new \$93.2 million Internal Service Fund for operation of the consolidated State Data Center. This fund will support 436 positions transferred primarily from State agencies and the cost of upgrading and operating the Center's computers.
- A \$20 million General Fund appropriation for the renovation of space to house the Data Center.
- A \$16.8 million Internal Service Fund appropriation for the New York Intranet (NYT). This fund will be supported with fees charged to State and local users of the NYT.

A \$19 million Internal Service Fund appropriation is recommended for the Office for Technology to coordinate the development of computer systems that will be used by various agencies and statewide enterprise agreements.

## **PROGRAM HIGHLIGHTS**

Since its inception as a Task Force in 1996, the Office has been actively involved in designing and implementing statewide policies and practices to govern the management of information technologies. One of the early products of the Office was an agenda created to guide the State's technology activities over the next five years. The agenda, released in 1996, identified five priorities: the need for statewide policies and direction to guide the State's technology efforts; greater coordination and sharing of information among agencies involved in projects having multi-agency implications; reducing duplication of efforts by encouraging data sharing; coordinating technology purchases; and creating a statewide "intranet" to link State and local agencies.

A wide variety of activities are underway to implement this agenda. The Office has issued 33 "Technical Policy Bulletins" that give State agencies policy guidance on such topics as data security and the electronic exchange of data. Under the auspices of the Office, several inter-agency work groups are also developing or have developed technology-related

# TECHNOLOGY

productivity initiatives that involve such topics as the use of office systems improvements and imaging technology to increase productivity and achieve savings.

The Office for Technology is also taking important steps to improve the State's management of technology services. One of the Office's top priorities is the consolidation of the State's data centers. A total of 19 separate data centers are being consolidated into a single operation, which will improve computing services for 17 agencies. Among other benefits, the consolidation has resulted in stronger management of the State's data centers, as demonstrated by greater coordination of purchases of sophisticated equipment.

Another priority is the installation of a new statewide telecommunications network, known as the New York Intranet (NYT), that will provide State and local governments with more reliable and less costly data, voice and video communications. When fully operational, the NYT will improve service delivery, reduce costs, and increase reliability through use of a fiber optic cable network currently being installed along the Thruway Authority's right-of-way. This network will also have greater capacity to transmit data, provide local entities and citizens with easier access to State government and facilitate increased interagency cooperation and data-sharing.

The Office will also be responsible for overseeing the operation of the Human Services Application Service Center. This Center is part of the new Welfare Management System currently being developed by the Office of Temporary and Disability Assistance, the Department of Labor, the Office of Children and Family Services and the Department of Health.

## ALL FUNDS APPROPRIATIONS

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$129,083,000	\$184,479,300	+\$55,396,300	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$129,083,000</u>	<u>\$184,479,300</u>	<u>+\$55,396,300</u>	<u>....</u>

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Technology					
General Fund .....	22	22	....	22	....
Internal Service Funds .....	....	....	436	436	+436
Total .....	<u>22</u>	<u>22</u>	<u>436</u>	<u>458</u>	<u>+436</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$99,017,300	\$55,509,700	-\$43,507,600
Internal Service Funds .....	30,065,700	128,969,600	+98,903,900
<b>Total .....</b>	<b>\$129,083,000</b>	<b>\$184,479,300</b>	<b>+\$55,396,300</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Technology			
General Fund .....	\$99,017,300	\$55,509,700	-\$43,507,600
Internal Service Funds .....	30,065,700	128,969,600	+98,903,900
<b>Total .....</b>	<b>\$129,083,000</b>	<b>\$184,479,300</b>	<b>+\$55,396,300</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology .....	\$1,634,400	+\$348,100	\$1,629,200	+\$348,100	\$5,200	.....
<b>Total .....</b>	<b>\$1,634,400</b>	<b>+\$348,100</b>	<b>\$1,629,200</b>	<b>+\$348,100</b>	<b>\$5,200</b>	<b>.....</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology .....	\$53,875,300	-\$43,855,700	\$20,000	.....
<b>Total .....</b>	<b>\$53,875,300</b>	<b>-\$43,855,700</b>	<b>\$20,000</b>	<b>.....</b>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology .....	\$25,000	.....	\$32,569,300	+\$6,391,300
<b>Total .....</b>	<b>\$25,000</b>	<b>.....</b>	<b>\$32,569,300</b>	<b>+\$6,391,300</b>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology .....	\$46,000	.....	\$21,215,000	-\$50,247,000
<b>Total .....</b>	<b>\$46,000</b>	<b>.....</b>	<b>\$21,215,000</b>	<b>-\$50,247,000</b>

**TECHNOLOGY**

---

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total Amount</u>	<u>Change</u>	<u>Maintenance Undistributed Amount</u>	<u>Change</u>
Technology .....	\$128,969,600	+\$98,903,900	\$128,969,600	+\$98,903,900
Total .....	<u>\$128,969,600</u>	<u>+\$98,903,900</u>	<u>\$128,969,600</u>	<u>+\$98,903,900</u>

***MISCELLANEOUS***





# MISCELLANEOUS

## ALL STATE APPROPRIATION FOR SERVICES, EXPENSES OR GRANTS

ALL FUNDS APPROPRIATIONS				
Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	\$4,000,000	.....	-\$4,000,000	\$4,508,000
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$4,000,000</u>	<u>.....</u>	<u>-\$4,000,000</u>	<u>\$4,508,000</u>

## COLLECTIVE BARGAINING AGREEMENTS

### PROGRAM HIGHLIGHTS

The recommendations for the Collective Bargaining Agreements include funding for the recently-ratified agreement with the United University Professions (UUP) and for selected programs funded under previous agreements with other employee unions. The amounts recommended include \$2 million for labor/management initiatives under the UUP agreement and \$8 million for such purposes as Day Care Centers, Employee Assistance Programs and the Dependent Care Advantage Program. A total of \$3.7 million in reappropriations are also recommended.

A total of \$260,000 in Special Revenue-Other funding is recommended for the administrative costs of the Dependent Care Advantage Program. These costs are funded by those employees who participate in this program, which allows participating employees to make pre-tax payroll deductions for child and elder care expenses.

ALL FUNDS APPROPRIATIONS				
Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,233,000	\$10,298,000	+\$8,065,000	\$3,724,000
Aid To Localities .....	.....	.....	.....	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$2,233,000</u>	<u>\$10,298,000</u>	<u>+\$8,065,000</u>	<u>\$3,724,000</u>

# MISCELLANEOUS

## ALL FUND TYPES LEVELS OF EMPLOYMENT BY PROGRAM ANNUAL SALARIED POSITIONS

Program	2000-01 Recommended Average Fill Level				Change
	Available 1999-00	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Negotiated Agreements General Fund .....	60	....	60	60	....
Total .....	60	....	60	60	....

## DEFERRED COMPENSATION BOARD

### MISSION

The Deferred Compensation Board oversees the administration of public employee Deferred Compensation Plan assets.

### ORGANIZATION AND STAFFING

The Board consists of three members, one each appointed by the Governor, the Senate Majority Leader and the Assembly Speaker. The Board contracts with a law firm, a financial management firm, and an accounting firm which collectively advise the Board on fund administration. In addition, the Board contracts with a third-party administrator to operate the Plan and serve as its record keeper.

### FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Executive Budget recommendations for 2000-01 will provide continued support for the current operations of the Deferred Compensation Board. The recommended funding for 2000-01 consists of \$150,000 in State tax dollars from the General Fund for the costs of providing legal advice and assistance to local governments on the establishment and maintenance of deferred compensation plans. The balance of funds needed to operate the Plan are derived from a participant fee and administrative rebates that the Plan receives from the investment firms. An amount of \$500,000 in Special Revenue funding is included to pay for the Plan's operating expenses.

### PROGRAM HIGHLIGHTS

The Board continues to pursue the highest and safest return for Plan assets that total more than \$4.7 billion. In 1998, the Board made substantial changes by expanding the investment options available to participants and improving communication through the establishment of a web site which will allow transactional processing by participants in the 2000-01 fiscal year. The Board recently received an award by the National Association of Government Deferred Compensation Plan Administrators for improvements made to the New York State Plan. The Board will continue to provide guidance to local governments on compliance issues related to Federal statutory changes and the State's Model Deferred Compensation Plan. The Board will also continue to seek ways to improve the statewide Deferred Compensation Plan for public employees.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$150,000	\$650,000	+\$500,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b><u>\$150,000</u></b>	<b><u>\$650,000</u></b>	<b><u>+\$500,000</u></b>	<b><u>....</u></b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Operations			
General Fund .....	\$150,000	\$150,000	....
Special Revenue Funds - Other .....	....	500,000	+\$500,000
<b>Total .....</b>	<b><u>\$150,000</u></b>	<b><u>\$650,000</u></b>	<b><u>+\$500,000</u></b>

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$971,000	....	-\$971,000
<b>Total .....</b>	<b><u>\$971,000</u></b>	<b><u>....</u></b>	<b><u>-\$971,000</u></b>

**EMERGENCY HIGHWAY CONSTRUCTION  
AND RECONSTRUCTION**

This appropriation provides the legal authorization for payment from the Local Assistance Account of the General Fund to the Emergency Highway Construction and Reconstruction Fund for amounts which may be certified as necessary by the Commissioner of Taxation and Finance under the terms of a cooperative highway contractual agreement.

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$276,000,000	\$301,000,000	+\$25,000,000
<b>Total .....</b>	<b><u>\$276,000,000</u></b>	<b><u>\$301,000,000</u></b>	<b><u>+\$25,000,000</u></b>

## MISCELLANEOUS

---

### **EMERGENCY HIGHWAY RECONDITIONING AND PRESERVATION**

This appropriation provides the legal authorization for payment from the Local Assistance Account of the General Fund to the Emergency Highway Reconditioning and Preservation Fund for amounts which may be certified as necessary by the Commissioner of Taxation and Finance under the terms of a cooperative highway contractual agreement.

#### **AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$208,600,000	\$233,600,000	+\$25,000,000
Total .....	<u>\$208,600,000</u>	<u>\$233,600,000</u>	<u>+\$25,000,000</u>

### **GENERAL STATE CHARGES**

General State Charges are primarily fringe benefit costs mandated by statute or collective bargaining agreement for employees of the executive and legislative branches. Fringe benefits for employees of the judicial branch are budgeted separately in the Judiciary budget. General State Charges also include certain fixed cost items such as taxes on certain State-owned lands, judgements against the State, and defense and indemnification of State employees.

### **BUDGET AND PROGRAM HIGHLIGHTS**

The recommended 2000-01 appropriation of \$2.17 billion for General State Charges reflects continuing emphasis on the control of fringe benefit cost increases and improvements in the management and efficiency of employee benefit programs. The major fringe benefit and fixed cost components of General State Charges are described below.

#### **FRINGE BENEFITS**

The State provides a comprehensive fringe benefits package to its employees which includes pension and social security benefits, health and dental insurance, workers' compensation and unemployment insurance, survivors' benefits, disability insurance for Management/Confidential employees, and other union-specific benefits. These benefits are supported primarily by General Fund tax revenues which are supplemented by receipts from Federal and other non-general funds. A total of \$250 million in revenue due to the dissolution of the Medical Malpractice Insurance Association will be available to support employee fringe benefits in the 2000-01 fiscal year. Major fringe benefits include:

**Health Insurance:** Through the New York State Health Insurance Program (NYSHIP), State employees have the option to participate in either the Empire Plan, a custom-designed indemnity insurance plan, or one of 19 health maintenance organizations (HMOs). Approximately 75 percent of State employees choose the Empire Plan for hospital, physician, mental health, substance abuse and prescription drug services. Currently, the State pays 90 percent of the cost of Empire Plan premiums for individuals and 75 percent of the additional cost of dependent coverage.

The recommended 2000-01 Health Insurance appropriation of \$1.09 billion reflects a 13.4 percent increase in the 2000 health insurance premium rates. This premium change is primarily attributable to increased costs for prescription drugs. In an effort to contain these costs, co-pay changes were implemented on January 1, 2000 for employees represented by the United University Professions, Management/ Confidential employees, legislative and judicial employees, retirees and local government employees. Co-pay changes for other State employees will await collective bargaining agreements.

**Pension Benefits:** The New York State and Local Retirement Systems, with approximately \$111 billion in assets, comprise the New York State and Local Employees' Retirement System (ERS) and the New York State and Local Police and Fire Retirement System (PFRS). These systems provide a variety of retirement benefits to State employees. Funding for these benefits is provided by annual State contributions to the retirement systems, bi-weekly contributions of 3 percent of salary from most employees, and investment earnings on those contributions. The annual State contribution is calculated by the retirement systems' actuary using a designated actuarial cost method.

The recommended 2000-01 appropriation for the State's annual contribution to the retirement systems is \$80.4 million.

**Social Security:** In addition to the pension benefits offered through the State retirement systems, the State makes weekly payments to the Federal government for Social Security and Medicare. The State contributes approximately 7.65 percent of eligible salaries toward these benefits.

The recommended 2000-01 appropriation for Social Security and Medicare benefits is \$465.1 million.

**Workers' Compensation:** The State reimburses the State Insurance Fund on a pay-as-you-go basis for actual medical and compensation claims incurred by State employees for on-the-job injuries. The statutory workers' compensation benefit is two-thirds of salary up to a maximum of \$400 per week.

The recommended 2000-01 appropriation for workers' compensation is \$180.0 million. In an effort to control program costs, the State will continue implementation of an automated Accident Reporting System.

**Employee Benefit Funds:** Some of the unions representing State employees operate benefit funds which provide dental, vision and other ancillary services to their members in lieu of benefits provided by the State directly or through the NYSHIP. These funds are supported by quarterly payments from the State based on collectively negotiated per capita rates.

The recommended 2000-01 appropriation for these funds is \$42.4 million.

**Dental Insurance:** The New York State Dental Insurance program provides coverage for eligible employees in the Security Services and Security Supervisors units, the Public Employees' Federation, the State Police units, and the Management/Confidential group. The State makes monthly contributions to provide this coverage.

The recommended 2000-01 appropriation for dental insurance is \$45.0 million.

**Unemployment Insurance:** The State reimburses the Department of Labor's Unemployment Insurance Fund on a pay-as-you-go basis for the State's actual unemployment claims. The statutory weekly benefit is 50 percent of average weekly wages, payable over a period not to exceed 26 weeks. The maximum weekly benefit will increase from \$365 to approximately \$400 effective September 4, 2000.

The recommended 2000-01 appropriation for unemployment insurance is \$7.1 million.

## **FIXED COSTS**

The fixed costs portion of General State Charges primarily includes taxes on certain State-owned lands, judgements against the State in the Court of Claims, costs for the defense and indemnification of State employees pursuant to the Public Officers Law and other

## MISCELLANEOUS

settlements. These costs are supported in full by General Fund revenues. Major components of fixed costs include:

**Taxes on State-Owned Lands:** Under the Real Property Tax Law, local governments are authorized to tax certain parcels of State-owned land. Presently, the State provides financial support to local governments by paying local and school property taxes on approximately 3.8 million acres of land throughout the State as well as transition assessments on tax-exempt State-owned lands.

The recommended 2000-01 appropriation for payments to local governments for taxes on State-owned lands is \$107.3 million.

**Court of Claims Judgements:** Annual appropriations are provided for negotiated settlements and judgements rendered against the State in the Court of Claims. The majority of the claims against the State involve contract disputes and tort liabilities.

The recommended 2000-01 appropriation for Court of Claims judgements is \$90.0 million.

**Defense and Indemnification of State Officers and Employees:** Pursuant to the Public Officers Law, the State defends and indemnifies its employees in civil and criminal proceedings, respectively, for actions carried out in the course of their official duties.

The recommended 2000-01 appropriation for defense and indemnification of State employees is \$26.0 million.

**Settlements:** Other fixed costs include payments to the Property Casualty Insurance Fund pursuant to the settlement reached between the State and the insurance industry in the Alliance v. Chu case, and to the states of Delaware and Massachusetts, and other intervening states for the 2000-01 portion of a multi-year abandoned property settlement.

The recommended appropriation for these settlements is \$22.9 million.

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$1,809,797,100	\$1,921,656,400	+\$111,859,300
Special Revenue Funds - Other .....	250,000,000	250,000,000	.....
Total .....	\$2,059,797,100	\$2,171,656,400	+\$111,859,300
Adjustments:			
Prior Year Deficiency			
General State Charges			
General Fund .....	+60,000,000		
Transfer(s) From			
Special Pay Bills			
General Fund .....	-36,915,000		
Appropriated 1999-00 .....	\$2,082,882,100		

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2000-01 RECOMMENDED

Program	Total		General State Charges	
	Amount	Change	Amount	Change
General State Charges .....	\$1,921,656,400	+\$111,859,300	\$1,921,656,400	+\$111,859,300
Total .....	\$1,921,656,400	+\$111,859,300	\$1,921,656,400	+\$111,859,300

**GREEN THUMB PROGRAM**

The Green Thumb Program provides income-eligible elderly citizens with part-time employment in State agencies through the not-for-profit organization, Green Thumb Environmental Beautification, Inc. The 2000-01 Executive Budget recommends a General Fund appropriation of \$2,394,000, the same level of funding provided in 1999-2000.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$2,394,000	\$2,394,000	....	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$2,394,000</b>	<b>\$2,394,000</b>	<b>....</b>	<b>....</b>

**THE GREENWAY HERITAGE CONSERVANCY OF  
THE HUDSON RIVER VALLEY**

The Greenway Heritage Conservancy of the Hudson River Valley was established in the Hudson River Valley Greenway Act of 1991 to promote the preservation of natural and cultural resources in the Valley, serve as a land trust in the acquisition of lands important to the Greenway, and designate and develop the Hudson River Valley Greenway Trail. The Executive Budget recommends total funding of \$222,000 from the General Fund for operational support of the Conservancy.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$220,000	\$222,000	+\$2,000	....
Aid To Localities .....	200,000	....	-200,000	....
Capital Projects .....	....	....	....	....
<b>Total .....</b>	<b>\$420,000</b>	<b>\$222,000</b>	<b>-\$198,000</b>	<b>....</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$220,000	\$222,000	+\$2,000
<b>Total .....</b>	<b>\$220,000</b>	<b>\$222,000</b>	<b>+\$2,000</b>



**MISCELLANEOUS**

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$200,000	....	-\$200,000
Total .....	\$200,000	....	-\$200,000

**HEALTH INSURANCE CONTINGENCY RESERVE**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$250,000,000	\$280,100,000	+\$30,100,000
Total .....	\$250,000,000	\$280,100,000	+\$30,100,000

**HEALTH INSURANCE RESERVE RECEIPTS FUND**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Fiduciary Funds .....	\$73,600,000	\$74,650,000	+\$1,050,000
Total .....	\$73,600,000	\$74,650,000	+\$1,050,000

**HIGHER EDUCATION**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$564,000	\$566,000	+\$2,000
Total .....	\$564,000	\$566,000	+\$2,000

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$9,757,300	....	-\$9,757,300
Total .....	\$9,757,300	....	-\$9,757,300

**HUDSON RIVER VALLEY GREENWAY  
COMMUNITIES COUNCIL**

The Hudson River Valley Greenway Communities Council is a 25-member advisory board, created in 1991, which is responsible for promoting the preservation of natural and cultural resources in the Hudson River Valley.

The Council's operations are funded with State tax dollars from the General Fund. The Executive Budget recommends total funding of \$436,400 in 2000-01 to support the Council's administration, technical assistance, and local planning grants programs.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$214,400	\$232,400	+\$18,000	.....
Aid To Localities .....	204,000	204,000	.....	\$379,000
Capital Projects .....	.....	.....	.....	.....
<b>Total .....</b>	<b>\$418,400</b>	<b>\$436,400</b>	<b>+\$18,000</b>	<b>\$379,000</b>

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

Program	Available 1999-00	2000-01 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 2000-01	
Operations					
General Fund .....	3	3	.....	3	.....
<b>Total .....</b>	<b>3</b>	<b>3</b>	<b>.....</b>	<b>3</b>	<b>.....</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$214,400	\$232,400	+\$18,000
<b>Total .....</b>	<b>\$214,400</b>	<b>\$232,400</b>	<b>+\$18,000</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1999-00	Recommended 2000-01	Change
General Fund .....	\$204,000	\$204,000	.....
<b>Total .....</b>	<b>\$204,000</b>	<b>\$204,000</b>	<b>.....</b>

**MISCELLANEOUS**

**INSURANCE AND SECURITIES FUNDS  
RESERVE GUARANTEE**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$1,672,000,000	\$1,672,000,000	....
Total .....	<u>\$1,672,000,000</u>	<u>\$1,672,000,000</u>	<u>....</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Aggregate Trust Fund			
General Fund .....	\$220,000,000	\$220,000,000	....
Stock Workmen's Compensation Security Fund			
General Fund .....	67,000,000	67,000,000	....
Property/Casualty Insurance Security Fund			
General Fund .....	90,000,000	90,000,000	....
State Insurance Fund			
General Fund .....	<u>1,295,000,000</u>	<u>1,295,000,000</u>	<u>....</u>
Total .....	<u>\$1,672,000,000</u>	<u>\$1,672,000,000</u>	<u>....</u>

**LOCAL GOVERNMENT ASSISTANCE**

The following appropriations provide unrestricted aid to all classes of local governments. Of the total miscellaneous local government assistance, only 4.8 percent is appropriated from the General Fund. The remaining 95.2 percent is appropriated as fiduciary funds with no General Fund impact.

Executive Budget recommendations for 2000-2001 include the following:

- General Purpose State Aid funding for cities, towns and villages is continued at SFY 1999-2000 levels totaling over \$550 million. Nearly \$220 million in aid reductions to New York City between 1991 and 1993 will continue in effect through reimbursement to the State from the Municipal Assistance State Aid Fund.
- Emergency Financial Assistance to Eligible Municipalities, Emergency Financial Aid to Certain Cities, and Stock Transfer Incentive funding for New York City are also continued at 1999-2000 levels: \$20.8 million, \$26.4 million, and \$114 million, respectively.
- Supplemental Municipal Aid funding is recommended at \$109.8 million for various cities, a reduction of \$4.1 million from SFY 1999-2000.
- Fiduciary appropriations totaling nearly \$24 billion are continued for the Municipal Assistance State Aid Fund, the Municipal Assistance Tax Fund, and the Stock Transfer Tax Fund to ensure that New York City and the City of Troy have adequate Municipal Assistance Corporation debt service coverage.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1999-00	Appropriations Recommended 2000-01	Change	Reappropriations Recommended 2000-01
State Operations .....	\$2,379,600	\$2,772,600	+\$393,000	....
Aid To Localities .....	22,989,445,822	25,080,948,302	+2,091,502,480	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$22,991,825,422</u>	<u>\$25,083,720,902</u>	<u>+\$2,091,895,480</u>	<u>....</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
Financial Control Board for the City of New York Special Revenue Funds - Other .....	\$2,379,600	\$2,772,600	+\$393,000
Total .....	<u>\$2,379,600</u>	<u>\$2,772,600</u>	<u>+\$393,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1999-00	Recommended 2000-01	Change
Assistance for TWA Flight 800 Memorial General Fund .....	\$100,000	....	-\$100,000
Emergency Financial Aid to Certain Cities General Fund .....	26,474,000	\$26,474,000	....
Emergency Financial Assistance to Eligible Municipalities General Fund .....	20,813,800	20,813,800	....
General Purpose Local Government Aid General Fund .....	770,193,720	770,193,700	-20
Miscellaneous Financial Assistance General Fund .....	281,500	....	-281,500
Municipal Assistance State Aid Fund Fiduciary Funds .....	560,300,000	560,300,000	....
Municipal Assistance Tax Fund Fiduciary Funds .....	12,210,000,000	13,310,000,000	+1,100,000,000
Stock Transfer Incentive Fund General Fund .....	114,037,800	114,037,800	....
Stock Transfer Tax Fund Fiduciary Funds .....	9,000,000,000	10,000,000,000	+1,000,000,000
Supplemental Municipal Aid General Fund .....	113,684,002	109,829,002	-3,855,000
Yonkers EIP I and II Court Order General Fund .....	172,631,000	169,300,000	-3,331,000
Legislative Initiatives General Fund .....	930,000	....	-930,000
Total .....	<u>\$22,989,445,822</u>	<u>\$25,080,948,302</u>	<u>+\$2,091,502,480</u>

## MISCELLANEOUS

---

### MISCELLANEOUS GUARANTEE APPROPRIATIONS

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$865,526,000	\$917,457,600	+\$51,931,600
Total .....	<u>\$865,526,000</u>	<u>\$917,457,600</u>	<u>+\$51,931,600</u>

### NATIONAL AND COMMUNITY SERVICE

#### MISSION

The Office of National and Community Service provides staff support to the New York State Commission on National and Community Service. The Commission qualifies the State for Federal community service grants for local not-for-profit agencies.

#### ORGANIZATION AND STAFFING

The Office of National and Community Service is housed and staffed within the Office of Children and Family Services.

#### FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The 2000-01 Executive Budget recommends an appropriation of \$30 million in anticipation of the receipt of continued Federal funding for this program.

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Special Revenue Funds - Federal .....	\$30,000,000	\$30,000,000	.....
Total .....	<u>\$30,000,000</u>	<u>\$30,000,000</u>	<u>.....</u>

**NORTHEASTERN QUEENS NATURE AND  
HISTORICAL PRESERVE COMMISSION**

The Northeastern Queens Nature and Historical Preserve Commission was created in 1973 to regulate publicly owned lands and wetlands in this section of Queens County. The Executive Budget recommends \$81,000 to support the Commission's operations in 2000-01.

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$79,000	\$81,000	+\$2,000
Total .....	\$79,000	\$81,000	+\$2,000

**PETROLEUM STORAGE TANKS - COPS  
REPAYMENT**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$9,824,000	\$4,365,000	-\$5,459,000
Total .....	\$9,824,000	\$4,365,000	-\$5,459,000

**RESERVE FOR FEDERAL AUDIT DISALLOWANCES**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$50,000,000	\$50,000,000	....
Total .....	\$50,000,000	\$50,000,000	....

**MISCELLANEOUS**

---

**SPECIAL EMERGENCY APPROPRIATION**

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1999-00</u>	<u>Appropriations Recommended 2000-01</u>	<u>Change</u>	<u>Reappropriations Recommended 2000-01</u>
State Operations .....	\$50,000,000	\$50,000,000	....	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$50,000,000</u>	<u>\$50,000,000</u>	<u>....</u>	<u>....</u>

**STATEWIDE ENERGY IMPROVEMENT**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Special Revenue Funds - Other .....	\$3,000,000	\$1,500,000	-\$1,500,000
Total .....	<u>\$3,000,000</u>	<u>\$1,500,000</u>	<u>-\$1,500,000</u>

**WORKERS' COMPENSATION RESERVE**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund .....	\$38,000,000	\$43,128,000	+\$5,128,000
Total .....	<u>\$38,000,000</u>	<u>\$43,128,000</u>	<u>+\$5,128,000</u>

# ***PART II***

## ***STATE DEBT SERVICE***





# **STATE DEBT SERVICE AND FINANCING AGREEMENT PAYMENTS**

The 2000-01 Budget recommendations for debt service appropriations reflect the State's continued commitment to finance critical capital needs while effectively managing its debt portfolio to ensure that both the level and costs of State debt remain affordable.

## **DEBT REFORM**

As part of the 2000-01 Executive Budget, the Governor is proposing a Constitutional and Statutory Debt Reform initiative that will:

- Cap new debt outstanding at 3.5 percent of personal income, reflecting a significant decline from the current level of 6 percent of State income.
- Cap new debt service costs at 5 percent of All Funds receipts.
- Ban "back door" borrowing and Constitutionally authorize a limited amount of revenue-backed debt (no more than 1.75 percent of personal income).
- Authorize multiple general obligation bond act proposals.
- Restrict the use of debt to financing capital purposes only.
- Reduce the maximum term of debt to 30 years.
- Require that debt proposals be aired publicly for 14 days prior to Legislative action.

## **DEBT REDUCTION RESERVE FUND INCREASED TO HISTORIC HIGH**

The Debt Reduction Reserve Fund (DRRF) will contain \$250 million at the end of 1999-2000. The Governor is recommending a record deposit of \$500 million to the Debt Reduction Reserve Fund in 2000-01 — \$250 million from one-time moneys received by the State as part of its recoveries under the tobacco settlement agreement and \$250 million from the 1999-2000 surplus — increasing the DRRF balance at the beginning of 2000-01 to an historic high of \$750 million. Two-thirds, or \$500 million of the DRRF balance, will be used in 2000-01 to pay off the State's high cost debt or avoid new debt by increasing pay-as-you-go spending for previously bond-financed programs. The balance will recapitalize DRRF, ensuring the State's commitment to debt reduction continues into 2001-02. Over the five-year Capital Program and Financing Plan, payments from DRRF will reduce State debt by \$750 million, ultimately saving taxpayers approximately \$1.5 billion in lower debt service costs.

## **DEBT COSTS ARE CONTROLLED AND AFFORDABLE**

The combination of the Governor's Debt Reform proposal and his recommendation to increase the Debt Reduction Reserve Fund ensures that debt affordability improves over the five-year Capital Plan.

The recommended debt service appropriations reflect the maximum estimated debt service payments for outstanding bonds and future State-supported bond issuances. The appropriations for State general obligation, Local Government Assistance Corporation (LGAC), and Housing Finance Agency (HFA) Service Contract Obligation Revenue (SCOR) variable rate bonds reflect a maximum interest rate of 18 percent. However, such rates are expected to be approximately 4 percent for tax exempt and 6 percent for taxable obligations. In addition, the contingent appropriations for interest rate swaps executed for the Dormitory Authority SUNY Educational Facilities program, as well as projected swap transactions for LGAC and the Urban Development Corporation's (UDC) Correctional Facilities bonding programs, are also appropriated at a maximum rate of 18 percent.

Issuances for 2000-01 reflect the continued implementation of certain capital initiatives, such as the 1996 voter-approved Clean Water/Clean Air Bond Act. It is anticipated that \$445 million in Clean Water/Clean Air bonds will be issued during the 1999-2000 and 2000-01

## **DEBT SERVICE**

---

fiscal years. Total general obligation bonds to be issued during 2000-01 are estimated at \$331 million, including \$45 million for commercial paper redemption.

To reduce costs, the State has effectively diversified its debt portfolio to include a prudent level of short-term obligations, including the commercial paper program and a limited amount of interest rate swaps. The share of State-supported debt which is comprised of short term obligations will increase from 6.8 percent in 2000-01 to 8.8 percent in 2004-05. The projected amounts of short-term debt in the State's portfolio will still remain well within credit rating agency guidelines which recommend a general upper limit of approximately 15 percent of debt outstanding. Market conditions permitting, the Executive Budget's recommendation to extend the current authorization to issue interest rate swaps under a limited, experimental program will support the expansion of the State's short-term portfolio.

The following sections discuss the recommended debt service appropriations in greater detail. The appropriations are grouped by fund.

### **GENERAL FUND - STATE PURPOSES ACCOUNT**

Interest on short-term general obligation debt, primarily bond anticipation notes (BANs) issued in the form of commercial paper, is paid directly from the General Fund. An appropriation of \$8.5 million is recommended for payment of interest and certain issuance costs on commercial paper to finance capital spending during fiscal year 2000- 01. Since the costs of borrowing for both the commercial paper program and variable rate debt are comparable, and both instruments preserve the effective use of short-term debt, the commercial paper program will be replaced with the issuance of additional variable rate debt. As a result, it is anticipated that an average of only \$45 million in such BANs will be outstanding during the coming fiscal year.

An appropriation of \$15 million is recommended for the State's potential liability to rebate arbitrage earnings on general obligation bonds to the Federal government. A \$225 million appropriation is recommended for the redemption of general obligation serial bonds, should this become necessary to maintain the exemption from Federal taxation of the interest paid to bondholders. This appropriation would only be used if the State received payments from any party found to be responsible for site contamination for which 1986 Hazardous Waste and 1996 Clean Water/Clean Air bonds were sold and disbursed to finance site clean-up. Since every effort is made to find the responsible party prior to the issuance of bonds, the potential use of this appropriation is unlikely and no disbursements from it are anticipated.

### **GENERAL DEBT SERVICE FUND**

The General Debt Service Fund provides for principal, interest, and related payments on general obligation bonds, and lease-purchase and contractual obligation payments to public authorities and municipalities. The Fund's moneys are provided through transfers from the General Fund, and other available transfers and revenues.

Appropriations from the General Debt Service Fund for general obligation bonds are recommended at \$703 million. Appropriations for projected debt service reflect actual payments on outstanding general obligation bonds, and estimated payments on bonds anticipated to be issued in March and June of 2000. Payments for the State's continued issuance of variable rate general obligation bonds are also included.

Appropriations of \$2.3 billion are recommended from the General Debt Service Fund for lease purchase and other financing agreement payments to the following:

- Thruway Authority, for Local Highway and Bridge service contract bonds for local transportation purposes. Spending from this appropriation (\$215 million) is financed by transfers from the Dedicated Highway and Bridge Trust Fund.
- Environmental Facilities Corporation, for State Revolving Loan Fund service contract bonds, the Jobs 2000 Pipeline for Jobs program and the financing of parks and other environmental programs (\$61 million).

- Urban Development Corporation, for financing the construction and rehabilitation of correctional facilities, State facilities, youth facilities, stadia facilities, the pine barrens land acquisition, Economic Development and Natural Resources Preservation, projects at various University Technology Centers, the Higher Education Applied Technology (HEAT) program, and the Onondaga Convention Center (\$349 million). This includes appropriation authority for payments on projected interest rate swaps.
- Dormitory Authority, for SUNY educational, athletic facilities and upstate community colleges, State Education Department facilities, CUNY senior and community colleges, Jobs 2000 University Facilities program, RESCUE for school construction, Child Care Facilities, the Department of Health's Axelrod Laboratory, Albany Airport, the Library for the Blind, pension obligation bonds, and new State facilities (\$997 million). The latter includes bonds sold to finance the new parking garage and a building for the Office of the State Comptroller and the Common Retirement Fund. DA SUNY educational facilities also includes appropriations for interest rate swaps.
- Housing Finance Agency, pursuant to agreements between the State and HFA to finance the State's housing programs (\$143 million). This includes payments for variable rate housing bonds, including the only State-supported taxable variable rate bonds.
- Triborough Bridge and Tunnel Authority (TBTA), for the financing of the Javits Convention Center in New York City (\$43 million).
- Bonds authorized to be issued by the Urban Development Corporation, the Dormitory Authority, the Housing Finance Agency, and/or the Thruway Authority to finance the Community Enhancement Facilities Assistance Program (\$175 million).
- Lease purchase payments for various State facilities, including the 50 Wolf Road building, the new Department of Environmental Conservation office building in downtown Albany, and a new Department of Transportation region one headquarters building to be located in Schenectady.
- Metropolitan Transportation Authority (MTA), for service contracts payments (\$162 million) on bonds issued to finance transit and commuter rail projects during the MTA's first two Capital Plans.
- The Dormitory Authority, for service contracts to finance the capital needs of financially distressed hospitals (\$83 million). In the event that hospital repayments and other available funds are inadequate to meet debt service, such payments are to be made pursuant to service contracts with the State. The recommended appropriation reflects the State's potential liability on debt service payable on DA bonds. Legislative authorization for this program expired in March 1998, and State payments are not expected to be required for this program in 2000-01.

### **HOUSING DEBT FUND**

Payments from local governments and housing companies which benefit from housing and urban renewal projects funded with State general obligation bonds are deposited in the Housing Debt Fund, and are used to pay debt service on such bonds. A \$31 million appropriation is recommended for 2000-01.

### **STATE UNIVERSITY DORMITORY INCOME FUND**

This Fund receives payments for the use of dormitory rentals and other fees at dormitories operated by SUNY. Debt service on bonds issued by the DA for the construction and rehabilitation of SUNY dormitories has first claim on all dormitory revenues deposited in the

## ***DEBT SERVICE***

---

Fund. An appropriation of \$54 million is recommended for lease-purchase payments to the DA.

### ***MENTAL HEALTH SERVICES FUND***

The Dormitory Authority is authorized to issue bonds to finance capital programs for the Department of Mental Hygiene. Revenues received for the care and treatment of patients at State mental health facilities are deposited in this Fund, and are used to make lease-purchase payments to the DA for debt service on mental health services bonds. These rental payments have the first claim on moneys in the Fund. The DA also makes loans to eligible not-for-profit agencies providing mental health services. In return, the voluntary agencies make rental payments equal to the amount of debt service on bonds issued to finance the project. Such payments are also deposited in the Mental Health Services Fund. The recommended appropriation from this Fund is \$360 million.

### ***HEALTH INCOME FUND***

The Department of Health (DOH) has entered into contractual agreements with the Dormitory Authority to finance the construction and rehabilitation of State hospitals and veterans' homes. These agreements require DOH to make lease-purchase rental payments to the DA. Such payments have first claim on revenues received in this Fund from patient care at DOH facilities. Pursuant to 1997 legislation, the Roswell Park Cancer Institute is now a public corporation. Consistent with existing bonding pledges and statutory requirements, the Corporation's moneys continue to flow into the Fund as security for and payment to bondholders. As a result, the State's Financial Plan only reflects the portion of the Corporation's receipts that are attributable to debt service. Lease-purchase obligations during 2000-01, which also include obligations for the New York City Veterans' Home, require appropriations of \$39 million.

### ***EMERGENCY HIGHWAY RECONDITIONING AND PRESERVATION FUND EMERGENCY HIGHWAY CONSTRUCTION AND RECONSTRUCTION FUND***

The Commissioner of Transportation contracted with the New York State Thruway Authority to finance, through the Authority's bonds, highway reconditioning and preservation and construction and reconstruction projects. To enable the Thruway Authority to meet its debt service on these bonds, receipts attributable to seven-eighths of one cent of the tax on each gallon of gasoline and diesel fuel sold in the State have been earmarked to the Emergency Highway Reconditioning and Preservation and Emergency Highway Construction and Reconstruction Funds. Appropriations of \$32 million from each of these funds are recommended for the 2000-01 fiscal year.

### ***CENTRALIZED SERVICES FUND***

The State issues Certificates of Participation (COPs) to finance the purchase of equipment on an installment or lease-purchase basis for State departments, agencies, and public authorities. Moneys from the operating budgets of participating agencies are deposited to the Centralized Services Fund for payment to the trustees of COPs issuances. Such obligations' maturities are predominantly short-term in nature, reflecting the useful life of the equipment financed. An appropriation of \$205 million is recommended to pay debt service on outstanding COPs and those expected to be issued in 2000-01, including the purchase of welfare computer systems to augment case management capacity, and to comply with Federal data requirements.

### ***LOCAL GOVERNMENT ASSISTANCE TAX FUND***

To eliminate the State's annual spring cash flow borrowing, 1990 legislation authorized LGAC to issue bonds to finance payments to local governments previously funded by the State. LGAC has issued its entire \$4.7 billion net authorization. Revenues equal to one-quarter of the four cent State sales and use tax are deposited into the Local Government Assistance Tax Fund and used to pay debt service on LGAC obligations. The recommended appropriation of \$518 million represents anticipated debt service on all fixed-rate bonds, the maximum interest rate for outstanding variable rate bonds and planned interest rate swaps, and administrative costs. Moneys not needed for debt service are transferred to the State's General Fund.

### ***SCHOOL CAPITAL FACILITIES FINANCING RESERVE FUND***

An appropriation of \$30 million is recommended from the School Capital Facilities Financing Reserve Fund, a fiduciary fund, to pay debt service on bonds issued by the Dormitory Authority on behalf of special act and certain other authorized types of local school districts. The districts have assigned State local assistance payments for building aid and other tuition revenues to the DA. The revenues are deposited into the Fund and used to make debt service payments to the DA.

### ***DEDICATED HIGHWAY AND BRIDGE TRUST FUND***

An appropriation of \$450 million is recommended for 2000-01 debt service payments to the Thruway Authority for Dedicated Highway and Bridge Trust Fund bonds, which will support the new Department of Transportation five-year transportation plan. Debt service payments for the highway program are supported by the statutory dedication of revenues to the Fund. However, after debt service payments are made, they and a commensurate amount of Fund revenues are reclassified from the capital projects to the debt service fund group. Therefore, the debt service appropriation is included in the Debt Service Budget Bill.

### ***DEBT REDUCTION RESERVE FUND***

The Debt Reduction Reserve Fund (DRRF) will have a balance of \$750 million at the beginning of 2000-01. An appropriation of \$500 million is recommended to ensure that two-thirds, or \$500 million of the moneys in DRRF, are used in 2000-01 to pay off the State's high cost debt and increase pay-as-you-go spending for previously bond-financed projects programs. The balance of the moneys, or \$250 million, will recapitalize DRRF — ensuring that debt is further reduced in 2001-02.

### ***ALL FUNDS***

A contingent debt service appropriation of \$250 million is recommended from All Funds. This appropriation, which is limited to meet any debt service payments due, provides protection in the unlikely event that other appropriations are unavailable or insufficient to meet required payments.

# DEBT SERVICE

## ALL FUNDS FISCAL REQUIREMENTS DEBT SERVICE AND FINANCING AGREEMENT PAYMENTS

Fund	Available 1999-00	Recommended 2000-01	Change
<b>General Fund</b>			
State Purposes Account			
Rebates to Federal Government .....	\$10,000,000	\$15,000,000	+\$5,000,000
General Obligation Notes .....	15,250,000	8,500,000	-6,750,000
Redemption of General Obligation Bonds .....	225,000,000	225,000,000	.....
Subtotal: General Fund .....	\$250,250,000	\$248,500,000	-\$1,750,000
<b>Internal Service Funds</b>			
Centralized Services Fund			
Financing Agreements .....	\$210,000,000	\$205,000,000	-\$5,000,000
Subtotal: Internal Service Funds .....	\$210,000,000	\$205,000,000	-\$5,000,000
<b>Fiduciary Funds</b>			
School Capital Facilities Financing Reserve Fund			
Trust and Agency Financing .....	\$25,000,000	\$30,000,000	+\$5,000,000
Subtotal: Fiduciary Funds .....	\$25,000,000	\$30,000,000	+\$5,000,000
<b>Debt Service Funds</b>			
Mental Health Services Fund			
Financing Agreements .....	\$345,000,000	\$360,000,000	+\$15,000,000
General Debt Service Fund			
General Obligation Bonds .....	741,500,000	703,000,000	-38,500,000
Financing Agreements .....	2,031,100,000	2,242,200,000	+211,100,000
Lease Purchase Payments .....	57,900,000	61,400,000	+3,500,000
Housing Debt Fund			
General Obligation Bonds .....	36,000,000	31,000,000	-5,000,000
Health Income Fund			
Financing Agreements .....	36,250,000	37,250,000	+1,000,000
Financing Agreements .....	1,750,000	2,000,000	+250,000
Emergency Highway Reconditioning and Preservation Fund			
Financing Agreements .....	32,000,000	32,000,000	.....
State University Dormitory Income Fund			
Financing Agreements .....	45,000,000	53,500,000	+8,500,000
Emergency Highway Construction and Reconstruction Fund			
Financing Agreements .....	32,000,000	32,000,000	.....
Local Government Assistance Tax Fund			
Financing Agreements .....	537,000,000	518,200,000	-18,800,000
Subtotal: Debt Service Funds .....	\$3,895,500,000	\$4,072,550,000	+\$177,050,000
<b>Capital Projects Funds - Other</b>			
Debt Reduction Reserve Fund			
Debt Reduction .....	.....	\$500,000,000	+\$500,000,000
Dedicated Highway and Bridge Trust Fund			
Financing Agreements .....	\$366,500,000	450,000,000	+83,500,000
Subtotal: Capital Projects Funds - Other .....	\$366,500,000	\$950,000,000	+\$583,500,000
<b>All Funds</b>			
Contingent Appropriation .....	.....	\$250,000,000	+\$250,000,000
Subtotal: All Funds .....	\$250,000,000	+\$250,000,000	
Total Fiscal Year: .....	\$4,747,250,000	\$5,756,050,000	+\$1,008,800,000
Appropriated 1999-00 .....	\$4,747,250,000		

# ***PART III***

## ***APPROPRIATIONS REQUESTED BY THE JUDICIARY AND THE LEGISLATURE***





# ***COMMENTARY OF THE GOVERNOR ON THE JUDICIARY***

In accordance with Article VII, Section One of the State Constitution, I am transmitting herewith the appropriations requested by the Judiciary for fiscal year 2000-01. As required by the Constitution, I am presenting the Judiciary budget as it has been submitted by the Office of Court Administration.

The Judiciary's All Funds spending request is \$1.44 billion, a \$59.7 million, or 4.3 percent increase over the current year. Of this amount, \$1.33 billion is requested from the State tax dollar supported General Fund. If fully enacted, General Fund support for the Judiciary will increase in fiscal year 2000-01 by \$58.6 million or 4.6 percent over 1999-2000.

While much of the requested increase reflects the cost of continuing current programs, discretionary operating initiatives totaling \$7.2 million (173 new positions) are included.

The General Fund increase includes:

- \$10.7 million for negotiated salary increments;
- \$7.2 million for new initiatives such as specialized court parts, automation and court security;
- \$12.9 million for annualization of current initiatives;
- \$8.5 million for various workload and inflationary increases;
- \$13.3 million for increased fringe benefit costs;
- \$7.8 million for phase one of a project to renovate and expand the Court of Appeals building in Albany;
- \$5.3 million for certificated judges to bring to 94 the total number of judges working beyond retirement age (up from 70 in 1999-2000);
- \$800,000 for costs associated with capital case transcript production; and
- \$500,000 for new judgeships established in 1999.

These increases are partially offset by \$8.2 million in non-recurring costs. The request also proposes a 1999-2000 General Fund deficiency appropriation of \$12 million for unanticipated costs for General State Charges, primarily health insurance costs. In addition, the Judiciary proposes a \$9.6 million deficiency appropriation for the Court Facilities Incentive Aid Fund. This fund, which provides interest subsidies for court construction and reimburses localities for operating maintenance and upkeep of court facilities, has incurred higher than anticipated maintenance expenses.



# **THE JUDICIARY**

## **INTRODUCTION**

### **THE UNIFIED COURT SYSTEM**

The Judiciary is one of the three branches of New York State Government. Article VI of the State Constitution establishes a Unified Court System, defines the organization and jurisdiction of the courts and provides for the administrative supervision of the courts by a Chief Administrator on behalf of the Chief Judge of the State of New York.

The objectives of the Judiciary are to: (1) provide a forum for the peaceful, fair and prompt resolution of civil claims and family disputes, criminal charges and charges of juvenile delinquency, disputes between citizens and their government, and challenges to government actions; (2) supervise the administration of estates of decedents, consider adoption petitions, and preside over matters involving the dissolution of marriages; (3) provide legal protection for children, mentally ill persons and others entitled by law to the special protection of the courts; and (4) regulate the admission of lawyers to the Bar and their conduct and discipline.

The New York State court system is one of the largest and busiest in the Western World. It consists of over 1,200 state-paid judges, 2,400 town and village justices and over 15,000 nonjudicial positions. Pursuant to the Unified Court Budget Act, the cost of operating the Unified Court System, excluding town and village courts, is borne by the State.

### **STRUCTURE AND JURISDICTION OF THE COURTS**

The Unified Court System is structured as follows:

#### **APPELLATE COURTS**

Court of Appeals  
Appellate Divisions of the Supreme Court  
Appellate Terms of the Supreme Court  
County Courts (acting as appellate courts)

#### **TRIAL COURTS OF SUPERIOR JURISDICTION**

Statewide:  
Supreme Court  
Court of Claims  
Family Court  
Surrogate's Court  
Outside New York City:  
County Court

#### **TRIAL COURTS OF LIMITED JURISDICTION**

New York City:  
Criminal Court  
Civil Court  
Outside New York City:  
City Courts  
District Courts  
Town Courts\*  
Village Courts\*

\*Locally funded courts

## **JUDICIARY**

---

The jurisdiction of each court is established by Article VI of the Constitution or by statute. The courts of original jurisdiction, or trial courts, hear cases in the first instance, and the appellate courts hear and determine appeals from the decisions of the trial courts.

The Court of Appeals, the State's highest court, hears cases on appeal from the other appellate courts and, in some instances, from the courts of original jurisdiction. In most cases, its review is limited to questions of law. The Court also reviews determinations of the Commission on Judicial Conduct.

There are four Appellate Divisions of the Supreme Court, one in each of the State's four judicial departments. The Appellate Divisions hear appeals concerning civil and criminal cases. In the First and Second Departments, Appellate Terms have been established to hear appeals in criminal and civil cases determined in the Criminal and Civil Courts of the City of New York and civil and criminal cases determined in district, city, town, and village courts outside the City. In the Third and Fourth Departments, appeals from city, town and village courts are heard initially in the appropriate County Court.

The Supreme Court, which functions in each of the State's 12 judicial districts, is a trial court of unlimited, original jurisdiction, but it generally hears cases outside the jurisdiction of other courts. It exercises its civil jurisdiction statewide; in the City of New York and some other parts of the State, it also exercises jurisdiction over felony charges.

The Court of Claims is a statewide court having jurisdiction over claims for money damages against the State. Certain Judges of the Court of Claims; i.e., Judges appointed pursuant to paragraphs (b), (d), and (e) of subdivision 2 of section 2 of the Court of Claims Act, are assigned temporarily to the Supreme Court, primarily as trial justices in the criminal terms.

There are three county-level superior courts. The County Court is established in each county outside the City of New York. It is authorized to handle the prosecution of crimes committed within the county, although in practice, arraignments and other preliminary proceedings on felonies, misdemeanors and minor offenses are handled by courts of limited jurisdiction while the County Court presides over felony trials and supervises the Grand Jury. The County Court also has limited jurisdiction in civil cases, with authority to entertain those involving amounts up to \$25,000.

The Family Court is established in each county and in the City of New York. It has jurisdiction over matters involving children and families. Its caseload consists largely of proceedings involving support of dependent relatives, juvenile delinquency, child protection, persons in need of supervision, review and approval of foster-care placements, paternity determinations, and family offenses.

The Surrogate's Court is established in every county and hears cases involving the affairs of decedents, including the probate of wills and the administration of estates. Family Court and Surrogate's Court have concurrent jurisdiction in adoption proceedings.

The Civil Court of the City of New York tries civil cases involving amounts up to \$25,000 and other civil matters referred to it by the Supreme Court (pursuant to section 325 of the CPLR). It includes a Housing Part for landlord-tenant matters and housing code violations. The Criminal Court of the City of New York has jurisdiction over misdemeanors and violations. Judges of the Criminal Court also act as arraigning magistrates and conduct preliminary hearings in felony cases.

There are four kinds of courts of limited jurisdiction outside the City of New York: District (established in Nassau County and in the five western towns of Suffolk County), City, Town and Village Courts. All have jurisdiction over minor criminal matters. They also have jurisdiction over minor civil matters, including small claims and summary proceedings, although their monetary ceilings vary: \$15,000 in District and City Courts, and \$3,000 in Town and Village Courts.

The civil courts of limited jurisdiction in 31 counties are making use of compulsory arbitration with lawyer arbitrators to resolve minor civil disputes, that is, civil actions where

the amount sought is \$6,000 or less in courts outside the City of New York and \$10,000 or less in courts in the City.

### ***ADMINISTRATIVE STRUCTURE OF THE UNIFIED COURT SYSTEM***

Section 28 of Article VI of the State Constitution provides that the Chief Judge of the Court of Appeals is the Chief Judge of the State and its chief judicial officer. The Chief Judge appoints a Chief Administrator of the Courts (who is called the Chief Administrative Judge of the Courts if the appointee is a judge) with the advice and consent of the Administrative Board of the Courts. The Administrative Board consists of the Chief Judge, as chair, and the Presiding Justices of the four Appellate Divisions of the Supreme Court.

The Chief Judge establishes statewide standards and administrative policies after consultation with the Administrative Board of the Courts and promulgates them after approval by the Court of Appeals.

The Chief Administrative Judge, on behalf of the Chief Judge, is responsible for supervising the administration and operation of the trial courts and for establishing and directing an administrative office for the courts, called the Office of Court Administration (OCA). In this task, the Chief Administrative Judge is assisted by two Deputy Chief Administrative Judges, who supervise the day-to-day operations of the trial courts in New York City and in the rest of the State, respectively; Deputy Chief Administrative Judge for Justice Initiatives, a Deputy Chief Administrative Judge for Management Support, who supervises the operations of the units that compose the Office of Management Support; and a Counsel, who directs the legal and legislative work of the Counsel's Office.

The Office of Management Support consists of eight operational divisions, with overall policy guidance and management directed by the Chief Administrative Judge, assisted by the Deputy Chief Administrative Judge for Management Support. The Division of Human Resources is responsible for conducting educational programs for judges and nonjudicial personnel; the administration of the Unified Court System's workforce diversity programs; labor management relations; payroll processing; career development services; employee benefits administration; and a broad range of personnel services dealing with job classification, compensation and examination issues. The Division of Financial Management coordinates the preparation and implementation of the Judiciary budget and is also responsible for promulgation of fiscal policies and procedures; revenue and expenditure monitoring, control and reporting; and the coordination of the fiscal aspects of the Court Facilities Aid Program. The Division of Technology is responsible for the development, implementation and oversight of all central and local automation and telecommunication services which support court operations and administrative functions. The Division of Legal Information and Records Management is responsible for overseeing all of the Judiciary's automated and printed media legal reference services and for coordination of records retention and management programs. The Division of Court Operations provides centralized support for day-to-day court operations through its oversight of streamlining initiatives, procedural manual development and training programs, as well as for court security, and alternative dispute resolution programs.

The services provided by these operational divisions are further supplemented by a Public Affairs Office which coordinates communications with other governmental entities, the press, public and bar. The Office of Court Research compiles UCS workload statistics for the courts, management and the public and conducts operational improvement studies. The Administrative Services Office provides a broad range of general support services to the courts including, but not limited to, central accounting and revenue management; attorney registration administration, centralized procurement, supply and printing. Finally, an Office of Internal Affairs, reporting directly to the Chief Administrative Judge, conducts internal audits and investigations to support the attainment of management's long term goals and priorities.

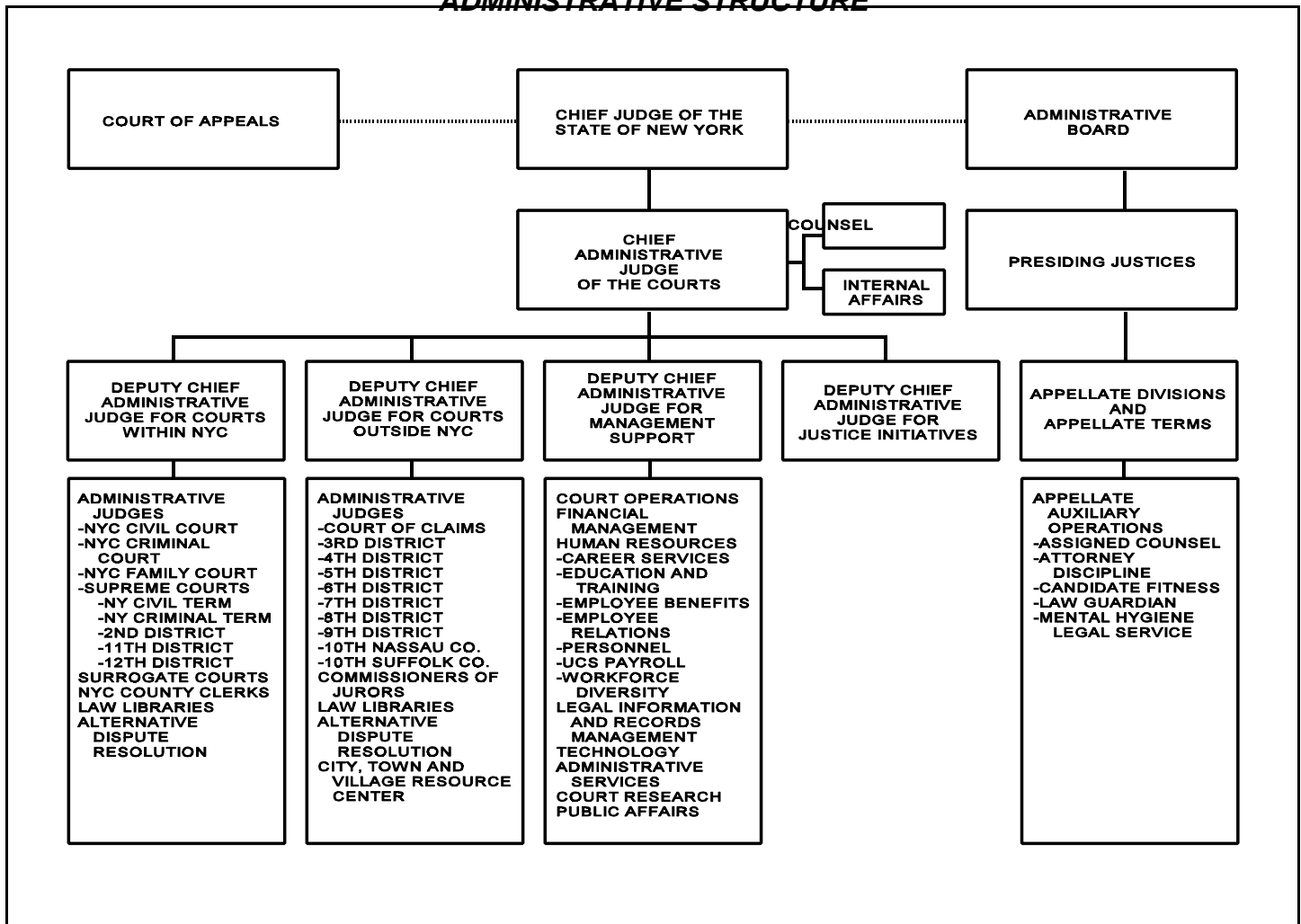
# JUDICIARY

Counsel's Office prepares and analyzes legislation, represents the Unified Court System in litigation, and provides various other forms of legal assistance to the Chief Administrative Judge.

Responsibility for on-site management of the trial courts and agencies is vested with the Administrative Judges. Upstate, in each of the eight judicial districts established outside the City of New York, there is a District Administrative Judge who is responsible for all courts and agencies operating within the judicial district. In the City of New York, Administrative Judges supervise each of the major trial courts, and the Deputy Chief Administrative Judge provides for management of the complex of courts and court agencies within the City. The Administrative Judges manage not only court caseload, but are responsible as well for general administrative functions including personnel and budget administration and all fiscal procedures.

The Appellate Divisions are responsible for the administration and management of their respective courts, and of the several Appellate Auxiliary Operations: Candidate Fitness, Attorney Discipline, Assigned Counsel, Law Guardians, and Mental Hygiene Legal Service.

## UNIFIED COURT SYSTEM ADMINISTRATIVE STRUCTURE



---

## **EXECUTIVE SUMMARY**

### **INTRODUCTION**

The New York State Courts are established and administered as an independent branch of government pursuant to Article VI of the State Constitution. The mission of the Unified Court System is to promote the rule of law and to provide just and timely resolution of all matters before the courts. In so doing, the Judiciary provides a forum for the fair and prompt resolution of civil claims, family disputes, criminal charges and charges of juvenile delinquency, disputes between citizens and their government, and challenges to government actions; supervises the administration of estates; considers adoption petitions and presides over matters involving the dissolution of marriages; provides legal protection for children, mentally ill persons, and others entitled by law to the special protection of the courts; and regulates the admission of lawyers to the Bar and their conduct. The New York State Judiciary carries out its mission through 11 different trial courts, or courts of original jurisdiction, as well as through its intermediate appellate courts and its highest court, the Court of Appeals.

Since 1977, the costs of operating the courts (excluding town and village courts) have been borne by the State pursuant to the Unified Court Budget Act. Accordingly, funding for the operating costs for all New York State county-level, District and City Courts and related court agencies is a State responsibility. The costs of providing facilities for these trial courts have remained a local government obligation. The State does, however, provide aid to subsidize the cost of borrowing money for court construction and improvements. The State also reimburses local governments for a portion of facilities maintenance and operation costs. In 1996, legislation was enacted to gradually raise this reimbursement level to 100 percent of expenses for cleaning and minor repairs to ensure compliance with maintenance and operation standards.

The Judiciary's budget submission is formulated through an open and decentralized process that includes input from trial court judges, judicial and nonjudicial administrators, court clerks, local bar leaders, and citizens concerned with the future of justice services in New York State. This budget reflects a rigorous review and analysis process, culminating with a recommended budget amount that is fiscally prudent, recognizing the State's economic position and yet providing the necessary resources to continue the programs which provide the public with efficient and effective case disposition.

### **THE 2000-2001 JUDICIARY BUDGET REQUEST**

The budget request for the Judiciary General Fund Court and Agency Operations for fiscal year 2000-01 is \$1.1 billion, a 3.4 percent increase over the current year. The State Funds Court and Agency portion of the request, including the General Fund as well as Special Revenue Funds (excluding the requested federal funds), is \$1.18 billion, a 3.4 percent increase over the current year fiscal appropriation of \$1.14 billion.

As in the past, all but a small portion of the 2000-01 Judiciary General Fund Court and Agency Operations budget request is dedicated to the funding necessary to continue current court operations. This base budget includes funding for currently authorized judicial and nonjudicial positions; salary increments for eligible nonjudicial employees; certificated justices and staff net changes; annualization of new initiatives partially funded in the current year; overtime and temporary service; jury per diem payments; legal reference materials; judicial hearing officer and other per diem payments; finance payments for prior year COPS automation, furnishings and equipment replacement programs; and other items necessary for the daily operations of the courts and court-related agencies of the New York State Unified Court System.



## **JUDICIARY**

---

For the 2000-2001 fiscal year, the court system continues its focus on redefining the court process by examining the way courts operate and introducing innovative solutions to the problems brought before the courts. The Judiciary also will seek to promote public access to the courts and enhance trust and confidence in the courts and the legal system.

### **JUDICIARY PRIORITIES**

#### ***Redefining the Court Process***

Funding to support the court system's commitment to critical analysis and innovation is included in the budget request, both in the base budget and the new resource request. The New York courts have demonstrated that courts can and should do more than simply process cases without regard to the underlying problems that bring criminal defendants and families back to court repeatedly. Rather, the State courts have taken a fresh, in-depth look at how they conduct their business, using a problem-solving approach to try to resolve the issues facing the courts — drug-related crime, domestic violence matters, and meeting the justice needs of communities.

Drug Treatment Courts deal with the underlying problem of drug addiction that fuels criminal recidivism. In a treatment court, non-violent, drug-addicted offenders are required to complete intensive drug treatment under the rigorous supervision of the courts as an alternative to jail. New York now has 13 treatment courts within criminal courts, with over 1,200 defendants graduated since 1995 and over 2,400 defendants currently in treatment. Family courts also have successfully adopted the treatment court model for cases involving neglect in which addiction is the underlying problem. The budget request provides support for the institutionalization and expansion of treatment courts, including appropriations for grant funding and State funds for direct support of existing drug treatment courts that have exhausted earlier grants. With the adoption of the treatment court model throughout the State, New York will be the first in the nation to take a comprehensive approach to the rampant problem of drug abuse and the related cases in the courts.

Cases involving domestic violence also have benefitted from the courts' problem-solving approach. Domestic Violence courts, currently in place in New York City, Westchester County and Buffalo, stress offender accountability and victim safety. The court intensively monitors defendants and provides services for victims of domestic violence within the court setting. New courts are planned throughout the State, with funding for expansion included in the budget request.

Community Courts address another justice problem — meeting the needs of communities affected by crime on the local level. The Midtown Community Court, which provides on-site opportunities for community service and resources for defendants to end the cycle of criminal behavior, was independently evaluated and found to provide speedy and responsive justice to the local community. New community-based programs include a community court in Hempstead; the Red Hook Justice Center, a multi-jurisdictional court handling criminal, family and housing matters; and the Harlem Community Justice Center, which will offer a coordinated response to youth crime and housing issues. Funding for the community court program is included in the budget request.

#### ***Access to Justice***

Improving access to justice for all New Yorkers is another of the court system's priorities. To fulfill this commitment, Hon. Juanita Bing Newton has been appointed to the newly created position of Deputy Chief Administrative Judge for Justice Initiatives. Key policy and program development areas that will be overseen by the new position include: working with the bar to increase pro bono participation; facilitating the establishment of court-based and pro bono

programs to assist self-represented litigants; and recommending and implementing measures to broaden and diversify funding sources for legal services organizations.

Specific public access initiatives that are underway include the placement of informational kiosks in Family Courts, improved signage in Family, Criminal, and Housing Courts, and establishment of public access libraries. Also, since June of 1997, the Office for the Self-Represented has been available to the public in New York County Supreme Court Civil Term and similar offices are planned for the other boroughs in New York City in the coming year.

### ***Public Trust and Confidence***

The Judiciary, in conjunction with Judiciaries throughout the country, established a representative commission to recommend ways to foster trust and confidence in the justice system. The commission, which completed the first phase of its work earlier this year, developed a wide-ranging program for an ongoing dialog with schools and communities to achieve the goal of enhanced public trust. Working with the committee, the court system will implement a Year 2000 Education and Outreach Program, designed to expand and improve statewide outreach and education efforts of the Judiciary.

Ongoing reform of the jury system remains a high priority, as the court system continues to build on the progress made in developing a more representative, efficient and less burdensome jury system in New York. New initiatives underway include the Grand Jury Project, which made recommendations to improve the grand jury experience for jurors; technology advancements such as automated juror status call-in systems, bar coded summonses, attendance scanning systems and one-step summoning; and public awareness efforts, including a new juror handbook, an orientation video produced for petit jurors and grand jurors, and a toll-free telephone line to assist with questions and complaints.

### ***Court Technology***

Technology continues to play a key role in allowing the Judiciary to deal effectively with increasing caseloads. Significant progress has been made in implementing the court system's CourtNet program. As of the Fall of 1999, over 8,700 court system judges and staff have electronic access to CourtNet, which provides each user with e-mail for exchange of messages and documents, and an intranet site that provides extensive on-line access to administrative information, operations manuals, UCS rules, procedures and documents. The delivery of over 9,600 desktop computers to court employees and 1,300 laptops to judges has also provided the benefits of system-wide access to the same software products and on-line access to legal research materials and services. In addition to CourtNet, the UCS is expanding the availability of Courtroom 2000 sites, which feature realtime transcription for presiding judges and participating attorneys, courtroom access to computerized case information, and technology to provide animated evidentiary presentations. Also, a filing by electronic means pilot will be instituted at specific court locations.

### ***New Positions***

The General Fund budget request includes the establishment of 173 new nonjudicial positions in key areas, including the Civil Justice Program, Family Justice programs, City and District Courts and court security. In addition, the court system requests authorization to establish 12 interpreter lines where services are now provided using per diem funds and to convert 74 long-term temporary service lines to permanent positions.

### **ONGOING INITIATIVES**

New York's court system is the national leader in developing innovative approaches to justice to broaden the public's access to justice and to increase the effectiveness of court services. In addition to the priorities described above — institutionalization of the Drug Treatment Courts, expansion of the Domestic Violence Courts and the Community Courts, expanding public access to the courts and enhancing public trust and confidence in the justice system — the court system is proceeding with many initiatives designed to improve the court system for New Yorkers. These initiatives are briefly described below.

#### ***Civil Case Management***

Reducing delays and backlogs in the civil caseload is the goal of the Unified Court System's Comprehensive Civil Justice Program, designed to enhance the quality and efficiency of the civil litigation system in New York. The program will be implemented with the term that begins on Monday, January 31, 2000. The key to the success of this program is an innovative civil case management system in which cases are screened from the onset and assigned to a specific track. This new system incorporates Differentiated Case Management (DCM) procedures requiring the tracking of each case based on its complexity, followed by rigorous judicial monitoring to ensure compliance with key milestones. Case tracking has been tested in Kings County Supreme Court parts, which use DCM tracking coordinators to support judges in scheduling, monitoring and follow-up. As this method of case processing is expanded throughout the Supreme Civil terms and into other downstate metropolitan counties, additional DCM coordinators and support staffing are being sought to ensure the success of this program.

The Commercial Division of the Supreme Court has been operating in New York County since 1995. The Division, which has five parts and a separate support office, was the nation's first general trial part devoted exclusively to business litigation, and is able to provide greater efficiency, skill and speed in the disposition of these complex matters. A Commercial Division Part has also been established in each of the Supreme Courts in Monroe, Erie, Nassau, and Westchester Counties. The Commercial Divisions include an Alternative Dispute Resolution Program, using volunteer neutrals, to offer litigants a choice of process.

Implementation of matrimonial case reforms will also continue as a component of the civil justice program. These reforms include specialized parts and streamlined case management procedures to reduce delay in matrimonial proceedings, certification of law guardians, guardians ad litem and mental health professionals, assisted resolution of custody and visitation issues, parental education programs and expanded neutral evaluation programs.

Specialized matrimonial parts, dedicated to early judicial intervention and ongoing management throughout the life of a case, have been used successfully to expedite case resolution in New York City since 1993. These dedicated parts allow for intensive case management efforts. Early neutral evaluation has been introduced as a tool for resolution of matrimonial matters. This technique is being supplemented by the use of full time social workers who assist the judges and all parties to reach agreement on custody and visitation proceedings. Courts outside of the New York City metropolitan area also have programs to expedite the resolution of matrimonial cases. The Erie County Expedited Matrimonial System was established in 1996 to screen contested matrimonial cases at an early date, eliminate unnecessary and costly motion practice and provide a mechanism to facilitate the early resolution of non-complex matrimonial cases. The Monroe County Matrimonial Screening Part was established in December 1997. This successful Seventh Judicial District Program is being expanded to additional counties in the District and to the Fifth Judicial District.

In response to recommendations from members of the bench and bar, the court system introduced legislation to authorize experiments in filing and service of papers in civil proceedings by fax, by e-mail and other electronic means. This legislation was enacted as Chapter 367, Laws of 1999, which amended the CPLR to authorize experiments in the filing and exchange of legal documents by fax machines and other electronic means. These pilot projects will run from 1999 to 2002. The filing by fax pilot projects have already commenced and electronic filing pilots will begin in 2000. The legislation also provides for payment of fees by credit card. Regulatory changes required to implement the new legislation were recently approved.

### ***Family Justice***

A record number of new cases (654,602) were filed with the Family Courts in New York in 1998. To deal with this massive caseload and the complex issues involved, the court system has improved the management of cases in Family Courts in a number of vital areas. Specialized Foster Care Review Parts have been established to review the status of children who have been freed for adoption yet remain in foster care, and an Adoption Fast-Track Program has been put into place to achieve prompt permanency planning for these children and ensure speedy completion of adoption proceedings. In addition, special victims' safety checks are completed to provide judges with domestic violence and criminal history information in custody and visitation cases, child neglect and abuse cases, child guardianship cases, and family offense cases.

Access to Family Court has been increased through a night court now operating in Kings County. The Court is open two nights each week to hear family offense, child support, paternity, and custody and visitation matters. In Suffolk County Family Court in Central Islip, a Night Hearing Examiner Part has also been established. These two initiatives will provide a much needed service to the public who, in many instances, experience a financial loss when required to make a daytime appearance in court. The Queens County Family Court has opened a satellite office where litigants without counsel can obtain temporary orders of protection and other immediate relief, as well as initiate paternity, support, custody and visitation, and family offense proceedings within their own community via a computer-video link to the main courthouse.

Automated kiosks have also been installed to improve service to Family Court's clients. Kiosks are now operating in Bronx, Monroe, New York, and Westchester County Family Courts providing information in both English and Spanish. The kiosks also direct litigants to the appropriate court for other related proceedings, such as divorces, which cannot be brought in Family Court.

While Family Justice Program initiatives have made it possible for the Court to address the growth and complexity of its caseload, recent legislative changes will have an enormous impact on the number of cases filed, the processing of cases and the hearings that must be held. Perhaps the most significant legislation affecting the Family Courts in recent years has been the passage of Chapter 7, Laws of 1999, which brings New York State into compliance with the federal Adoption and Safe Families Act (ASFA) of 1997. This legislation went into effect on February 11, 1999 and applies retroactively to all children currently in voluntary foster care, those involved in child abuse and neglect, juvenile delinquency and PINS proceedings, as well as children who are the subjects of termination of parental rights proceedings. Each of these categories of cases will require increased judicial review, broadened criminal records screening, more extensive judicial monitoring and documentation of children's progress toward permanence and expanded, expedited filings of proceedings to terminate parental rights. ASFA also mandates more frequent reviews of foster care proceedings in order to achieve permanency for children in shorter time frames.

The creation of a single Family Court Case Management System is underway. This system will take full advantage of the court system's statewide CourtNet and the new technology

now available to judges and court personnel. The new system will provide standardized on-line documents, statistical reporting, automatic electronic transfer of case information between court jurisdictions and other agencies concerned with family matters, including the Child Support Management System operated by the New York State Division of Temporary and Disability Assistance.

### ***Center for Court Innovation***

The Center for Court Innovation is a unique public-private partnership created by the Unified Court System to foster innovation within its ranks. Through the Center, the court system continues research to identify new methods of improving the delivery of justice services. The Center's focus is on collaborative solutions and identification of community-based resources and partnerships that will enhance the effectiveness of court programs and services. In recognition of the court system's pioneering work to rethink the administration of justice, the U.S. Justice Department has asked the Center for Court Innovation to provide technical assistance to other states interested in court reform. The Center's assistance takes several forms: workshops, site visits, how-to manuals and an innovative website, [www.communitycourts.org](http://www.communitycourts.org). Over the last year, the Center hosted more than 400 out-of-town visitors, representing 51 U.S. jurisdictions and 14 countries. Currently, 18 other jurisdictions are at work on replications of New York's community courts.

### ***Housing Court***

The New York City Housing Court is undergoing a dramatic change, pursuant to the court system's Housing Court Program. This Court's role has changed since 1972, when it was established to enforce housing regulations. The Court now handles large numbers of eviction proceedings, often involving self-represented litigants. The Housing Court has focused on operational changes designed to replace a system of triage with orderly, efficient procedures. The reform effort has focused on establishing an effective process for case assignment and resolution through the creation of specialized resolution and trial ready parts; improved public access through the opening of Resource Centers and night parts; and enhanced judicial and nonjudicial resources to adequately address the tremendous volume of matters brought before the Court.

### ***Alternative Dispute Resolution***

The court system's Alternative Dispute Resolution (ADR) programs encompass a wide variety of processes and initiatives, including voluntary community and family dispute mediation, civil case early neutral evaluation and mandatory arbitration for minor civil matters with binding settlements. Tailored to local needs and conditions, these initiatives continue the court system's ongoing efforts to explore the expanded use of ADR in ways that complement New York's many different legal environments.

### ***Jury System***

Following the report of the Jury Project — which advocated reforms to ensure the representativeness of juries, improve the efficiency of the jury system and provide a positive experience for jurors — the court system has made significant strides in reducing the burdens of jury service and in improving diversity and the size of juror pools in New York State. In the current fiscal year, the Unified Court System will seek to maintain this momentum for reform through several continuing initiatives, as well as a major new effort to reform the Grand Jury process.

The Grand Jury Project, commissioned by Chief Judge Kaye and Chief Administrative Judge Lippman in December 1997, was charged with strengthening and enhancing the existing grand jury system and improving the experience of the individual grand juror. The Grand Jury Project issued its comprehensive study in the Spring of 1999 and the Project's recommendations are serving as the basis for introducing needed changes in the operation and administration of New York's grand jury system. Key proposals include reduction in the terms of service; new procedures to ensure a selection process that promotes diversity; use of an early and more informative notification and summoning process; elimination of pre-screening sessions; and making certain that all deferrals, exemptions and excusals are made by the Commissioner of Jurors Offices. Other measures include ensuring the adequacy of grand juror facilities and access to necessary amenities such as on-site vending machines, telephones, waiting room reading materials and, to the extent possible, free parking. The Project also recommended improved orientation procedures, including the availability of a Grand Juror's Handbook to explain the responsibilities of grand jurors and the use of a standard grand juror orientation film.

### ***Court Technology***

The creation and management of information and records are one of the principal activities performed in the trial courts of the Unified Court System in support of case disposition and administrative processes. Information and records management functions include the review of case initiation papers and the opening of case files; case indexing, docketing and scheduling; the production of court calendars; case inquiries; the processing of case-related notices, orders, applications and motions; the collection of fees, fines, bail and other costs; the transmission of case records from place to place in courthouses; the processing of records on appeal; the storage and retrieval of case records and exhibits; the creation of reports on caseload activity and the status of case inventories; the production and processing of juror qualification questionnaires and summonses; the maintenance of juror service records; the payment of jurors; and the reporting of criminal case disposition information to the Executive Branch.

The court system's automation program will focus on continuation of a number of multi-year projects to upgrade and modernize centralized computer operations. The budget request also seeks new COPS funding authorization to finance automation improvements for the court system to ensure the reliability and efficiency of operations statewide. The key automation initiatives include completion of CourtNet, the court system's wide area network; continued development of the court system's Universal Case Management System to replace existing automated systems in the Family Courts, Criminal Courts, Civil Courts and Surrogates Courts; additional state-of-the-art technology courtrooms; replacement of some computers; expansion of remote access for the 2,300 town and village courts; and specialized applications and technology for drug treatment courts, domestic violence courts and community courts. In addition, the budget request seeks funding for SONET (Synchronous Optical Network), a communication technology that integrates data, voice and video signals. SONET not only provides better reliability via a fiber ring, but also provides higher bandwidth at a lower cost. The seven-node SONET will encompass major courts in New York, Kings, Bronx and Queens.

### ***Libraries and Legal Reference Information***

In recent years, access to legal reference materials via on-line electronic sources has been the tool most widely used by librarians to provide up-to-date legal reference resources at a manageable cost. In addition to traditional print and microform resources, materials are now accessed using automated database systems and CD-ROM technology. These automated legal reference systems allow users electronic access via personal computer to materials not otherwise available in chambers or library collections. Another electronic

## **JUDICIARY**

---

legal reference tool is the On-line Computer Library Center (OCLC), an international library and research service which improves legal reference access by providing participants on-line listings of the collections of other libraries in the system. The court system will seek to convert all library and combined chambers collections to OCLC format. Once complete, a central database of all library holdings will be made available to law libraries to facilitate the sharing of limited resources.

### ***Permanent Judicial Commission on Justice for Children***

The proposed budget continues funding for the Permanent Judicial Commission on Justice for Children. The Commission was established to achieve a consensus regarding the need for systematic change in the Family Courts and the entire juvenile justice system. The Commission seeks to draw together representatives of the Judiciary, the Legislature, State and local government agencies, voluntary agencies, public service organizations, bar associations and existing task forces, commissions and advisory groups.

The budget request provides for staff support to the Commission and related expenses. The Commission's staff oversees the administration of the courts' child care centers grants and projects funded through federal grants, including the expansion of child care services to additional court locations. The Commission has also secured a federal grant award to assess foster care and adoption proceedings and to develop and implement improvements.

### ***Judicial Commission on Minorities***

The Franklin H. Williams Judicial Commission on Minorities was established in 1991 to examine the treatment accorded minority lawyers, court personnel, judges and litigants within the court system. The Commission is focusing on several issues, including the participation of minorities in the jury process, the number of minority judges and justices in the State courts, the awareness of the bench and bar of alternatives to incarceration, and improved access to the courts by non-English speaking persons.

### ***Judicial Committee on Women in the Courts***

The New York Judicial Committee on Women in the Courts has continued to develop system-wide solutions to assure fair treatment for female litigants, attorneys and court personnel to eliminate gender bias in the justice system. The Committee has adopted various strategies for reaching and changing ingrained biases. Education remains an important tool — education for judges, nonjudicial personnel and the public. Increasingly important are local gender bias committees under the auspices of administrative judges that can address the particular issues in their courts and draw on local institutions for solutions.

### ***Court Facilities Program***

The Court Facilities Act, Chapter 825 of the Laws of 1987, was enacted as a comprehensive solution to the State's court facilities needs. Under the Act, the provision and maintenance of adequate court facilities remains a responsibility of local government, but technical and financial assistance is provided to help local governments meet those needs. The Act required that cities and counties develop capital plans and submit the plans for approval to a Court Facilities Capital Review Board, whose members are designated by the Judiciary, the Executive and both houses of the Legislature. Under the Act, financial aid is available in the form of a subsidy to reduce the cost of borrowing money to finance court

improvements. The subsidy ranges from 33 percent to 25 percent of interest costs, depending on the locality's relative taxing capacity.

To promote better maintenance of courtrooms and buildings, the Act established a second aid program to reimburse cities and counties for a portion of the operations and maintenance costs associated with court facilities. In 1996, new legislation replaced this broad, partial subsidy with a contractual arrangement whereby the State would reimburse local governments 100 percent of the cost of court cleaning and minor repairs. The new subsidy program began to take effect in April 1998 on a phased-in basis. In SFY 2000-01, the subsidy rate rises to 75 percent and in SFY 2001-02, it reaches 100 percent. This new program is providing more aid to local governments and provides the aid more rapidly; in return, local governments will be held to more rigorous standards for cleaning court facilities and providing needed interior improvements.

In 1995, the Court Facilities Act was amended to provide 100 percent State reimbursement to local governments for all capital and maintenance and operations costs associated with providing facilities for the Appellate Divisions. This extension of the aid program is enabling local governments that host appellate facilities, particularly Monroe County and New York City, to plan and implement needed facilities expansions without incurring a financial burden for facilities used by residents of surrounding counties, as well as their own.

### ***Town and Village Courts***

The Justice Court Assistance Program, enacted by the Legislature during the 1999 session, provides financial assistance for various purposes, including automation, training for judges and court staff, purchasing law books, and improving court facilities. Magistrates Associations, which represent town and village justices, also will be allowed to apply for funds to be used toward judicial training programs. In the current fiscal year, the Unified Court System will disburse \$500,000 in grants to these local courts across the state. Funding for grants will be capped at a maximum of \$20,000 for any one court or association. The grants being made available under the program will supplement local funding to address specific needs, such as automation and training of court personnel. The new initiative is intended to increase the efficiency of town and village court operations and enhance the administration of justice on a local level. The 2000-01 budget for the Judiciary continues funding for this program of grant assistance at the current year level.

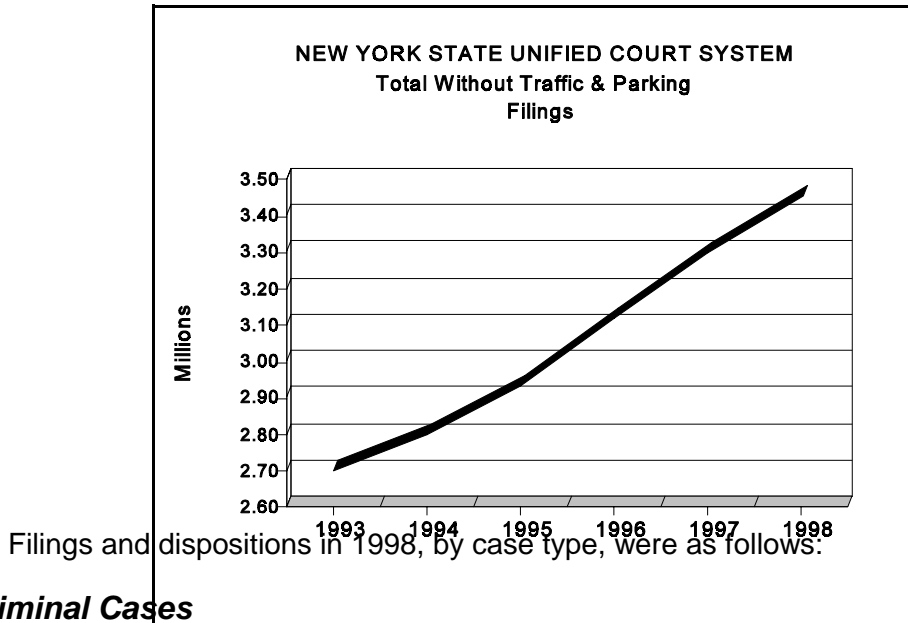
### ***Criminal Disposition Reconciliation Project***

The court system has been working with the Division of Criminal Justice Services to resolve the issues that have resulted in unmatched criminal cases and dispositions. A current list of arrest events for the period 1990-1998, for which arrests were reported to DCJS but not matched to dispositions, indicates over 500,000 unmatched arrests. A recent analysis of this data suggests that a significant portion of these "unmatched" arrests result from programming and other systems definition differences between the UCS and DCJS, including situations where dispositions have in fact been submitted to DCJS but not "accepted". A UCS/DCJS task force has been working to address these systems and programming problems. To resolve the unmatched arrests that remain once programming changes are completed, this budget requests temporary service funds for backup staff that would be hired in order to allow a short-term assignment of court staff to conduct field reviews. The UCS Director of Internal Affairs will supervise the project and the project team would be drawn from existing city and district court staff.



## COURT SYSTEM WORKLOAD

The court system is handling record level caseloads. In 1998, there were 3,360,631 new cases filed in the trial courts of the Unified Court System, excluding traffic and parking cases, an increase of over 650,000 cases or 22 percent in just five years.<sup>1</sup>



### Criminal Term of Supreme and County Courts

- Filings - 63,329
- Dispositions - 66,835

### Criminal Court of the City of New York

- Filings (arrest cases) - 394,428
- Dispositions (arrest cases) - 403,005
- Filings (summons cases) - 488,651
- Dispositions (summons cases) - 273,009

### City and District Courts Outside New York City

- Filings - 302,754
- Dispositions - 287,929

---

<sup>1</sup>There were, in addition, 312,735 filings in traffic cases and 276,325 filings in parking cases.

**Civil Cases**

**Civil Term of Supreme Court**

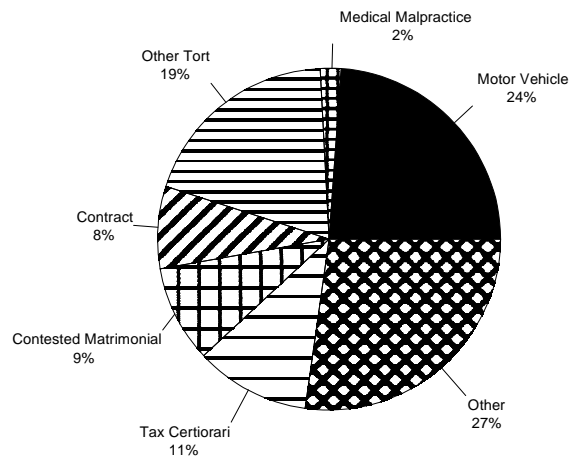
Civil Actions

- Filings - 385,797
- Dispositions - 409,710

Small Claims Assessment Review Program (SCAR)

- Filings - 50,284
- Dispositions - 65,269

**Supreme Civil New Case Filings  
By Case Type — 1998**



**Civil Court of the City of New York**

Civil Actions

- Filings - 214,920
- Dispositions - 120,795

Small Claims/Commercial Claims

- Filings - 51,191
- Dispositions - 59,398

Housing Court

- Filings - 326,212
- Dispositions - 260,121

## **JUDICIARY**

---

### **City and District Courts Outside New York City**

#### Civil Actions

- Filings - 115,437
- Dispositions - 110,548

#### Small Claims/Commercial Claims

- Filings - 56,483
- Dispositions - 57,152

#### Landlord/Tenant

- Filings - 68,997
- Dispositions - 70,038

### **County Courts**

- Filings - 18,131
- Dispositions - 18,469

### **Court of Claims**

- Filings - 2,143
- Dispositions - 2,341

### **Arbitration Program**

- Filings - 9,377<sup>2</sup>
- Dispositions - 9,811

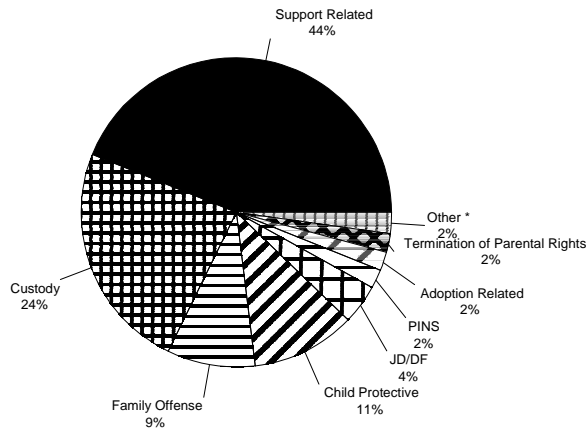
### **Family Courts**

- Filings - 654,602
- Dispositions - 653,812

---

<sup>2</sup>Arbitration cases are shown for reference only and are not included in the total filings. Arbitration cases are included as part of the civil court caseload listed above.

**Family Court Filings  
By Case Type — 1998**



\* Includes Guardianship, Foster Care, Physically Handicapped, Consent to Marry, Other

**Surrogate's Courts**

- Filings - 167,272
- Dispositions - 142,292

# 2000-01 JUDICIARY BUDGET REQUEST

## ANALYSIS OF CHANGE

The Judiciary's 2000-01 Court and Agency Operations - General Fund base budget increase totals \$30.5 million. The chief components of the base change in the Court and Agency Operations - General Fund budget are:

- salary increments to eligible nonjudicial employees as provided by collective bargaining contracts; \$10.7 million
- overtime and temporary service increases to support current usage; \$1.4 million
- funding to meet the full annual cost of new judgeships established during the 1999 legislative session and made effective on January 1, 2000; \$5.5 million
- a net increase of 24 certificated justices pursuant to section 115 of the Judiciary Law; \$5.3 million
- funding for the full annual cost of 268 new nonjudicial positions approved by the Legislature in the current fiscal year; \$7.4 million
- personal service savings adjustments, including annualized savings from the Early Retirement Incentive program and normal attrition; \$-4.8 million
- Law Guardian Program increases in Legal Aid contracts (\$3.2 million), and Law Guardian vouchers (\$.7 million) to address increases in law guardian assignments; \$3.9 million
- costs beyond normal trial costs that are associated with capital case transcript production and appeal printing expenses; \$.8 million
- cost increases specific to legal reference (based on inflation and major law changes) purchases and updates required to keep collections current; and computer assisted legal reference (CALR) usage; \$1.7 million
- contractual security increases necessary for annualization of contract staffing levels approved in 1999-2000 and to pay for collective bargaining increases approved or anticipated to be approved by local governments; \$1.1 million.
- education and training costs to support current judicial education, nonjudicial training and career services programs, including modest expansion of the Judicial Management Education Programs; \$.3 million
- contractual services increases for the Community Dispute Resolution Program grants to existing centers; \$.1 million
- an increase in jury per diem fees to reflect projected juror days; \$.5 million
- payment for Judicial Hearing Officers, including funds for the increase in Judicial Hearing Officer per diem fees to \$300, effective September, 1999; \$.5 million
- increased costs for Certificates of Participation (COPS) installment payments related to the 1999-2000 COPS refurbishing initiative; \$.6 million
- costs associated with the contractual services operations of Community Courts; \$.3 million
- costs associated with the State share of Drug Treatment Court funding for both personnel and contractual services; \$1.8 million
- ongoing equipment costs; \$-3.4 million
- workload and inflation increases; \$1.8 million

The Judiciary General Fund - Court and Agency Operations Budget includes \$7.2 million for resource requests to continue key Judiciary initiatives. The proposals are directed to meeting specific objectives in priority areas, including the court system's Family Justice Program, Domestic Violence Program, Civil Justice Program, City Courts and the expansion and improvement of court security services. Funds requested in the Judiciary budget include:

**Additional Personnel:** Funds for 173 new personnel related to civil justice and other court system initiatives and workload related staffing needs: \$1.8 million

**ADR Initiatives:** Funds for contracts to expand civil case ADR programs and Family Court Mediation Programs; \$.4 million

**Jury:** Funds for personnel and jury improvements including technology to enhance the juror qualification, summoning and attendance process; \$.4 million

**Appellate Workload:** Funds for personnel and other costs to address the Mental Hygiene Legal Service workload needs related to the "Kendra's Law" legislation; \$.5 million

**Automation:** The request includes \$1.0 million in Certificates of Participation (COPS) financing for Court System automation initiatives, and \$.5 million for Appellate Court and Auxiliary agency initiatives; \$1.5 million

**Court Security Enhancements:** A request is made for additional contractual security personnel (\$.9 million); state-paid court officer positions (82; \$.7 million). These additional new security positions are included in the 173 "additional personnel"

**Furnishing and Equipment:** A request is made for COPS financing to upgrade and replace badly deteriorated furnishings and for new facility furnishings; \$.3 million

**Criminal Dispositions Reconciliation Project:** Funding for temporary service and travel for a joint project with DCJS to resolve unmatched criminal cases and dispositions: \$.5 million

**Records Management:** Funding for records management projects in the trial courts; \$.7 million

**Appellate Division Renovations:** Funding for renovations to the Appellate Division, Third Department facility; \$.2 million

***THE JUDICIARY BUDGET — 2000-01***

Following is the Summary of the 2000-01 fiscal requirements of the Judiciary as approved by the Court of Appeals and certified by Chief Judge Judith S. Kaye.

**UNIFIED COURT SYSTEM  
2000-01 BUDGET REQUEST  
ALL FUNDS FISCAL REQUIREMENTS  
Major Purpose / Fund Summary**

CATEGORY/FUND/MAJOR PURPOSE	1999-2000 AVAILABLE	2000-01 REQUESTED	CHANGE
<b>COURT &amp; AGENCY OPERATIONS:</b>			
<i>COURTS OF ORIGINAL JURISDICTION</i>	953,586,949	981,836,561	28,249,612
<i>COURT OF APPEALS</i>	10,598,410	11,035,609	437,199
<i>APPELLATE COURT OPERATIONS</i>	49,601,187	50,872,033	1,270,846
<i>APPELLATE AUXILIARY OPERATIONS</i>	64,246,741	69,418,286	5,171,545
<i>ADMINISTRATION &amp; GENERAL SUPPORT</i>	15,751,526	15,749,240	(2,286)
<i>JUDICIARY WIDE MAINTENANCE UNDISTRIBUTED</i>	3,448,966	6,093,398	2,644,432
<b>CT. &amp; AG. OPERATIONS-GENERAL FUND TOTAL</b>	<b>1,097,233,779</b>	<b>1,135,005,127</b>	<b>37,771,348</b>
<b>SPECIAL REVENUE FUND-FEDERAL</b>			
<i>MISCELLANEOUS FEDERAL GRANTS</i>	6,900,000	6,000,000	(900,000)
<b>SPECIAL REVENUE FUND-OTHER</b>			
<i>COUNTY CLERKS OFFSET FUND</i>	14,809,771	15,392,839	583,068
<i>DATA PROCESSING OFFSET FUND</i>	8,155,982	8,836,400	680,418
<i>TAX PROCESSING FEE ACCOUNT</i>	1,000,000	0	(1,000,000)
<i>MISCELLANEOUS SPECIAL REVENUE GRANTS</i>	1,402,500	1,000,000	(402,500)
<i>ATTORNEY LICENSING FUND</i>	14,636,680	15,789,792	1,153,112
<i>COURT FACILITIES INCENTIVE AID FUND</i>	1,164,636	1,417,754	253,118
<b>COURT &amp; AGENCY-ALL FUNDS-TOTAL</b>	<b>1,145,303,348</b>	<b>1,183,441,912</b>	<b>38,138,564</b>
<b>GENERAL STATE CHARGES</b>			
<i>GENERAL FUND</i>	171,492,261	184,782,322	13,290,061
<i>LAWYERS' FUND-CLIENT PROTECTION</i>	98,000	98,000	0
<i>ATTORNEY LICENSING FUND</i>	1,795,596	1,939,244	143,648
<i>COURT FACILITIES INCENTIVE AID FUND</i>	184,594	199,362	14,768
<i>DATA PROCESSING OFFSET</i>	1,543,877	1,667,387	123,510
<i>NYC COUNTY CLERKS OFFSET FUND</i>	2,198,346	2,374,214	175,868
<b>GENERAL STATE CHARGES-ALL FUNDS TOTAL</b>	<b>177,312,674</b>	<b>191,060,529</b>	<b>13,747,855</b>
<b>LAWYERS' FUND-CLIENT PROTECTION</b>			
<i>LAWYERS' FUND-CLIENT PROTECTION</i>	8,966,000	8,986,500	20,500
<b>LAWYERS' FUND-ALL FUNDS TOTAL</b>	<b>8,966,000</b>	<b>8,986,500</b>	<b>20,500</b>
<b>AID TO LOCALITIES</b>			
<i>GENERAL FUND-COURTS OF ORIGINAL JURISDICTION</i>	500,000	500,000	0
<i>COURT FACILITIES INCENTIVE AID FUND</i>	49,659,095	49,696,461	37,366
<b>AID TO LOCALITIES-ALL FUNDS TOTAL</b>	<b>50,159,095</b>	<b>50,196,461</b>	<b>37,366</b>
<b>CAPITAL PROJECTS</b>			
	0	7,775,000	7,775,000
<b>CAPITAL CONSTRUCTION-ALL FUNDS TOTAL</b>	<b>0</b>	<b>7,775,000</b>	<b>7,775,000</b>



# JUDICIARY

CATEGORY/FUND/MAJOR PURPOSE	1999-2000 AVAILABLE	2000-01 REQUESTED	CHANGE
<b>COURT &amp; AGENCY OPERATIONS:</b>			
COURTS OF ORIGINAL JURISDICTION			
<i>General Fund</i>	953,586,949	981,836,561	28,249,612
<i>Special Revenue Funds</i>	32,268,253	31,314,608	(953,645)
<i>Total - All Funds</i>	985,855,202	1,013,151,169	27,295,967
COURT OF APPEALS			
<i>General Fund</i>	10,598,410	11,035,609	437,199
<i>Special Revenue Funds</i>	0	0	0
<i>Total - All Funds</i>	10,598,410	11,035,609	437,199
APPELLATE COURT OPERATIONS			
<i>General Fund</i>	49,601,187	50,872,033	1,270,846
<i>Special Revenue Funds</i>	0	0	0
<i>Total - All Funds</i>	49,601,187	50,872,033	1,270,846
APPELLATE AUXILIARY OPERATIONS			
<i>General Fund</i>	64,246,741	69,418,286	5,171,545
<i>Special Revenue Funds</i>	13,510,641	14,193,147	682,506
<i>Total - All Funds</i>	77,757,382	83,611,433	5,854,051
ADMINISTRATION & GENERAL SUPPORT			
<i>General Fund</i>	15,751,526	15,749,240	(2,286)
<i>Special Revenue Funds</i>	1,890,675	2,025,902	135,227
<i>Total - All Funds</i>	17,642,201	17,775,142	132,941
JUDICIARY WIDE MAINTENANCE UNDISTRIBUTED			
<i>General Fund</i>	3,448,966	6,093,398	2,644,432
<i>Special Revenue Funds</i>	400,000	903,128	503,128
<i>Total - All Funds</i>	3,848,966	6,996,526	3,147,560
<b>COURT &amp; AGENCY OPERATIONS-TOTAL</b>			
<i>General Fund</i>	1,097,233,779	1,135,005,127	37,771,348
<i>Special Revenue Funds</i>	48,069,569	48,436,785	367,216
<b><i>Total - All Funds</i></b>	<b>1,145,303,348</b>	<b>1,183,441,912</b>	<b>38,138,564</b>
<b>GENERAL STATE CHARGES</b>			
<b>EMPLOYEE FRINGE BENEFITS</b>			
<i>General Fund</i>	171,492,261	184,782,322	13,290,061
<i>Special Revenue Funds</i>	5,820,413	6,278,207	457,794
<b><i>Total - All Funds</i></b>	<b>177,312,674</b>	<b>191,060,529</b>	<b>13,747,855</b>
<b>LAWYERS' FUND-CLIENT PROTECTION</b>			
<i>General Fund</i>	0	0	0
<i>Special Revenue Funds</i>	8,966,000	8,986,500	20,500
<b><i>Total - All Funds</i></b>	<b>8,966,000</b>	<b>8,986,500</b>	<b>20,500</b>
<b>AID TO LOCALITIES</b>			
<i>General Fund</i>	500,000	500,000	0
<i>Special Revenue Funds</i>	49,659,095	49,696,461	37,366
<b><i>Total - All Funds</i></b>	<b>50,159,095</b>	<b>50,196,461</b>	<b>37,366</b>
<b>CAPITAL PROJECTS</b>			
<i>General Fund</i>	0	7,775,000	7,775,000
<i>Special Revenue Funds</i>	0	0	0
<b><i>Total - All Funds</i></b>	<b>0</b>	<b>7,775,000</b>	<b>7,775,000</b>

# ***THE LEGISLATURE***

The New York State Constitution vests the State's law-making power in a two-house Legislature composed of a 61-member Senate and a 150-member Assembly. Each representative is elected for two-year terms, with all 211 being elected every two years. The Legislature convenes annually on the first Wednesday after the first Monday in January and remains in session until it concludes its business.

The Legislature has many powers set by the State Constitution. These responsibilities include:

- the ability to propose laws;
- the power to override a gubernatorial veto if two-thirds of the Senate and Assembly vote to do so;
- the reapportionment of legislative and congressional districts every ten years after the national census;
- the confirmation by the Senate of gubernatorial appointments of non-elected state officials and court judges;
- the proposition of amendments to the State Constitution;
- voting on ratification of proposed amendments to the Federal Constitution; and
- the creation, regulation and, in some limited cases, abolition of local governments.

Subject to the limitations and prohibitions imposed by the Federal Constitution, certain Federal statutes and treaties, and the State Constitution, the law-making powers of the Legislature are practically unlimited. The principal purposes of bills considered by the Legislature are to:

- enact or amend laws relating to the government of the State and its various subdivisions;
- appropriate funds for the operation of the various agencies and functions of State government and for State aid to local governments, and to provide adequate revenue-producing sources for these purposes;
- provide for and regulate the operation of a judicial system, including the practices and procedures for the system;
- define acts or omissions that constitute crimes, and to provide penalties for these crimes;
- promote the public welfare, including the care of the State's indigent, mentally ill, unemployed, etc.; and
- correct, clarify, amend or repeal obsolete, conflicting, uncertain or invalidated statutes.

In addition to the Senate and Assembly, the Legislature's Budget authorizes funding for several other components, which support the operations of the two houses, including:

- part of the Lieutenant Governor's office;
- fiscal committees operating in each house; and
- joint entities, including the Legislative Ethics Committee, Legislative Library, Legislative Health Services, Legislative Messenger Service, Legislative Bill Drafting Commission and the Legislative Task Force on Demographic Research and Reapportionment.

Each of these Legislative components will be discussed in separate sections below.

## ***LEGISLATIVE BUDGET HIGHLIGHTS***

The recommended General Fund appropriation of \$198,669,846 for fiscal year 2000-01 for the Legislature represents a modest increase of \$6,054,919 or 3.14 percent above the amount appropriated for FY 1999-2000. The Legislature's budget request for FY 2000-01 represents an overall increase of 8.32 percent over the past ten years. Over this same period, the Consumer Price Index will have increased by 30.8 percent.

# LEGISLATURE

## Legislative Budget Summary General Fund Appropriations

<u>Entity</u>	<u>Available FY 1999-2000</u>	<u>Recommended FY 2000-01</u>	<u>Change</u>
Lt. Governor	\$285,989	\$285,989	\$0
Senate	\$76,375,244	\$78,666,501	+\$2,291,257
Assembly	\$90,769,825	\$93,492,920	+2,723,095
Fiscal Committees	\$10,036,082	\$10,337,164	+\$301,082
Joint Legislative Entities	\$15,147,787	\$15,887,271	+\$739,485
<b>LEGISLATURE TOTAL</b>	<b>\$192,614,927</b>	<b>\$198,669,846</b>	<b>+\$6,054,919</b>

## Legislative Budget History Fiscal Year 1990-91 to 2000-01 General Fund Appropriations

<u>FY 1990-91 Appropriations</u>	<u>FY 1999-2000 Appropriations</u>	<u>FY 2000-01 Recommended</u>	<u>Change from FY 1999-2000 Appropriations (%)</u>	<u>Change from FY 1990-91 Appropriations (%)</u>
\$183,405,313	\$192,614,927	\$198,669,847	+\$6,054,919 (+3.14%)	+\$15,264,533 (+8.32%)

## Legislative Budget General Fund Appropriations Comparison to Consumer Price Index Fiscal Year 1990-91 through Fiscal Year 2000-2001

	<u>FY 1990-91</u>	<u>FY 1999-2000</u>	<u>FY 2000-01</u>	<u>% Change 1990-91 to 2000-01</u>
Legislative Budget	\$183,405,313	\$192,614,927	\$198,669,846	+8.32%
Consumer Price Index	138.5	177.0*	181.2*	+30.8%

\* estimated

The recommended Special Revenue Fund-Other appropriation of \$1,600,000 for FY 2000-01 represents no change from the amount appropriated for FY 1999-2000. No tax revenues are required for Special Revenue Funds.

The recommended Grants and Bequests Fund appropriation of \$500,000 for FY 2000-01 represents no change from the amount appropriated for FY 1999-2000. No tax revenues are required for Grants and Bequests Funds.

## LIEUTENANT GOVERNOR

The Lieutenant Governor serves as the Senate's President and has a casting vote. The Lieutenant Governor's salary of \$151,500 appears as part of the Legislative Budget. The Legislature also funds a part of the Lieutenant Governor's Office.

### BUDGET HIGHLIGHTS

The recommended appropriation of \$285,989 for fiscal year 2000-01 for the Lieutenant Governor represents no change from the amount appropriated for FY 1999-2000.

## **SENATE**

The Senate is composed of 61 Members elected for two-year terms from districts around the state. Each Senator represents approximately 295,000 constituents. The Senate conducts its legislative business through the operation of 34 Standing Committees.

The Senate elects from among its Members for a two-year term a Temporary President who directs and guides the business of the Senate, appoints Members to Senate Standing Committees, and appoints the Senate's staff. The Temporary President serves as the presiding officer in the absence of the Lieutenant Governor or may delegate this duty to another Member. In addition, the Temporary President serves as the Majority Leader of the majority party, while the minority party of the Senate chooses a Minority Leader from among its membership.

Senate Members have staff to assist them in carrying out their legislative duties, delivering constituent services and, where applicable, in fulfilling their responsibilities as committee chairs or leaders of the Senate. Members are also provided with office space both in Albany and the district, as well as office equipment, furnishings and supplies, in order to serve their constituents. Travel expenses for approved official Senate business are reimbursable. The Majority and Minority Leaders each have staff to provide counsel, policy analysis, program development and Washington, D.C. representation. The Temporary President, through the Secretary of the Senate, employs staff to operate the Senate Chamber during session and to handle the legislative process during the remainder of the year, furnish research and computer services, and provide administrative services such as personnel, fiscal and maintenance services for the Senate. The Temporary President also has staff to deliver communications and printing services for the Senate. Finally, the Senate operates a program for college students which includes a Session Assistant program for undergraduates and a Student Fellows program for post-graduates who wish to learn about and experience the legislative process by working with Senate Members.

In addition to the Senate's General Fund appropriation, a Special Revenue Fund (Senate Recyclable Materials, Information Services and Conference Fund) has been established to collect revenues from the sale of recyclable materials, distribution of documents, materials and computerized information, and fees charged for conferences sponsored by the Senate. These revenues may be used to pay for waste disposal, production and distribution of Senate documents, materials and computerized information, and expenses related to conferences sponsored by the Senate. A Grants and Bequests Fund has also been established to receive non-state grants which may be used to pay for services and expenses related to the restoration of the Senate Chamber.

### **BUDGET HIGHLIGHTS**

The recommended appropriation for the Senate of \$78,666,501 for FY 2000-01 represents a modest 3.0 percent increase. The \$2,291,257 increase is needed to fund anticipated cost of living raises for Senate staff and to offset anticipated increases in the nonpersonal service sector due primarily to inflationary pressure on the cost of the district office leases and supplies, and the multi-year installation of a new telecommunications network.

As detailed in the Table below, the Senate (including the Legislative Commissions for which funding was eliminated in the FY 1995-96 budget) has seen its budget increase by \$7,802,034 or 11.01 percent from the \$70,864,467 appropriated in FY 1990-91. Over the same ten year period, the consumer price index has increased by 30.8 percent.

In the past five years, the Senate has reduced its staff by 350 employees or 19.1 percent, eliminated its Washington, D.C. and New York City office leases, closed approximately 20 district offices, and reduced the number of district-wide mailings allowed each Member. The

## LEGISLATURE

---

Senate has also granted an across-the-board cost-of-living increase for its staff in only five of the past ten years. The Senate continued to tightly control its nonpersonal service expenses by restraining the purchasing of office supplies and furnishings, severely restricting travel, delaying essential equipment upgrades and reducing expenditures in other ways while the costs of these have continued to rise, often above the rate of inflation.

### Senate Budget History Fiscal Year 1990-91 to 2000-01 General Fund Appropriations

	<u>FY 1990-91 Appropriations</u>	<u>FY 1999-2000 Available</u>	<u>FY 2000-01 Recommended</u>	<u>Change from FY 1999-2000 (%)</u>	<u>Change from FY 1990-91 (%)</u>
Senate Budget	\$67,238,167	\$76,375,244	\$78,666,501		
Senate Commissions	\$3,626,300	\$0	\$0		
<b>TOTAL</b>	<b>\$70,864,467</b>	<b>\$76,375,244</b>	<b>\$78,666,501</b>	<b>+\$2,291,257 (+3.0%)</b>	<b>+\$7,802,034 (+11.01%)</b>

## ASSEMBLY

The Assembly is composed of 150 members elected for two-year terms from districts around the state. Each Member of Assembly represents approximately 120,000 constituents. The Assembly conducts its legislative business through the operation of 36 standing committees.

The Assembly elects from among its members a Speaker who directs and guides the business of the Assembly, and appoints members to Assembly Standing Committees and Assembly leadership positions. The Speaker serves as the presiding officer of the Assembly. The minority party of the Assembly chooses a Minority Leader from their membership.

Each Member of Assembly is entitled to employ staff to assist them in carrying out their legislative duties and, where applicable, their responsibilities as Committee Chairs or leadership. Members are also provided with office space both in Albany and the district, as well as office equipment, furnishings and supplies, in order to serve their constituents. The State Constitution provides for reimbursement to Assembly Members for travel to the Capitol from their district, and Members and staff are also eligible for reimbursement of other travel related to legislative business. The Speaker of the Assembly and the Assembly Minority Leader employ staff to provide counsel, legislative program development and policy analysis. The Assembly also employs staff to serve the needs of the house, including the operation of the Assembly Chamber during session, the management of the legislative process, and research, communications and administrative services. The Assembly also administers an Intern Program to provide opportunities to undergraduate and graduate college students to learn about the legislative process while utilizing their skills to assist the Assembly Members in fulfilling their constitutional responsibilities.

In addition to the Assembly's General Fund appropriation, a Special Revenue Fund (Assembly Recyclable Materials, Information Services and Conference Fund) has been established to collect revenues from the sale of recyclable materials, distribution of documents, materials and computerized information, and fees charged for conferences sponsored by the Assembly. These revenues may be used to pay for waste disposal, production and distribution of Assembly documents, materials and computerized information, and expenses related to conferences sponsored by the Assembly. A Grants

and Bequests Fund has also been established to receive non-state grants which may be used to pay for services and expenses related to the restoration of the Assembly Chamber.

**BUDGET HIGHLIGHTS**

The recommended appropriation for FY 2000-01 of \$93,492,920 represents an increase of \$2,723,095 above the amount appropriated for FY 1999-2000. This increase of 3.0 percent is required to fund anticipated increases in staff salaries and for other anticipated increases in nonpersonal services expenditures.

Over the past ten years, as detailed below, the Assembly's budget (including Assembly Commissions for which funding was eliminated in FY 1995-96) has increased by 10.9 percent, while over the same period, the Consumer Price Index has increased by 30.8 percent. The Assembly has been able to keep its spending over the past ten years well below inflation by reducing the payroll for Assembly controlled entities by over 300 positions, the elimination of regional offices, and other operational savings.

**Assembly Budget History  
Fiscal Year 1990-91 to 2000-2001  
General Fund Appropriations**

	<u>FY 1990-91 Appropriations</u>	<u>FY 1999-2000 Available</u>	<u>FY 2000-01 Recommended</u>	<u>Change from FY 1999-2000 (%)</u>	<u>Change from FY 1990-91 (%)</u>
Assembly Budget	\$80,732,868	\$90,769,825	\$93,492,920		
Assembly Commissions	\$3,569,700	\$0	\$0		
<b>TOTAL</b>	<b>\$84,302,568</b>	<b>\$90,769,825</b>	<b>\$93,492,920</b>	<b>+\$2,723,095 (+3.0%)</b>	<b>+\$9,190,352 (+10.9%)</b>

**FISCAL COMMITTEES**

The Governor's annual budget bills and the budgetary proposals for the Legislature and Judiciary are referred to these committees when introduced and are reported by them, with recommendations, to the Legislature. Designated representatives of the committees are entitled, by constitutional provisions, to attend the required hearings for the preparation of the budget and to make inquiry concerning any part thereof. These committees also consider all bills introduced in the Legislature carrying appropriations or providing for the expenditures of public money.

In addition, pursuant to the provisions of section 122-a of the State Finance Law, the Chairmen and ranking Minority Members of the Senate Finance Committee and the Assembly Ways and Means Committee function as an Audit Committee. The responsibilities of the Audit Committee include the selection of an independent certified public accountant to conduct an independent audit of the state's annual financial statements, receiving the results of such independent audit, and submitting the certification received from the independent certified public accountant to the State Comptroller for inclusion in the annual financial report required pursuant to section 8 of the State Finance Law.

## **LEGISLATURE**

---

### **BUDGET HIGHLIGHTS**

The recommended appropriation of \$5,168,582 for fiscal year 2000-01 for both the Senate Finance Committee and the Assembly Ways and Means Committee represents an increase of \$150,541 above the amount appropriated for FY 1999-2000.

## **JOINT ENTITIES AND DUES PAYMENTS**

### **LEGISLATIVE ETHICS COMMITTEE**

The Legislative Ethics Committee was created by Chapter 813 of the laws of 1987 and is a joint bipartisan committee authorized by law to act on matters arising out of Public Officers Law Sections 73, 73-a and 74, as applied to the legislative branch, and Legislative Law Section 80. The Committee is authorized by law to distribute, collect and review financial disclosure statements from legislators, employees and candidates for legislative office. The Committee renders formal advice on the law and investigates violations of the law, which are subject to civil and criminal penalties. The Legislative Ethics Committee is also required to adopt policies, guidelines, rules, and regulations to interpret and administer the legislative ethics laws. The eight-member committee is comprised of two members each from the Senate and Assembly majority and minority parties.

### **BUDGET HIGHLIGHTS**

The recommended appropriation of \$370,000 for FY 2000-01 for the Legislative Ethics Committee represents no change from the amount appropriated for FY 1999-2000.

### **LEGISLATIVE HEALTH SERVICE**

Section 7-b of the Legislative Law provides for a legislative emergency health station for the use of members and employees of the Legislature and legislative correspondents. This station is to be under the direction of a registered nurse and suitably and adequately equipped to administer first aid whenever needed.

### **BUDGET HIGHLIGHTS**

The recommended appropriation of \$177,277 for FY 2000-01 for the Legislative Health Service represents an increase of \$5,163 above the amount appropriated for FY 1999-2000.

### **LEGISLATIVE LIBRARY**

Section 7-a of the Legislative Law provides for a Legislative Library to be located in the State Capitol, conveniently accessible to the members of both houses of the Legislature. The Legislative Library is the Library of Record for the Legislature. The Legislative Library is open throughout the year and all hours that the Legislature is actively in session, and provides general information services to legislators and their staffs with a collection emphasis on legal materials.

### **BUDGET HIGHLIGHTS**

The recommended appropriation of \$734,014 for FY 2000-01 for the Legislative Library represents an increase of \$21,379 from the amount appropriated for FY 1999-2000.

### **LEGISLATIVE MESSENGER SERVICE**

The Legislative Messenger Service provides a communications network throughout the Empire State Plaza and neighboring state buildings for Senate and Assembly legislators and their staffs. The service employs and trains individuals with disabilities as office personnel and messengers, and is located in the Legislative Office Building.

### **BUDGET HIGHLIGHTS**

The recommended appropriation of \$682,518 for FY 2000-01 represents an increase of \$19,879 above the amount appropriated for FY 1999-2000.

### **LEGISLATIVE BILL DRAFTING COMMISSION**

The Legislative Bill Drafting Commission is composed of two commissioners jointly appointed by the Temporary President of the Senate and the Speaker of the Assembly. The Commission is mandated to draft or aid in the drafting of legislative bills and resolutions at the request of members or committees of either house of the Legislature. The Commission, upon research and examination, may advise as to the constitutionality, consistency or effect of proposed legislation upon request of a member or committee of either house of the Legislature. The Commissioners direct a legal staff of attorneys and are supported by a data processing and technical staff.

The Commission also maintains and operates centralized data processing systems, programs and equipment for the operation of a bill status and statutory and other miscellaneous information retrieval system for the Legislature, including the creation of a databank containing the official statutes of the state and the text of the rules and regulations of state agencies as filed with the Secretary of State. The Commission's budget is used to pay for the cost of the Legislature's printing contract for the printing of bills, session laws, the classification of appropriations book (Black Book), Senate and Assembly Journals, and other miscellaneous legislative documents, and the printing, publication and distribution of the Legislative Digest.

The Commission receives revenues from the private sale of subscriptions to the Legislative Digest and to the Legislative Retrieval Service (LRS), which are deposited in a Special Revenue Fund known as the Legislative Computer Services Fund. These revenues are used to offset the costs of operating the Commission's data processing systems.

### **BUDGET HIGHLIGHTS**

The recommended appropriation of \$11,689,951 for fiscal year 2000-01 for the Legislative Bill Drafting Commission represents an increase of \$340,484 above the amount appropriated for FY 1999-2000, which is required for anticipated increases in funding requirements.

An appropriation of \$1,500,000 for FY 2000-01 is recommended for the Legislative Computer Services Fund. This recommended appropriation represents no change from the amount appropriated for FY 1999-2000. No tax revenues are required for this Fund.

### **LEGISLATIVE TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT**

The Task Force on Demographic Research and Reapportionment was established by Chapter 45 of the laws of 1978 to research and study the techniques and methodologies used by the U.S. Commerce Departments' Bureau of the Census in carrying out the decennial



## **LEGISLATURE**

---

federal census. The Task Force aids the Legislature by providing technical plans for meeting the requirements of legislative timetables for the reapportionment of Senate, Assembly and Congressional districts. Using its Geographic Information System database, it also conducts research projects relating to the collection and use of census data and other statistical information.

The Task Force is also authorized to receive revenues from the sale of computer-generated data and services for deposit in the Special Revenue Fund known as the Legislative Computer Services Fund. These funds may be used to offset the Task Force's cost of operating its data processing systems.

### ***BUDGET HIGHLIGHTS***

The total recommended appropriation of \$1,956,891 for fiscal year 2000-01 for the Legislative Task Force on Demographic Research and Reapportionment represents an increase of \$343,697 above the amount available for FY 1999-2000. This increase is required for the acquisition of computer equipment and additional staffing for the analysis of the decennial Federal census and redistricting of congressional and legislative seats.

### ***NATIONAL CONFERENCE OF STATE LEGISLATURES DUES***

The National Conference of State Legislatures (NCSL) is a bi-partisan organization created to serve the legislators and staff of each State Legislature. NCSL provides research, technical assistance and the opportunity for policy makers to exchange ideas on the most pressing state issues.

New York's involvement with the NCSL is through the Assembly on the Legislature (AOL) and State-Federal Assembly (SFA). The AOL promotes the exchange of ideas and information on state issues among state legislatures. SFA informs legislators of developments in state-federal relations, identifies issues of critical concern and serves as a forum for discussion among its 50 state membership. All state legislators and their staff members are eligible to participate in the Conference and are entitled to the full use of its services.

NCSL is supported from dues assessed to each State Legislature, on the basis of state population totals.

### ***BUDGET HIGHLIGHTS***

The recommended appropriation of \$276,621 for fiscal year 2000-01 for the National Conference of State Legislatures dues represents an increase of \$8,883 above the amount appropriated for FY 1999-2000.

**ALL FUNDS REQUIREMENTS FOR THE LEGISLATURE**

<u>Fund/Entity/Major Purpose</u>	<u>Available 1999-2000</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Lt. Governor	\$285,989	\$285,989	\$0
Senate	76,375,244	78,666,501	2,291,257
Assembly	90,769,825	93,492,920	2,723,095
Senate Finance Committee	5,018,041	5,168,582	150,541
Assembly Ways and Means Committee	5,018,041	5,168,582	150,541
Joint Entities:			
Legislative Ethics Commission	370,000	370,000	0
National Conference of State Legislatures Dues	267,738	276,621	8,883
Legislative Health Service	172,114	177,277	5,163
Legislative Library	712,635	734,014	21,379
Legislative Messenger Service	662,639	682,518	19,879
Legislative Bill Drafting Commission	11,349,467	11,689,951	340,484
Legislative Task Force on Demographic Research and Reapportionment	1,613,194	1,956,890	343,696
<b>Joint Entities Total</b>	<b><u>\$15,147,787</u></b>	<b><u>\$15,887,271</u></b>	<b><u>\$739,484</u></b>
<b>GENERAL FUND TOTAL</b>	<b>\$192,614,927</b>	<b>\$198,669,846</b>	<b>\$6,054,919</b>
Special Revenue Fund Other:			
Legislative Computer Services Fund	\$1,500,000	\$1,500,000	\$0
Senate Recyclable Materials, Information Services and Conference Fund	50,000	50,000	0
Assembly Recyclable Materials, Information Services and Conference Fund	<u>50,000</u>	<u>50,000</u>	<u>0</u>
<b>SPECIAL REVENUE FUND TOTAL</b>	<b>\$1,600,000</b>	<b>\$1,600,000</b>	<b>\$0</b>
Grants and Bequests Fund:			
Restoration of Senate Chamber	250,000	250,000	0
Restoration of Assembly Chamber	<u>250,000</u>	<u>250,000</u>	<u>0</u>
<b>GRANTS AND BEQUESTS FUND TOTAL</b>	<b>\$500,000</b>	<b>\$500,000</b>	<b>\$0</b>

**SCHEDULE OF APPROPRIATIONS**

<u>Title of Appropriation</u>	<u>Appropriated for 1999-2000</u>	<u>Requested for 2000-01</u>	<u>Change</u>
<b>OFFICE OF THE LIEUTENANT GOVERNOR</b>			
Lieutenant Governor .....	\$151,500	\$151,500	\$0
<b>Administration</b>			
For personal service of employees and for temporary and expert services .....	\$117,547	\$117,547	\$0
<b>Maintenance and Operation</b>			
For services and expenses of maintenance and operation (including liabilities incurred prior to April 1, 2000) .....	<u>\$16,942</u>	<u>\$16,942</u>	<u>\$0</u>
Total — Office of Lieutenant Governor .....	\$285,989	\$285,989	\$0
<b>THE SENATE</b>			
<b>Personal Service</b>			
For payment of salaries to Members, 61, pursuant to section five of the Legislative Law .....	\$4,849,500	\$4,849,500	\$0
For payment of allowances to members designated by the temporary president, pursuant to the schedule of such allowances set forth in section 5-a of the legislative law .....	\$1,289,500	\$1,289,500	\$0
For personal service of employees and for temporary and expert services of majority leader and minority leader operations .....	\$8,820,703	\$9,041,221	\$220,518
For personal service of employees and for temporary and expert services of members' offices and of standing committees .....	\$26,774,228	\$27,443,584	\$669,356
For personal service of employees and for temporary and expert services for administrative support operations .....	\$13,072,607	\$13,399,422	\$326,815
For personal service of employees and for temporary and expert services for the senate student program office .....	\$438,568	\$449,532	\$10,964
For personal service of employees and for temporary and expert services for the senate select committee on interstate cooperation .....	\$78,983	\$78,983	\$0
For personal service of employees and for temporary and expert services for the senate special committee on the culture industry .....	\$78,983	\$78,983	\$0
For personal service of employees and for temporary and expert services for the senate select committee on the disabled .....	<u>\$116,150</u>	<u>\$116,150</u>	<u>\$0</u>
Total Personal Service .....	\$55,519,222	\$56,746,875	\$1,227,653

Title of Appropriation	Appropriated for 1999-2000	Requested for 2000-01	Change
<b>Nonpersonal Service</b>			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 2000)			
Non-employee services .....	\$351,022	\$354,626	\$3,604
Supplies and Materials .....	\$2,150,000	\$2,250,000	\$100,000
Travel .....	\$1,300,000	\$1,350,000	\$50,000
Rentals .....	\$1,450,000	\$1,450,000	\$0
Equipment maintenance and repairs .....	\$1,400,000	\$1,500,000	\$100,000
Office and space leases .....	\$3,000,000	\$3,200,000	\$200,000
Utilities .....	\$800,000	\$900,000	\$100,000
Postage and shipping .....	\$3,600,000	\$3,600,000	\$0
Printing .....	\$300,000	\$310,000	\$10,000
Telephone and telegraph .....	\$2,480,000	\$2,580,000	\$100,000
Miscellaneous contractual services .....	\$425,000	\$425,000	\$0
Equipment .....	<u>\$2,800,000</u>	<u>\$3,000,000</u>	<u>\$200,000</u>
Total Nonpersonal Service .....	\$20,056,022	\$20,919,626	\$863,604
<b>Maintenance Undistributed</b>			
For services and expenses, including travel outside the state .....	<u>\$800,000</u>	<u>\$1,000,000</u>	<u>\$200,000</u>
Grand Total — The Senate .....	<u>\$76,375,244</u>	<u>\$78,666,501</u>	<u>\$2,291,257</u>

**THE ASSEMBLY**

<b>Personal Service</b>			
Members, 150, payment of salaries pursuant to section five of the legislative law .....	\$11,925,000	\$11,925,000	\$0
For payment of allowances to members designated by the speaker .....	\$1,592,500	\$1,592,500	\$0
For personal service of employees and for temporary and expert services of members' offices and of standing committees and subcommittees .....	\$25,897,850	\$26,545,296	\$647,446
For personal service of employees and for temporary and expert services for administrative and program support operations .....	\$29,438,194	\$30,174,148	\$735,954
For the Assembly Intern and Youth Participation Program for personal service of employees and for temporary and expert services .....	<u>\$729,733</u>	<u>\$747,976</u>	<u>\$18,243</u>
Total Personal Service .....	\$69,583,277	\$70,984,920	\$1,401,643
<b>Nonpersonal Service</b>			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 2000)			
Non-employee services .....	\$65,000	\$65,000	\$0
Supplies and Materials .....	\$2,232,000	\$2,312,000	\$80,000
Travel .....	\$2,376,000	\$2,526,000	\$150,000
Rentals .....	\$1,235,000	\$1,255,000	\$20,000

# LEGISLATURE

<u>Title of Appropriation</u>	<u>Appropriated for 1999-2000</u>	<u>Requested for 2000-01</u>	<u>Change</u>
Equipment maintenance and repairs . . . . .	\$1,440,000	\$1,470,000	\$30,000
Office and space leases . . . . .	\$4,532,000	\$4,632,000	\$100,000
Utilities . . . . .	\$654,000	\$670,000	\$16,000
Postage and shipping . . . . .	\$3,400,000	\$3,500,000	\$100,000
Printing . . . . .	\$108,000	\$113,000	\$5,000
Telephone and telegraph . . . . .	\$2,440,000	\$2,490,000	\$50,000
Miscellaneous contractual services . . . . .	\$653,000	\$673,000	\$20,000
Equipment . . . . .	<u>\$990,000</u>	<u>\$1,400,000</u>	<u>\$410,000</u>
Total Nonpersonal Service . . . . .	\$20,125,000	\$21,106,000	\$981,000
<b>Maintenance Undistributed</b>			
For services and expenses, including travel outside the state . . . . .	<u>\$1,061,548</u>	<u>\$1,402,000</u>	<u>\$340,452</u>
Grand Total — The Assembly . . . . .	<u>\$90,769,825</u>	<u>\$93,492,920</u>	<u>\$2,723,095</u>

## SENATE FINANCE COMMITTEE

For personal service, temporary and special services (including liabilities incurred prior to April 1, 2000).	\$5,018,041	\$5,168,582	\$150,541
------------------------------------------------------------------------------------------------------------------	-------------	-------------	-----------

## ASSEMBLY WAYS & MEANS COMMITTEE

For personal service, temporary and special services (including liabilities incurred prior to April 1, 2000).	\$5,018,041	\$5,168,582	\$150,541
------------------------------------------------------------------------------------------------------------------	-------------	-------------	-----------

## SENATE AND ASSEMBLY JOINT ENTITIES

### LEGISLATIVE ETHICS COMMITTEE

For services and expenses of the legislative ethics committee pursuant to section 80 of the legislative law . . . . .	\$370,000	\$370,000	\$0
-----------------------------------------------------------------------------------------------------------------------------	-----------	-----------	-----

## NATIONAL CONFERENCE OF STATE LEGISLATURES

For a contribution to the National Conference of State Legislatures . . . . .	\$267,738	\$276,621	\$8,883
----------------------------------------------------------------------------------	-----------	-----------	---------

## LEGISLATIVE HEALTH SERVICE

For services and expenses for the operation of the legislative health service . . . . .	\$172,114	\$177,277	\$5,163
--------------------------------------------------------------------------------------------	-----------	-----------	---------

## LEGISLATIVE LIBRARY

For services and expenses and for temporary and special services for the operation of the legislative library . . . . .	\$712,635	\$734,014	\$21,379
-------------------------------------------------------------------------------------------------------------------------------	-----------	-----------	----------

## LEGISLATIVE MESSENGER SERVICE

For services and expenses for the operation of the legislative messenger service . . . . .	\$662,639	\$682,518	\$19,879
-----------------------------------------------------------------------------------------------	-----------	-----------	----------

Title of Appropriation	Appropriated for 1999-2000	Requested for 2000-01	Change
------------------------	-------------------------------	--------------------------	--------

**LEGISLATIVE BILL DRAFTING COMMISSION**

For services and expenses, temporary and special services, and for expenses of maintenance and operation

**Schedule**

Personal Service-Regular and Temporary .....	\$7,512,883	\$7,720,879	\$207,996
Nonpersonal Service .....	\$3,766,584	\$3,870,818	\$104,234
Legislative Digest Contract Administration .....	\$238,000	\$244,593	\$6,593
Legislative Printing Contract Administration .....	<u>\$782,000</u>	<u>\$803,661</u>	<u>\$21,661</u>
Total .....	\$12,299,467	\$12,639,951	\$340,484
Less Transfer from Legislative Computer Services Fund .....	<u>(\$950,000)</u>	<u>(\$950,000)</u>	<u>\$0</u>
Total available .....	<u>\$11,349,467</u>	<u>\$11,689,951</u>	<u>\$340,484</u>

**LEG. TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT**

**Maintenance Undistributed**

For services and expenses (including liabilities incurred prior to April 1, 2000) of the task force for senate purposes .....	\$318,879	\$328,445	\$9,566
For services and expenses (including liabilities incurred prior to April 1, 2000) of the task force for assembly purposes .....	\$318,879	\$328,445	\$9,566
For services and expenses (including liabilities incurred prior to April 1, 2000) of the task force for joint operations .....	<u>\$975,436</u>	<u>\$1,300,000</u>	<u>\$324,564</u>
Amount available .....	<u>\$1,613,194</u>	<u>\$1,956,890</u>	<u>\$343,696</u>
Grand Total — Senate and Assembly Joint Entities	<u><u>\$15,147,787</u></u>	<u><u>\$15,887,271</u></u>	<u><u>\$739,484</u></u>

**SPECIAL REVENUE FUND - OTHER  
LEGISLATIVE COMPUTER SERVICES FUND**

For services and expenses of the legislative computer services fund .....	\$1,500,000	\$1,500,000	\$0
---------------------------------------------------------------------------	-------------	-------------	-----

**SENATE RECYCLABLE MATERIALS,  
INFORMATION SERVICES AND CONFERENCE FUND**

For services and expenses of the senate recyclable materials, information services and conference fund .....	\$50,000	\$50,000	\$0
--------------------------------------------------------------------------------------------------------------	----------	----------	-----

**ASSEMBLY RECYCLABLE MATERIALS,  
INFORMATION SERVICES AND CONFERENCE FUND**

For services and expenses of the assembly recyclable materials, information services and conference fund .....	\$50,000	\$50,000	\$0
----------------------------------------------------------------------------------------------------------------	----------	----------	-----

# **LEGISLATURE**

---

<u>Title of Appropriation</u>	<u>Appropriated for 1999-2000</u>	<u>Requested for 2000-01</u>	<u>Change</u>
-------------------------------	---------------------------------------	----------------------------------	---------------

**GRANTS AND BEQUESTS FUND  
LEGISLATURE**

**THE SENATE**

**Maintenance Undistributed**

For services and expenses relative to restoration of the Senate Chamber and other purposes as funded by non-state grants . . . . .	\$250,000	\$250,000	\$0
------------------------------------------------------------------------------------------------------------------------------------	-----------	-----------	-----

**THE ASSEMBLY**

**Maintenance Undistributed**

For services and expenses relative to restoration of the Assembly Chamber and other purposes as funded by non-state grants . . . . .	\$250,000	\$250,000	\$0
--------------------------------------------------------------------------------------------------------------------------------------	-----------	-----------	-----

# ***PART IV***

## ***SUMMARY OF APPROPRIATIONS***





# SUMMARY OF APPROPRIATIONS

## ALL FUNDS RECOMMENDED 2000-01 COMPARED TO 1999-00 AVAILABLE

	Available 1999-00	State Operations Recommended 2000-01	Aid to Localities Recommended 2000-01	Capital Projects Recommended 2000-01	Total Recommended 2000-01	Change From 1999-00
Adirondack Park Agency .....	\$3,606,800	\$3,895,700	\$50,000	....	\$3,945,700	+\$338,900
Advocate for Persons with Disabilities, Office of .....	1,712,000	1,577,000	....	....	1,577,000	-135,000
Aging, Office for the .....	179,711,312	14,055,000	158,862,000	....	172,917,000	-6,794,312
Agriculture and Markets, Department of ..	91,567,300	76,157,100	29,883,800	\$3,100,000	109,140,900	+17,573,600
Alcoholic Beverage Control, Division of ..	13,702,400	13,332,900	....	....	13,332,900	-369,500
Arts, Council on the .....	63,727,600	17,656,200	43,695,000	....	61,351,200	-2,376,400
Audit and Control, Department of .....	170,082,200	160,449,500	20,014,000	....	180,463,500	+10,381,300
Banking Department .....	61,845,900	62,408,500	....	....	62,408,500	+562,600
Budget, Division of the .....	37,322,900	40,035,000	....	....	40,035,000	+2,712,100
Capital Defender Office .....	14,756,500	15,197,500	....	....	15,197,500	+441,000
Children and Families, Council on .....	1,742,000	2,878,000	....	....	2,878,000	+1,136,000
Children and Family Services, Office of .....	3,492,212,796	466,418,100	2,741,931,900	92,600,000	3,300,950,000	-191,262,796
City University of New York .....	1,741,072,000	1,093,000,000	718,469,000	....	1,811,469,000	+70,397,000
Civil Service, Department of .....	54,032,200	68,899,500	....	....	68,899,500	+14,867,300
Consumer Protection Board, State .....	2,791,400	2,769,300	....	....	2,769,300	-22,100
Developmental Disabilities Planning Council .....	4,250,000	4,250,000	....	....	4,250,000	....
Economic Development, Department of ...	62,195,935	40,078,800	12,033,600	....	52,112,400	-10,083,535
Education Department, State .....	17,283,980,239	303,084,300	18,056,889,300	5,065,000	18,365,038,600	+1,081,058,361
Elections, State Board of .....	3,107,000	3,132,100	....	....	3,132,100	+25,100
Empire State Development Corporation ...	182,760,100	....	112,004,100	....	112,004,100	-70,756,000
Employee Relations, Office of .....	6,281,800	6,427,900	....	....	6,427,900	+146,100
Energy Research and Development Authority, New York State .....	31,023,000	16,156,000	....	14,017,000	30,173,000	-850,000
Environmental Conservation, Department of .....	1,082,741,500	373,387,600	456,300	590,774,000	964,617,900	-118,123,600
Environmental Facilities Corporation .....	29,813,700	7,143,800	....	292,000	7,435,800	-22,377,900
Executive Chamber .....	15,089,400	15,614,400	....	....	15,614,400	+525,000
General Services, Office of .....	448,050,300	358,793,100	....	71,300,000	430,093,100	-17,957,200
Greenway Heritage Conservancy for the Hudson River Valley .....	420,000	222,000	....	....	222,000	-198,000
Health, Department of .....	26,858,525,972	3,797,889,800	25,088,546,200	120,077,000	29,006,513,000	+2,147,987,028
Higher Education Services Corporation, New York State .....	745,345,000	92,458,000	620,948,000	....	713,406,000	-31,939,000
Housing and Community Renewal, Division of .....	240,948,858	75,743,000	95,154,000	66,200,000	237,097,000	-3,851,858
Housing Finance Agency .....	760,000	....	700,000	....	700,000	-60,000
Mortgage Agency, State of New York .....	157,502,000	76,800,000	95,981,000	....	172,781,000	+15,279,000
Hudson River Park Trust .....	7,000,000	....	....	65,000,000	65,000,000	+58,000,000
Hudson River Valley Greenway Communities Council .....	418,400	232,400	204,000	....	436,400	+18,000
Human Rights, Division of .....	12,758,000	14,186,000	....	....	14,186,000	+1,428,000
Inspector General, Office of the .....	5,975,000	6,006,600	....	....	6,006,600	+31,600
Insurance Department .....	98,521,000	101,069,500	....	....	101,069,500	+2,548,500
Interest on Lawyer Account .....	16,069,900	1,158,000	14,950,000	....	16,108,000	+38,100
Investigation, Temporary State Commission of .....	2,549,500	2,999,000	....	....	2,999,000	+449,500
Judicial Commissions .....	2,107,500	2,091,800	....	....	2,091,800	-15,700
Justice, Department of .....	3,082,613,092	2,480,048,000	366,081,500	402,700,000	3,248,829,500	+166,216,408
Labor, Department of .....	3,558,644,700	3,176,380,900	345,287,700	....	3,521,668,600	-36,976,100
Law, Department of .....	152,566,200	152,799,800	150,000	....	152,949,800	+383,600
Lieutenant Governor, Office of the .....	457,200	473,200	....	....	473,200	+16,000
Lobbying, Temporary State Commission on .....	656,000	675,000	....	....	675,000	+19,000
Lottery, Division of the .....	108,709,400	110,617,400	....	....	110,617,400	+1,908,000
Mental Health, Office of .....	1,872,333,500	1,056,801,000	759,535,000	134,120,000	1,950,456,000	+78,122,500
Mental Retardation and Developmental Disabilities, Office of .....	2,074,051,060	1,045,434,000	1,068,454,000	63,117,000	2,177,005,000	+102,953,940
Alcoholism and Substance Abuse Services, Office of .....	485,658,881	66,794,000	388,451,000	35,186,000	490,431,000	+4,772,119
Metropolitan Transportation Authority .....	253,400,000	....	391,397,000	....	391,397,000	+137,997,000
Military and Naval Affairs, Division of .....	70,270,000	54,191,200	7,150,000	9,725,000	71,066,200	+796,200

# SUMMARY OF APPROPRIATIONS

## ALL FUNDS RECOMMENDED 2000-01 COMPARED TO 1999-00 AVAILABLE

	Available 1999-00	State Operations Recommended 2000-01	Aid to Localities Recommended 2000-01	Capital Projects Recommended 2000-01	Total Recommended 2000-01	Change From 1999-00
Motor Vehicles, Department of .....	217,061,100	202,671,600	12,800,000	....	215,471,600	-1,589,500
Olympic Regional Development Authority .....	14,939,000	7,902,000	....	....	7,902,000	-7,037,000
Parks, Recreation and Historic Preservation, Office of .....	204,936,847	151,256,700	5,170,000	38,483,000	194,909,700	-10,027,147
Public Employment Relations Board .....	3,499,900	3,788,000	....	....	3,788,000	+288,100
Public Service Department .....	61,566,700	60,816,300	4,400,000	....	65,216,300	+3,649,600
Quality of Care for the Mentally Disabled, Commission on .....	9,751,600	9,153,300	468,000	....	9,621,300	-130,300
Racing and Wagering Board, State .....	14,707,300	14,707,300	....	....	14,707,300	....
Real Property Services, Office of .....	53,948,200	45,126,400	18,600,000	....	63,726,400	+9,778,200
Regulatory Reform, Governor's Office of .....	2,468,800	2,609,300	....	....	2,609,300	+140,500
Science and Technology Foundation, New York State .....	1,100,000	....	....	....	....	-1,100,000
Science, Technology and Academic Research, Office of .....	110,820,000	4,100,000	52,420,000	....	56,520,000	-54,300,000
State, Department of .....	127,102,473	59,375,100	49,200,000	348,000	108,923,100	-18,179,373
State University of New York .....	3,529,750,600	3,385,697,000	305,581,000	....	3,691,278,000	+161,527,400
State University Construction Fund .....	9,400,000	10,000,000	....	....	10,000,000	+600,000
Taxation and Finance, Department of .....	369,630,650	382,435,000	750,000	....	383,185,000	+13,554,350
Tax Appeals, Division of .....	3,176,000	3,176,000	....	....	3,176,000	....
Temporary and Disability Assistance, Office of .....	4,925,373,000	555,010,000	4,256,931,000	30,000,000	4,841,941,000	-83,432,000
Technology, Office for .....	129,083,000	184,479,300	....	....	184,479,300	+55,396,300
Thruway Authority, New York State .....	2,000,000	....	....	2,000,000	2,000,000	....
Transportation, Department of .....	5,368,996,725	212,638,000	1,559,070,000	3,481,620,000	5,253,328,000	-115,668,725
Veterans' Affairs, Division of .....	11,749,951	6,510,300	2,525,000	....	9,035,300	-2,714,651
Welfare Inspector General, Office of .....	690,000	892,000	....	....	892,000	+202,000
Workers' Compensation Board .....	140,210,300	147,579,400	....	....	147,579,400	+7,369,100
Subtotal: Agencies .....	\$80,199,401,591	\$20,931,790,900	\$57,405,193,400	\$5,225,724,000	\$83,562,708,300	+\$3,363,306,709
Miscellaneous-						
All State Departments and Agencies:						
Collective Bargaining Agreements .....	2,233,000	10,298,000	....	....	10,298,000	+8,065,000
Deferred Compensation Board .....	150,000	650,000	....	....	650,000	+500,000
Development Authority of the North Country .....	971,000	....	....	....	....	-971,000
EC - Miscellaneous State Agencies .....	25,000,000	....	....	....	....	-25,000,000
Emergency Highway Construction and Reconstruction .....	276,000,000	....	301,000,000	....	301,000,000	+25,000,000
Emergency Highway Reconditioning And Preservation .....	208,600,000	....	233,600,000	....	233,600,000	+25,000,000
General State Charges .....	2,059,797,100	2,171,656,400	....	....	2,171,656,400	+111,859,300
Green Thumb .....	2,394,000	2,394,000	....	....	2,394,000	....
Health Insurance Contingency Reserve .....	250,000,000	280,100,000	....	....	280,100,000	+30,100,000
Health Insurance Reserve Receipts Fund ..	73,600,000	74,650,000	....	....	74,650,000	+1,050,000
Higher Education .....	10,321,300	566,000	....	....	566,000	-9,755,300
Insurance and Securities Funds Reserve Guarantee .....	1,672,000,000	1,672,000,000	....	....	1,672,000,000	....
Local Government Assistance .....	22,991,825,422	2,772,600	25,080,948,302	....	25,083,720,902	+2,091,895,480
Miscellaneous Guarantee Appropriations ..	865,526,000	917,457,600	....	....	917,457,600	+51,931,600
National and Community Service .....	30,000,000	30,000,000	....	....	30,000,000	....
Northeastern Queens Nature and Historical Preserve Commission .....	79,000	81,000	....	....	81,000	+2,000
Petroleum Storage Tanks - COPs Repayment .....	9,824,000	4,365,000	....	....	4,365,000	-5,459,000
Reserve for Federal Audit Disallowances ..	50,000,000	50,000,000	....	....	50,000,000	....

## SUMMARY OF APPROPRIATIONS

### ALL FUNDS RECOMMENDED 2000-01 COMPARED TO 1999-00 AVAILABLE

	Available 1999-00	State Operations Recommended 2000-01	Aid to Localities Recommended 2000-01	Capital Projects Recommended 2000-01	Total Recommended 2000-01	Change From 1999-00
Services, Expenses or Grants .....	4,000,000	.....	.....	.....	.....	-4,000,000
Statewide Energy Improvement .....	3,000,000	1,500,000	.....	.....	1,500,000	-1,500,000
Workers' Compensation Reserve .....	38,000,000	43,128,000	.....	.....	43,128,000	+5,128,000
Subtotal: Miscellaneous- All State Departments and Agencies: ..	<u>\$28,573,320,822</u>	<u>\$5,261,618,600</u>	<u>\$25,615,548,302</u>	.....	<u>\$30,877,166,902</u>	<u>+\$2,303,846,080</u>
Judiciary .....	1,381,741,117	1,383,488,941	50,196,461	7,775,000	1,441,460,402	+59,719,285
Legislature .....	194,762,620	200,769,846	.....	.....	200,769,846	+6,007,226
Total .....	<u>\$110,349,226,150</u>	<u>\$27,777,668,287</u>	<u>\$83,070,938,163</u>	<u>\$5,233,499,000</u>	<u>\$116,082,105,450</u>	<u>+\$5,732,879,300</u>
Debt Service .....	<u>\$4,747,250,000</u>	.....	.....	.....	<u>\$5,756,050,000</u>	<u>+\$1,008,800,000</u>
Grand Total .....	<u>\$115,096,476,150</u>	<u>\$27,777,668,287</u>	<u>\$83,070,938,163</u>	<u>\$5,233,499,000</u>	<u>\$121,838,155,450</u>	<u>+\$6,741,679,300</u>
Special Emergency Appropriation	<u>\$50,000,000</u>				<u>+\$50,000,000</u>	

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS RECAPITULATION OF 2000-01 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Adirondack Park Agency . . . .	\$3,595,700	\$300,000	....	....	....	....	\$3,895,700
Advocate for Persons with Disabilities, Office of . . . .	1,015,000	460,000	....	\$25,000	....	\$77,000	1,577,000
Aging, Office for the . . . . .	2,703,000	10,199,000	....	200,000	....	953,000	14,055,000
Agriculture and Markets, Department of . . . . .	22,806,200	9,597,000	\$25,856,900	16,224,900	....	1,672,100	76,157,100
Alcoholic Beverage Control, Division of . . . . .	....	....	13,332,900	....	....	....	13,332,900
Arts, Council on the . . . . .	16,565,200	691,000	....	....	....	400,000	17,656,200
Audit and Control, Department of . . . . .	100,243,400	....	4,019,800	....	\$2,568,300	53,618,000	160,449,500
Banking Department . . . . .	....	....	59,708,500	....	....	2,700,000	62,408,500
Budget, Division of the . . . . .	30,385,000	....	8,200,000	....	1,300,000	150,000	40,035,000
Capital Defender Office . . . . .	15,197,500	....	....	....	....	....	15,197,500
Children and Families, Council on . . . . .	928,000	1,650,000	....	....	....	300,000	2,878,000
Children and Family Services, Office of . . . . .	241,110,100	111,810,000	109,673,000	500,000	100,000	3,225,000	466,418,100
City University of New York . . . .	....	....	90,000,000	....	....	1,003,000,000	1,093,000,000
Civil Service, Department of . . . .	28,622,100	....	1,500,000	....	38,477,400	300,000	68,899,500
Consumer Protection Board, State . . . . .	411,300	....	2,358,000	....	....	....	2,769,300
Developmental Disabilities Planning Council . . . . .	....	4,250,000	....	....	....	....	4,250,000
Economic Development, Department of . . . . .	34,418,900	1,000,000	4,659,900	....	....	....	40,078,800
Education Department, State . . . .	50,214,400	158,290,900	75,595,200	....	17,651,800	1,332,000	303,084,300
Elections, State Board of . . . . .	3,112,100	....	20,000	....	....	....	3,132,100
Employee Relations, Office of Energy Research and Development Authority, New York State . . . . .	3,806,500	450,000	....	2,171,400	....	6,427,900	....
Environmental Conservation, Department of . . . . .	93,969,600	79,729,400	14,656,000	....	30,000	....	16,156,000
Environmental Facilities Corporation . . . . .	....	....	7,143,800	....	....	....	7,143,800
Executive Chamber . . . . .	15,514,400	....	....	....	....	100,000	15,614,400
General Services, Office of . . . . .	118,950,100	6,050,000	17,408,000	1,217,000	214,196,000	972,000	358,793,100
Greenway Heritage Conservancy for the Hudson River Valley . . . . .	222,000	....	....	....	....	....	222,000
Health, Department of . . . . .	188,825,800	3,265,405,600	340,923,400	10,000	....	2,725,000	3,797,889,800
Higher Education Services Corporation, New York State . . . . .	9,425,000	3,930,000	79,103,000	....	....	....	92,458,000
Housing and Community Renewal, Division of . . . . .	28,339,000	7,300,000	40,104,000	....	....	....	75,743,000
Mortgage Agency, State of New York . . . . .	76,800,000	....	....	....	....	....	76,800,000
Hudson River Valley Greenway Communities Council . . . . .	232,400	....	....	....	....	....	232,400
Human Rights, Division of . . . . .	11,296,000	2,800,000	70,000	....	....	20,000	14,186,000
Inspector General, Office of the . . . .	4,706,600	1,300,000	....	....	....	6,006,600	....
Insurance Department . . . . .	....	....	101,069,500	....	....	....	101,069,500
Interest on Lawyer Account Investigation, Temporary State Commission of . . . . .	2,799,000	....	200,000	....	....	....	2,999,000
Judicial Commissions . . . . .	2,091,800	....	....	....	....	....	2,091,800
Justice, Department of . . . . .	2,130,920,400	122,647,900	82,163,200	60,135,000	82,556,000	1,625,500	2,480,048,000
Labor, Department of . . . . .	11,474,800	617,834,600	47,071,500	....	....	2,500,000,000	3,176,380,900
Law, Department of . . . . .	102,282,800	25,316,000	18,529,000	....	6,672,000	....	152,799,800
Lieutenant Governor, Office of the . . . . .	473,200	....	....	....	....	....	473,200
Lobbying, Temporary State Commission on . . . . .	635,000	....	40,000	....	....	....	675,000
Lottery, Division of the . . . . .	....	....	110,617,400	....	....	....	110,617,400

## SUMMARY OF APPROPRIATIONS

### STATE OPERATIONS RECAPITULATION OF 2000-01 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Mental Health, Office of . . . . .	529,283,000	929,000	516,239,000	7,813,000	1,967,000	570,000	1,056,801,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	131,455,000	63,000	911,411,000	1,950,000	. . . .	555,000	1,045,434,000
Alcoholism and Substance Abuse Services, Office of . . . . .	45,243,000	4,373,000	17,178,000	. . . .	. . . .	. . . .	66,794,000
Military and Naval Affairs, Division of . . . . .	11,737,800	30,207,000	11,694,400	. . . .	. . . .	552,000	54,191,200
Motor Vehicles, Department of . . . . .	116,892,500	9,863,400	74,415,700	. . . .	1,500,000	. . . .	202,671,600
Olympic Regional Development Authority . . . . .	7,552,000	. . . .	150,000	. . . .	. . . .	200,000	7,902,000
Parks, Recreation and Historic Preservation, Office of . . . . .	101,015,900	3,358,600	43,179,000	2,500,000	. . . .	1,203,200	151,256,700
Public Employment Relations Board . . . . .	3,595,500	. . . .	192,500	. . . .	. . . .	. . . .	3,788,000
Public Service Department . . . . .	. . . .	1,149,000	59,667,300	. . . .	. . . .	. . . .	60,816,300
Quality of Care for the Mentally Disabled, Commission on . . . . .	2,933,000	3,874,300	2,326,000	20,000	. . . .	. . . .	9,153,300
Racing and Wagering Board, State . . . . .	9,728,000	. . . .	4,979,300	. . . .	. . . .	. . . .	14,707,300
Real Property Services, Office of . . . . .	29,631,400	. . . .	15,495,000	. . . .	. . . .	. . . .	45,126,400
Regulatory Reform, Governor's Office of . . . . .	2,609,300	. . . .	. . . .	. . . .	. . . .	. . . .	2,609,300
Science, Technology and Academic Research, Office of . . . . .	3,600,000	. . . .	500,000	. . . .	. . . .	. . . .	4,100,000
State, Department of . . . . .	18,386,800	6,985,000	32,003,300	. . . .	. . . .	2,000,000	59,375,100
State University of New York . . . . .	1,048,556,000	136,150,000	2,144,891,000	. . . .	5,000,000	51,100,000	3,385,697,000
State University Construction Fund . . . . .	. . . .	. . . .	10,000,000	. . . .	. . . .	. . . .	10,000,000
Taxation and Finance, Department of . . . . .	279,468,000	500,000	34,492,000	. . . .	67,975,000	. . . .	382,435,000
Tax Appeals, Division of . . . . .	3,176,000	. . . .	. . . .	. . . .	. . . .	. . . .	3,176,000
Temporary and Disability Assistance, Office of . . . . .	76,559,000	347,870,000	129,581,000	. . . .	1,000,000	. . . .	555,010,000
Technology, Office for . . . . .	55,509,700	. . . .	. . . .	. . . .	128,969,600	. . . .	184,479,300
Transportation, Department of Veterans' Affairs, Division of Welfare Inspector General, Office of . . . . .	159,262,000 5,149,300 522,000	7,064,000 1,361,000 . . . .	41,709,000 . . . . 370,000	. . . . . . . . . . . .	. . . . . . . . . . . .	. . . . . . . . . . . .	212,638,000 6,510,300 892,000
Workers' Compensation Board . . . . .	. . . .	. . . .	147,579,400	. . . .	. . . .	. . . .	147,579,400
Subtotal : All Agencies . . . . .	<u>\$5,995,957,500</u>	<u>\$4,984,508,700</u>	<u>\$5,653,484,500</u>	<u>\$90,594,900</u>	<u>\$576,737,500</u>	<u>\$3,630,507,800</u>	<u>\$20,931,790,900</u>
Miscellaneous- All State Departments and Agencies:							
Collective Bargaining							
Agreements . . . . .	10,038,000	. . . .	260,000	. . . .	. . . .	. . . .	10,298,000
Deferred Compensation Board General State Charges . . . . .	150,000 1,921,656,400	. . . . . . . .	500,000 250,000,000	. . . . . . . .	. . . . . . . .	. . . . . . . .	650,000 2,171,656,400
Green Thumb . . . . .	2,394,000	. . . .	. . . .	. . . .	. . . .	. . . .	2,394,000
Health Insurance Contingency Reserve . . . . .	280,100,000	. . . .	. . . .	. . . .	. . . .	. . . .	280,100,000
Health Insurance Reserve Receipts Fund . . . . .	. . . .	. . . .	. . . .	. . . .	. . . .	74,650,000	74,650,000
Higher Education . . . . .	566,000	. . . .	. . . .	. . . .	. . . .	. . . .	566,000
Insurance and Securities Funds Reserve Guarantee . . . . .	1,672,000,000	. . . .	. . . .	. . . .	. . . .	. . . .	1,672,000,000

# SUMMARY OF APPROPRIATIONS

---

## STATE OPERATIONS RECAPITULATION OF 2000-01 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Local Government Assistance Miscellaneous Guarantee	....	....	2,772,600	....	....	....	2,772,600
Appropriations	917,457,600	....	....	....	....	....	917,457,600
National and Community Service	....	30,000,000	....	....	....	....	30,000,000
Northeastern Queens Nature And Historical Preserve Commission	81,000	....	....	....	....	....	81,000
Petroleum Storage Tanks - COPs Repayment	4,365,000	....	....	....	....	....	4,365,000
Reserve for Federal Audit Disallowances	50,000,000	....	....	....	....	....	50,000,000
Statewide Energy Improvement Workers' Compensation Reserve	43,128,000	....	1,500,000	....	....	....	43,128,000
Subtotal: Miscellaneous- All State Departments and Agencies:	<u>\$4,901,936,000</u>	<u>\$30,000,000</u>	<u>\$255,032,600</u>	....	....	<u>\$74,650,000</u>	<u>\$5,261,618,600</u>
Judiciary	1,319,787,449	6,000,000	57,701,492	....	....	....	1,383,488,941
Legislature	198,669,846	....	1,600,000	....	....	500,000	200,769,846
Subtotal: Legislature and Judiciary	<u>\$1,518,457,295</u>	<u>\$6,000,000</u>	<u>\$59,301,492</u>	....	....	<u>\$500,000</u>	<u>\$1,584,258,787</u>
Total	<u><u>\$12,416,350,795</u></u>	<u><u>\$5,020,508,700</u></u>	<u><u>\$5,967,818,592</u></u>	<u><u>\$90,594,900</u></u>	<u><u>\$576,737,500</u></u>	<u><u>\$3,705,657,800</u></u>	<u><u>\$27,777,668,287</u></u>

## SUMMARY OF APPROPRIATIONS

### STATE OPERATIONS GENERAL FUND

	Available 1999-00	Recommended 2000-01	Change
Adirondack Park Agency	\$3,556,800	\$3,595,700	+\$38,900
Advocate for Persons with Disabilities, Office of	1,040,000	1,015,000	-25,000
Aging, Office for the	2,619,000	2,703,000	+84,000
Agriculture and Markets, Department of	21,359,200	22,806,200	+1,447,000
Arts, Council on the	16,552,600	16,565,200	+12,600
Audit and Control, Department of	92,339,000	100,243,400	+7,904,400
Budget, Division of the	29,672,900	30,385,000	+712,100
Capital Defender Office	14,756,500	15,197,500	+441,000
Children and Families, Council on	892,000	928,000	+36,000
Children and Family Services, Office of	223,879,000	241,110,100	+17,231,100
Civil Service, Department of	28,404,200	28,622,100	+217,900
Consumer Protection Board, State	412,300	411,300	-1,000
Economic Development, Department of	34,695,800	34,418,900	-276,900
Education Department, State	48,829,500	50,214,400	+1,384,900
Elections, State Board of	3,087,000	3,112,100	+25,100
Employee Relations, Office of	3,784,400	3,806,500	+22,100
Environmental Conservation, Department of	93,813,100	93,969,600	+156,500
Executive Chamber	14,989,400	15,514,400	+525,000
General Services, Office of	113,687,300	118,950,100	+5,262,800
Greenway Heritage Conservancy for the Hudson River Valley	220,000	222,000	+2,000
Health, Department of	143,116,000	188,825,800	+45,709,800
Higher Education Services Corporation, New York State	10,660,000	9,425,000	-1,235,000
Housing and Community Renewal, Division of	38,593,000	28,339,000	-10,254,000
Mortgage Agency, State of New York	76,800,000	76,800,000	. . . .
Hudson River Valley Greenway Communities Council	214,400	232,400	+18,000
Human Rights, Division of	9,848,000	11,296,000	+1,448,000
Inspector General, Office of the	4,675,000	4,706,600	+31,600
Investigation, Temporary State Commission of	2,349,500	2,799,000	+449,500
Judicial Commissions	2,107,500	2,091,800	-15,700
Justice, Department of	2,088,934,400	2,130,920,400	+41,986,000
Labor, Department of	10,760,900	11,474,800	+713,900
Law, Department of	101,777,200	102,282,800	+505,600
Lieutenant Governor, Office of the	457,200	473,200	+16,000
Lobbying, Temporary State Commission on	616,000	635,000	+19,000
Mental Health, Office of	504,924,000	529,283,000	+24,359,000
Mental Retardation and Developmental Disabilities, Office of	137,641,500	131,455,000	-6,186,500
Alcoholism and Substance Abuse Services, Office of	45,862,500	45,243,000	-619,500
Military and Naval Affairs, Division of	13,291,300	11,737,800	-1,553,500
Motor Vehicles, Department of	123,864,900	116,892,500	-6,972,400
Olympic Regional Development Authority	6,289,000	7,552,000	+1,263,000
Parks, Recreation and Historic Preservation, Office of	87,879,900	101,015,900	+13,136,000
Public Employment Relations Board	3,307,400	3,595,500	+288,100
Quality of Care for the Mentally Disabled, Commission on	2,886,000	2,933,000	+47,000
Racing and Wagering Board, State	9,728,000	9,728,000	. . . .
Real Property Services, Office of	22,686,100	29,631,400	+6,945,300
Regulatory Reform, Governor's Office of	2,468,800	2,609,300	+140,500
Science, Technology and Academic Research, Office of	1,000,000	3,600,000	+2,600,000
State, Department of	15,213,500	18,386,800	+3,173,300
State University of New York	973,675,000	1,048,556,000	+74,881,000
Taxation and Finance, Department of	273,424,650	279,468,000	+6,043,350
Tax Appeals, Division of	3,176,000	3,176,000	. . . .
Temporary and Disability Assistance, Office of	67,408,000	76,559,000	+9,151,000
Technology, Office for	99,017,300	55,509,700	-43,507,600
Transportation, Department of	169,928,000	159,262,000	-10,666,000



# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS GENERAL FUND

	Available 1999-00	Recommended 2000-01	Change
Veterans' Affairs, Division of .....	5,097,000	5,149,300	+52,300
Welfare Inspector General, Office of .....	356,000	522,000	+166,000
Subtotal: Agencies .....	<u>\$5,808,623,950</u>	<u>\$5,995,957,500</u>	<u>+\$187,333,550</u>
Miscellaneous-			
All State Departments and Agencies:			
Collective Bargaining Agreements .....	2,233,000	10,038,000	+7,805,000
Deferred Compensation Board .....	150,000	150,000	.....
General State Charges .....	1,809,797,100	1,921,656,400	+111,859,300
Green Thumb .....	2,394,000	2,394,000	.....
Health Insurance Contingency Reserve .....	250,000,000	280,100,000	+30,100,000
Higher Education .....	564,000	566,000	+2,000
Insurance and Securities Funds Reserve Guarantee .....	1,672,000,000	1,672,000,000	.....
Miscellaneous Guarantee Appropriations .....	865,526,000	917,457,600	+51,931,600
Northeastern Queens Nature and Historical Preserve Commission .....	79,000	81,000	+2,000
Petroleum Storage Tanks - COPs Repayment .....	9,824,000	4,365,000	-5,459,000
Reserve for Federal Audit Disallowances .....	50,000,000	50,000,000	.....
Workers' Compensation Reserve .....	<u>38,000,000</u>	<u>43,128,000</u>	<u>+5,128,000</u>
Subtotal: Miscellaneous- All State Departments and Agencies: .....	<u>\$4,700,567,100</u>	<u>\$4,901,936,000</u>	<u>+\$201,368,900</u>
Judiciary .....	1,268,726,040	1,319,787,449	+51,061,409
Legislature .....	192,662,620	198,669,846	+6,007,226
Total .....	<u>\$11,970,579,710</u>	<u>\$12,416,350,795</u>	<u>+\$445,771,085</u>
Adjustments:			
Prior Year Deficiencies .....	+60,000,000		
Recommended Deficiencies .....	-12,000,000		
Transfer From:			
General Fund (Aid To Localities) .....	-2,960,000		
Special Revenue Funds - Other (State Operations) ..	-200,000		
Nonexpendable Trust Funds (State Operations) .....	-7,500		
Capital Projects Funds - Other (Capital Projects) ..	-2,317,000		
Transfer To:			
Special Revenue Funds - Other (State Operations) ..	+230,200		
General Fund (Aid To Localities) .....	+226,600		
Nonexpendable Trust Funds (State Operations) .....	+7,500		
Appropriated 1999-00 .....	<u>\$12,013,559,510</u>		

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS SPECIAL REVENUE FUNDS - FEDERAL

	Available 1999-00	Recommended 2000-01	Change
Adirondack Park Agency . . . . .	. . . . .	\$300,000	+\$300,000
Advocate for Persons with Disabilities, Office of . . . . .	\$580,000	460,000	-120,000
Aging, Office for the . . . . .	10,199,000	10,199,000	. . . . .
Agriculture and Markets, Department of . . . . .	7,387,000	9,597,000	+2,210,000
Arts, Council on the . . . . .	680,000	691,000	+11,000
Children and Families, Council on . . . . .	550,000	1,650,000	+1,100,000
Children and Family Services, Office of . . . . .	119,600,000	111,810,000	-7,790,000
Developmental Disabilities Planning Council . . . . .	4,250,000	4,250,000	. . . . .
Economic Development, Department of . . . . .	1,000,000	1,000,000	. . . . .
Education Department, State . . . . .	154,827,300	158,290,900	+3,463,600
Energy Research and Development Authority, New York State . . . . .	3,000,000	1,500,000	-1,500,000
Environmental Conservation, Department of . . . . .	65,747,000	79,729,400	+13,982,400
General Services, Office of . . . . .	6,050,000	6,050,000	. . . . .
Health, Department of . . . . .	2,729,447,600	3,265,405,600	+535,958,000
Higher Education Services Corporation, New York State . . . . .	. . . . .	3,930,000	+3,930,000
Housing and Community Renewal, Division of . . . . .	5,743,000	7,300,000	+1,557,000
Human Rights, Division of . . . . .	2,740,000	2,800,000	+60,000
Justice, Department of . . . . .	145,780,000	122,647,900	-23,132,100
Labor, Department of . . . . .	451,167,300	617,834,600	+166,667,300
Law, Department of . . . . .	25,660,000	25,316,000	-344,000
Mental Health, Office of . . . . .	913,000	929,000	+16,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	217,000	63,000	-154,000
Alcoholism and Substance Abuse Services, Office of . . . . .	4,371,700	4,373,000	+1,300
Military and Naval Affairs, Division of . . . . .	30,771,500	30,207,000	-564,500
Motor Vehicles, Department of . . . . .	8,263,400	9,863,400	+1,600,000
Parks, Recreation and Historic Preservation, Office of . . . . .	2,517,300	3,358,600	+841,300
Public Service Department . . . . .	1,138,100	1,149,000	+10,900
Quality of Care for the Mentally Disabled, Commission on . . . . .	4,062,600	3,874,300	-188,300
State, Department of . . . . .	6,215,000	6,985,000	+770,000
State University of New York . . . . .	129,100,000	136,150,000	+7,050,000
Taxation and Finance, Department of . . . . .	300,000	500,000	+200,000
Temporary and Disability Assistance, Office of . . . . .	320,570,000	347,870,000	+27,300,000
Transportation, Department of . . . . .	6,332,000	7,064,000	+732,000
Veterans' Affairs, Division of . . . . .	1,464,000	1,361,000	-103,000
National and Community Service . . . . .	30,000,000	30,000,000	. . . . .
Judiciary . . . . .	6,900,000	6,000,000	-900,000
Total . . . . .	\$4,287,543,800	\$5,020,508,700	+\$732,964,900
Adjustments:			
Prior Year Deficiencies . . . . .	+11,000,000		
Transfer From:			
Special Revenue Funds - Other (State Operations) . . . . .	-1,753,900		
Appropriated 1999-00 . . . . .	\$4,296,789,900		

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS SPECIAL REVENUE FUNDS - OTHER

	Available 1999-00	Recommended 2000-01	Change
Agriculture and Markets, Department of	\$25,970,500	\$25,856,900	-\$113,600
Alcoholic Beverage Control, Division of	13,702,400	13,332,900	-369,500
Audit and Control, Department of	4,215,000	4,019,800	-195,200
Banking Department	59,145,900	59,708,500	+562,600
Budget, Division of the	6,200,000	8,200,000	+2,000,000
Children and Family Services, Office of	109,389,000	109,673,000	+284,000
City University of New York	55,000,000	90,000,000	+35,000,000
Civil Service, Department of	1,000,000	1,500,000	+500,000
Consumer Protection Board, State	2,379,100	2,358,000	-21,100
Economic Development, Department of	4,659,900	4,659,900	.....
Education Department, State	75,799,900	75,595,200	-204,700
Elections, State Board of	20,000	20,000	.....
Employee Relations, Office of	450,000	450,000	.....
Energy Research and Development Authority, New York State	15,406,000	14,656,000	-750,000
Environmental Conservation, Department of	195,723,400	199,658,600	+3,935,200
Environmental Facilities Corporation	7,014,700	7,143,800	+129,100
General Services, Office of	16,648,000	17,408,000	+760,000
Health, Department of	422,596,500	340,923,400	-81,673,100
Higher Education Services Corporation, New York State	77,137,000	79,103,000	+1,966,000
Housing and Community Renewal, Division of	16,669,000	40,104,000	+23,435,000
Human Rights, Division of	120,000	70,000	-50,000
Inspector General, Office of the	1,300,000	1,300,000	.....
Insurance Department	98,521,000	101,069,500	+2,548,500
Investigation, Temporary State Commission of	200,000	200,000	.....
Justice, Department of	83,238,800	82,163,200	-1,075,600
Labor, Department of	46,535,800	47,071,500	+535,700
Law, Department of	18,374,000	18,529,000	+155,000
Lobbying, Temporary State Commission on	40,000	40,000	.....
Lottery, Division of the	108,709,400	110,617,400	+1,908,000
Mental Health, Office of	531,046,000	516,239,000	-14,807,000
Mental Retardation and Developmental Disabilities, Office of	882,504,000	911,411,000	+28,907,000
Alcoholism and Substance Abuse Services, Office of	18,732,500	17,178,000	-1,554,500
Military and Naval Affairs, Division of	9,542,700	11,694,400	+2,151,700
Motor Vehicles, Department of	76,404,500	74,415,700	-1,988,800
Olympic Regional Development Authority	150,000	150,000	.....
Parks, Recreation and Historic Preservation, Office of	41,953,900	43,179,000	+1,225,100
Public Employment Relations Board	192,500	192,500	.....
Public Service Department	59,628,600	59,667,300	+38,700
Quality of Care for the Mentally Disabled, Commission on	2,315,000	2,326,000	+11,000
Racing and Wagering Board, State	4,979,300	4,979,300	.....
Real Property Services, Office of	14,351,100	15,495,000	+1,143,900
Science, Technology and Academic Research, Office of	500,000	500,000	.....
State, Department of	27,349,300	32,003,300	+4,654,000
State University of New York	2,063,791,000	2,144,891,000	+81,100,000
State University Construction Fund	9,400,000	10,000,000	+600,000
Taxation and Finance, Department of	32,761,000	34,492,000	+1,731,000
Temporary and Disability Assistance, Office of	104,045,000	129,581,000	+25,536,000
Transportation, Department of	33,515,000	41,709,000	+8,194,000
Welfare Inspector General, Office of	334,000	370,000	+36,000
Workers' Compensation Board	140,210,300	147,579,400	+7,369,100
Collective Bargaining Agreements	.....	260,000	+260,000
Deferred Compensation Board	.....	500,000	+500,000
General State Charges	250,000,000	250,000,000	.....
Local Government Assistance	2,379,600	2,772,600	+393,000

## **SUMMARY OF APPROPRIATIONS**

### **STATE OPERATIONS SPECIAL REVENUE FUNDS - OTHER**

	Available 1999-00	Recommended 2000-01	Change
Statewide Energy Improvement .....	3,000,000	1,500,000	-1,500,000
Judiciary .....	55,693,482	57,701,492	+2,008,010
Legislature .....	1,600,000	1,600,000	.....
Total .....	\$5,832,544,082	\$5,967,818,592	+\$135,274,510
Adjustments:			
Prior Year Deficiencies .....	+2,180,000		
Recommended Deficiencies .....	-2,000,000		
Transfer From:			
General Fund (State Operations) .....	-230,200		
Transfer To:			
Special Revenue Funds - Federal (State Operations)	+1,753,900		
General Fund (State Operations) .....	+200,000		
Appropriated 1999-00 .....	\$5,834,447,782		

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS FIDUCIARY FUNDS

	Available 1999-00	Recommended 2000-01	Change
Advocate for Persons with Disabilities, Office of . . . . .	\$77,000	\$77,000	. . . .
Aging, Office for the . . . . .	953,000	953,000	. . . .
Agriculture and Markets, Department of . . . . .	1,719,300	1,672,100	-\$47,200
Arts, Council on the . . . . .	1,000,000	400,000	-600,000
Audit and Control, Department of . . . . .	52,247,200	53,618,000	+1,370,800
Banking Department . . . . .	2,700,000	2,700,000	. . . .
Budget, Division of the . . . . .	150,000	150,000	. . . .
Children and Families, Council on . . . . .	300,000	300,000	. . . .
Children and Family Services, Office of . . . . .	3,225,000	3,225,000	. . . .
City University of New York . . . . .	983,830,000	1,003,000,000	+19,170,000
Civil Service, Department of . . . . .	435,000	300,000	-135,000
Education Department, State . . . . .	1,332,000	1,332,000	. . . .
Executive Chamber . . . . .	100,000	100,000	. . . .
General Services, Office of . . . . .	954,000	972,000	+18,000
Health, Department of . . . . .	2,725,000	2,725,000	. . . .
Human Rights, Division of . . . . .	50,000	20,000	-30,000
Interest on Lawyer Account . . . . .	1,119,900	1,158,000	+38,100
Justice, Department of . . . . .	1,625,500	1,625,500	. . . .
Labor, Department of . . . . .	2,500,000,000	2,500,000,000	. . . .
Mental Health, Office of . . . . .	570,000	570,000	. . . .
Mental Retardation and Developmental Disabilities, Office of . . . . .	540,000	555,000	+15,000
Military and Naval Affairs, Division of . . . . .	52,000	552,000	+500,000
Olympic Regional Development Authority . . . . .	200,000	200,000	. . . .
Parks, Recreation and Historic Preservation, Office of . . . . .	1,172,800	1,203,200	+30,400
State, Department of . . . . .	. . . .	2,000,000	+2,000,000
State University of New York . . . . .	49,300,000	51,100,000	+1,800,000
Health Insurance Reserve Receipts Fund . . . . .	73,600,000	74,650,000	+1,050,000
Legislature . . . . .	500,000	500,000	. . . .
<b>Total . . . . .</b>	<b>\$3,680,477,700</b>	<b>\$3,705,657,800</b>	<b>+\$25,180,100</b>
Appropriated 1999-00 . . . . .	<u>\$3,680,477,700</u>		

## STATE OPERATIONS INTERNAL SERVICE FUNDS

	Available 1999-00	Recommended 2000-01	Change
Audit and Control, Department of . . . . .	\$2,576,000	\$2,568,300	-\$7,700
Budget, Division of the . . . . .	1,300,000	1,300,000	. . . .
Children and Family Services, Office of . . . . .	100,000	100,000	. . . .
Civil Service, Department of . . . . .	24,193,000	38,477,400	+14,284,400
Education Department, State . . . . .	17,484,000	17,651,800	+167,800
Employee Relations, Office of . . . . .	2,047,400	2,171,400	+124,000
Environmental Conservation, Department of . . . . .	. . . .	30,000	+30,000
General Services, Office of . . . . .	213,658,000	214,196,000	+538,000
Justice, Department of . . . . .	70,345,000	82,556,000	+12,211,000
Law, Department of . . . . .	6,605,000	6,672,000	+67,000
Mental Health, Office of . . . . .	1,967,000	1,967,000	. . . .
Motor Vehicles, Department of . . . . .	1,500,000	1,500,000	. . . .
State University of New York . . . . .	5,000,000	5,000,000	. . . .
Taxation and Finance, Department of . . . . .	62,395,000	67,975,000	+5,580,000
Temporary and Disability Assistance, Office of . . . . .	1,000,000	1,000,000	. . . .
Technology, Office for . . . . .	30,065,700	128,969,600	+98,903,900
Transportation, Department of . . . . .	4,558,000	4,603,000	+45,000
<b>Total . . . . .</b>	<b>\$444,794,100</b>	<b>\$576,737,500</b>	<b>+\$131,943,400</b>
Appropriated 1999-00 . . . . .	<u>\$444,794,100</u>		

## SUMMARY OF APPROPRIATIONS

### STATE OPERATIONS ENTERPRISE FUNDS

	Available 1999-00	Recommended 2000-01	Change
Advocate for Persons with Disabilities, Office of . . . . .	\$15,000	\$25,000	+\$10,000
Aging, Office for the . . . . .	200,000	200,000	. . . .
Agriculture and Markets, Department of . . . . .	14,140,600	16,224,900	+2,084,300
Children and Family Services, Office of . . . . .	500,000	500,000	. . . .
General Services, Office of . . . . .	1,153,000	1,217,000	+64,000
Health, Department of . . . . .	10,000	10,000	. . . .
Justice, Department of . . . . .	54,060,000	60,135,000	+6,075,000
Mental Health, Office of . . . . .	7,213,000	7,813,000	+600,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	1,950,000	1,950,000	. . . .
Parks, Recreation and Historic Preservation, Office of . . . . .	2,500,000	2,500,000	. . . .
Quality of Care for the Mentally Disabled, Commission on . . . . .	20,000	20,000	. . . .
Total . . . . .	<u>\$81,761,600</u>	<u>\$90,594,900</u>	<u>+\$8,833,300</u>
Appropriated 1999-00 . . . . .	<u>\$81,761,600</u>		

# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES RECAPITULATION OF 2000-01 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Internal Service	Fiduciary	Total
Adirondack Park Agency .....	\$50,000	.....	.....	.....	.....	\$50,000
Aging, Office for the .....	60,162,000	\$95,600,000	.....	.....	\$3,100,000	158,862,000
Agriculture and Markets, Department of ..	11,883,800	18,000,000	.....	.....	.....	29,883,800
Arts, Council on the .....	43,400,000	95,000	.....	.....	200,000	43,695,000
Audit and Control, Department of .....	20,014,000	.....	.....	.....	.....	20,014,000
Children and Family Services, Office of ..	1,039,311,900	1,678,090,000	\$21,000,000	.....	3,530,000	2,741,931,900
City University of New York .....	718,469,000	.....	.....	.....	.....	718,469,000
Economic Development, Department of ..	12,033,600	.....	.....	.....	.....	12,033,600
Education Department, State .....	12,183,357,300	2,236,382,000	3,637,150,000	.....	.....	18,056,889,300
Empire State Development Corporation ...	112,004,100	.....	.....	.....	.....	112,004,100
Environmental Conservation, Department of .....	456,300	.....	.....	.....	.....	456,300
Health, Department of .....	6,207,671,600	16,559,293,500	1,671,581,100	.....	650,000,000	25,088,546,200
Higher Education Services Corporation, New York State .....	611,548,000	2,400,000	7,000,000	.....	.....	620,948,000
Housing and Community Renewal, Division of .....	61,629,000	23,525,000	.....	.....	10,000,000	95,154,000
Housing Finance Agency .....	700,000	.....	.....	.....	.....	700,000
Mortgage Agency, State of New York .....	95,981,000	.....	.....	.....	.....	95,981,000
Hudson River Valley Greenway Communities Council .....	204,000	.....	.....	.....	.....	204,000
Interest on Lawyer Account .....	.....	.....	.....	.....	14,950,000	14,950,000
Justice, Department of .....	256,976,900	79,264,600	24,550,000	\$5,250,000	40,000	366,081,500
Labor, Department of .....	4,690,700	340,352,000	245,000	.....	.....	345,287,700
Law, Department of .....	150,000	.....	.....	.....	.....	150,000
Mental Health, Office of .....	689,334,000	27,126,000	43,075,000	.....	.....	759,535,000
Mental Retardation and Developmental Disabilities, Office of .....	620,466,000	.....	445,988,000	.....	2,000,000	1,068,454,000
Alcoholism and Substance Abuse Services, Office of .....	247,050,000	133,401,000	8,000,000	.....	.....	388,451,000
Metropolitan Transportation Authority ...	.....	.....	391,397,000	.....	.....	391,397,000
Military and Naval Affairs, Division of ...	.....	5,500,000	1,650,000	.....	.....	7,150,000
Motor Vehicles, Department of .....	.....	12,800,000	.....	.....	.....	12,800,000
Parks, Recreation and Historic Preservation, Office of .....	2,200,000	1,870,000	1,100,000	.....	.....	5,170,000
Public Service Department .....	.....	.....	4,400,000	.....	.....	4,400,000
Quality of Care for the Mentally Disabled, Commission on .....	95,000	.....	373,000	.....	.....	468,000
Real Property Services, Office of .....	18,600,000	.....	.....	.....	.....	18,600,000
Science, Technology and Academic Research, Office of .....	47,420,000	5,000,000	.....	.....	.....	52,420,000
State, Department of .....	.....	43,000,000	3,300,000	.....	2,900,000	49,200,000
State University of New York .....	305,581,000	.....	.....	.....	.....	305,581,000
Taxation and Finance, Department of .....	750,000	.....	.....	.....	.....	750,000
Temporary and Disability Assistance, Office of .....	1,707,231,000	2,453,500,000	86,200,000	.....	10,000,000	4,256,931,000
Transportation, Department of .....	130,724,000	27,568,000	1,400,778,000	.....	.....	1,559,070,000
Veterans' Affairs, Division of .....	2,525,000	.....	.....	.....	.....	2,525,000
Subtotal All Agencies .....	<u>\$25,212,669,200</u>	<u>\$23,742,767,100</u>	<u>\$7,747,787,100</u>	<u>\$5,250,000</u>	<u>\$696,720,000</u>	<u>\$57,405,193,400</u>
Miscellaneous- All State Departments and Agencies: Emergency Highway Construction and Reconstruction .....	301,000,000	.....	.....	.....	.....	301,000,000
Emergency Highway Reconditioning and Preservation .....	233,600,000	.....	.....	.....	.....	233,600,000
Local Government Assistance .....	<u>1,210,648,302</u>	.....	.....	.....	<u>23,870,300,000</u>	<u>25,080,948,302</u>
Subtotal: Miscellaneous- All State Departments and Agencies: .....	<u>\$1,745,248,302</u>	.....	.....	.....	<u>\$23,870,300,000</u>	<u>\$25,615,548,302</u>
Judiciary .....	500,000	.....	49,696,461	.....	.....	50,196,461
Total .....	<u>\$26,958,417,502</u>	<u>\$23,742,767,100</u>	<u>\$7,797,483,561</u>	<u>\$5,250,000</u>	<u>\$24,567,020,000</u>	<u>\$83,070,938,163</u>

## SUMMARY OF APPROPRIATIONS

### AID TO LOCALITIES GENERAL FUND

	Available 1999-00	Recommended 2000-01	Change
Adirondack Park Agency .....	\$50,000	\$50,000	.....
Aging, Office for the .....	67,040,312	60,162,000	-\$6,878,312
Agriculture and Markets, Department of .....	14,912,700	11,883,800	-3,028,900
Arts, Council on the .....	45,200,000	43,400,000	-1,800,000
Audit and Control, Department of .....	18,705,000	20,014,000	+1,309,000
Children and Family Services, Office of .....	1,058,942,796	1,039,311,900	-19,630,896
City University of New York .....	702,242,000	718,469,000	+16,227,000
Economic Development, Department of .....	21,840,235	12,033,600	-9,806,635
Education Department, State .....	11,936,919,539	12,183,357,300	+246,437,761
Empire State Development Corporation .....	182,760,100	112,004,100	-70,756,000
Environmental Conservation, Department of .....	10,731,000	456,300	-10,274,700
Greenway Heritage Conservancy for the Hudson River Valley .....	200,000	.....	-200,000
Health, Department of .....	6,229,488,872	6,207,671,600	-21,817,272
Higher Education Services Corporation, New York State .....	648,148,000	611,548,000	-36,600,000
Housing and Community Renewal, Division of .....	65,718,858	61,629,000	-4,089,858
Housing Finance Agency .....	760,000	700,000	-60,000
Mortgage Agency, State of New York .....	80,702,000	95,981,000	+15,279,000
Hudson River Valley Greenway Communities Council Justice, Department of .....	204,000	204,000	.....
.....	278,382,692	256,976,900	-21,405,792
Labor, Department of .....	73,349,700	4,690,700	-68,659,000
Law, Department of .....	150,000	150,000	.....
Mental Health, Office of .....	638,343,500	689,334,000	+50,990,500
Mental Retardation and Developmental Disabilities, Office of .....	604,932,560	620,466,000	+15,533,440
Alcoholism and Substance Abuse Services, Office of ..	246,453,781	247,050,000	+596,219
Military and Naval Affairs, Division of .....	537,500	.....	-537,500
Motor Vehicles, Department of .....	50,000	.....	-50,000
Parks, Recreation and Historic Preservation, Office of .....	34,903,947	2,200,000	-32,703,947
Quality of Care for the Mentally Disabled, Commission on .....	95,000	95,000	.....
Real Property Services, Office of .....	16,911,000	18,600,000	+1,689,000
Science and Technology Foundation, New York State .	1,100,000	.....	-1,100,000
Science, Technology and Academic Research, Office of .....	56,820,000	47,420,000	-9,400,000
State, Department of .....	27,957,673	.....	-27,957,673
State University of New York .....	308,884,600	305,581,000	-3,303,600
Taxation and Finance, Department of .....	750,000	750,000	.....
Temporary and Disability Assistance, Office of .....	1,810,650,000	1,707,231,000	-103,419,000
Transportation, Department of .....	172,390,725	130,724,000	-41,666,725
Veterans' Affairs, Division of .....	5,188,951	2,525,000	-2,663,951
Subtotal: Agencies .....	<u>\$25,362,417,041</u>	<u>\$25,212,669,200</u>	<u>-\$149,747,841</u>
Miscellaneous- All State Departments and Agencies: Development Authority of the North Country .....	971,000	.....	-971,000
Emergency Highway Construction and Reconstruction	276,000,000	301,000,000	+25,000,000
Emergency Highway Reconditioning and Preservation	208,600,000	233,600,000	+25,000,000
Higher Education .....	9,757,300	.....	-9,757,300



# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES GENERAL FUND

	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Local Government Assistance .....	1,219,145,822	1,210,648,302	-8,497,520
Services, Expenses or Grants .....	<u>4,000,000</u>	<u>.....</u>	<u>-4,000,000</u>
Subtotal: Miscellaneous- All State Departments and Agencies: .....	<u>\$1,718,474,122</u>	<u>\$1,745,248,302</u>	<u>+\$26,774,180</u>
Judiciary	<u>762,500</u>	<u>500,000</u>	<u>-262,500</u>
Total .....	<u>\$27,081,653,663</u>	<u>\$26,958,417,502</u>	<u>-\$123,236,161</u>
Adjustments:			
Prior Year Deficiencies .....	+103,769,000		
Transfer From:			
General Fund (State Operations) .....	-226,600		
Transfer To:			
Special Revenue Funds - Federal (Aid To Localities)	+12,270,000		
General Fund (State Operations) .....	<u>+2,960,000</u>		
Appropriated 1999-00 .....	<u>\$27,200,426,063</u>		

## SUMMARY OF APPROPRIATIONS

### AID TO LOCALITIES SPECIAL REVENUE FUNDS - FEDERAL

	Available 1999-00	Recommended 2000-01	Change
Aging, Office for the	\$95,600,000	\$95,600,000	.....
Agriculture and Markets, Department of	3,000,000	18,000,000	+\$15,000,000
Arts, Council on the	95,000	95,000	.....
Children and Family Services, Office of	1,925,097,000	1,678,090,000	-247,007,000
Education Department, State	2,140,729,000	2,236,382,000	+95,653,000
Health, Department of	15,631,996,500	16,559,293,500	+927,297,000
Higher Education Services Corporation, New York State	2,400,000	2,400,000	.....
Housing and Community Renewal, Division of	23,525,000	23,525,000	.....
Justice, Department of	68,007,400	79,264,600	+11,257,200
Labor, Department of	476,586,000	340,352,000	-136,234,000
Mental Health, Office of	22,925,000	27,126,000	+4,201,000
Alcoholism and Substance Abuse Services, Office of	133,477,400	133,401,000	-76,400
Military and Naval Affairs, Division of	5,500,000	5,500,000	.....
Motor Vehicles, Department of	6,978,300	12,800,000	+5,821,700
Parks, Recreation and Historic Preservation, Office of	870,000	1,870,000	+1,000,000
Science, Technology and Academic Research, Office of	5,000,000	5,000,000	.....
State, Department of	45,150,000	43,000,000	-2,150,000
Temporary and Disability Assistance, Office of	2,493,500,000	2,453,500,000	-40,000,000
Transportation, Department of	26,003,000	27,568,000	+1,565,000
<b>Total</b>	<b>\$23,106,439,600</b>	<b>\$23,742,767,100</b>	<b>+\$636,327,500</b>
Adjustments:			
Transfer From:			
General Fund (Aid To Localities)	-12,270,000		
Appropriated 1999-00	<u>\$23,094,169,600</u>		

### AID TO LOCALITIES SPECIAL REVENUE FUNDS - OTHER

	Available 1999-00	Recommended 2000-01	Change
Children and Family Services, Office of	\$21,000,000	\$21,000,000	.....
Education Department, State	2,762,150,000	3,637,150,000	+\$875,000,000
Health, Department of	1,100,268,500	1,671,581,100	+571,312,600
Higher Education Services Corporation, New York State	7,000,000	7,000,000	.....
Justice, Department of	21,899,300	24,550,000	+2,650,700
Labor, Department of	245,000	245,000	.....
Mental Health, Office of	.....	43,075,000	+43,075,000
Mental Retardation and Developmental Disabilities, Office of	377,885,000	445,988,000	+68,103,000
Alcoholism and Substance Abuse Services, Office of	8,000,000	8,000,000	.....
Metropolitan Transportation Authority	253,400,000	391,397,000	+137,997,000
Military and Naval Affairs, Division of	1,650,000	1,650,000	.....
Parks, Recreation and Historic Preservation, Office of	1,100,000	1,100,000	.....
Public Service Department	800,000	4,400,000	+3,600,000
Quality of Care for the Mentally Disabled, Commission on	373,000	373,000	.....
State, Department of	300,000	3,300,000	+3,000,000
Temporary and Disability Assistance, Office of	86,200,000	86,200,000	.....
Transportation, Department of	1,506,323,000	1,400,778,000	-105,545,000
Judiciary	49,659,095	49,696,461	+37,366
<b>Total</b>	<b>\$6,198,252,895</b>	<b>\$7,797,483,561</b>	<b>+\$1,599,230,666</b>
Adjustments:			
Recommended Deficiencies	-9,622,095		
Appropriated 1999-00	<u>\$6,188,630,800</u>		

# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES FIDUCIARY FUNDS

	Available 1999-00	Recommended 2000-01	Change
Aging, Office for the .....	\$3,100,000	\$3,100,000	.....
Arts, Council on the .....	200,000	200,000	.....
Children and Family Services, Office of .....	3,530,000	3,530,000	.....
Health, Department of .....	500,000,000	650,000,000	+\$150,000,000
Housing and Community Renewal, Division of .....	10,000,000	10,000,000	.....
Interest on Lawyer Account .....	14,950,000	14,950,000	.....
Justice, Department of .....	40,000	40,000	.....
Mental Retardation and Developmental Disabilities, Office of .....	2,000,000	2,000,000	.....
State, Department of .....	3,600,000	2,900,000	-700,000
Temporary and Disability Assistance, Office of .....	10,000,000	10,000,000	.....
Local Government Assistance .....	21,770,300,000	23,870,300,000	+2,100,000,000
<b>Total .....</b>	<b>\$22,317,720,000</b>	<b>\$24,567,020,000</b>	<b>+\$2,249,300,000</b>
Appropriated 1999-00 .....	<u>\$22,317,720,000</u>		

## AID TO LOCALITIES INTERNAL SERVICE FUNDS

	Available 1999-00	Recommended 2000-01	Change
Justice, Department of .....	\$5,250,000	\$5,250,000	.....
<b>Total .....</b>	<b>\$5,250,000</b>	<b>\$5,250,000</b>	<b>.....</b>
Appropriated 1999-00 .....	<u>\$5,250,000</u>		

# SUMMARY OF APPROPRIATIONS

## CAPITAL PROJECTS APPROPRIATIONS ALL FUNDS

### APPROPRIATED 1999-2000

Department or Agency	Appropriated for 1999-00				Total 1999-00
	Capital Projects Funds	Special Revenue Funds	Internal Service Funds	Fiduciary Funds	
Agriculture and Markets, Department of .....	\$3,078,000	....	....	....	\$3,078,000
Children and Family Services, Office of .....	26,950,000	....	....	....	26,950,000
Education Department, State .....	145,909,000	....	....	....	145,909,000
Energy Research and Development Authority, New York State .....	12,617,000	....	....	....	12,617,000
Environmental Conservation, Department of .....	713,727,000	\$3,000,000	....	....	716,727,000
Environmental Facilities Corporation .....	22,799,000	....	....	....	22,799,000
General Services, Office of .....	95,900,000	....	....	....	95,900,000
Health, Department of .....	87,477,000	11,400,000	....	....	98,877,000
Housing and Community Renewal, Division of .....	80,700,000	....	....	....	80,700,000
Hudson River Park Trust .....	7,000,000	....	....	....	7,000,000
Justice, Department of .....	265,050,000	....	....	....	265,050,000
Mental Health, Office of .....	164,432,000	....	....	....	164,432,000
Mental Retardation and Developmental Disabilities, Office of .....	66,381,000	....	....	....	66,381,000
Alcoholism and Substance Abuse Services, Office of .....	28,761,000	....	....	....	28,761,000
Military and Naval Affairs, Division of .....	8,925,000	....	....	....	8,925,000
Olympic Regional Development Authority .....	8,300,000	....	....	....	8,300,000
Parks, Recreation and Historic Preservation, Office of .....	32,039,000	....	....	....	32,039,000
Science, Technology and Academic Research, Office of ..	47,500,000	....	....	....	47,500,000
State, Department of .....	1,317,000	....	....	....	1,317,000
Temporary and Disability Assistance, Office of .....	32,000,000	....	....	....	32,000,000
Thruway Authority, New York State .....	2,000,000	....	....	....	2,000,000
Transportation, Department of .....	3,359,288,000	40,659,000	....	\$50,000,000	3,449,947,000
EC - Miscellaneous State Agencies .....	25,000,000	....	....	....	25,000,000
<b>Total .....</b>	<b>\$5,237,150,000</b>	<b>\$55,059,000</b>	<b>....</b>	<b>\$50,000,000</b>	<b>\$5,342,209,000</b>

# SUMMARY OF APPROPRIATIONS

## CAPITAL PROJECTS APPROPRIATIONS ALL FUNDS

### RECOMMENDED 2000-01

Department or Agency	Recommended for 2000-01					Total 2000-01	Change From 1999-00
	Total 1999-00	Capital Projects Funds	Special Revenue Funds	Internal Service Funds	Fiduciary Funds		
Agriculture and Markets, Department of . . . . .	\$3,078,000	\$3,100,000	....	....	....	\$3,100,000	+\$22,000
Children and Family Services, Office of . . . . .	26,950,000	92,600,000	....	....	....	92,600,000	+65,650,000
Education Department, State Energy Research and Development Authority, New York State . . . . .	145,909,000	5,065,000	....	....	....	5,065,000	-140,844,000
Environmental Conservation, Department of . . . . .	12,617,000	14,017,000	....	....	....	14,017,000	+1,400,000
Environmental Facilities Corporation . . . . .	716,727,000	587,774,000	\$3,000,000	....	....	590,774,000	-125,953,000
General Services, Office of . . . . .	22,799,000	292,000	....	....	....	292,000	-22,507,000
Health, Department of . . . . .	95,900,000	71,300,000	....	....	....	71,300,000	-24,600,000
Housing and Community Renewal, Division of . . . . .	98,877,000	120,077,000	....	....	....	120,077,000	+21,200,000
Hudson River Park Trust . . . . .	80,700,000	66,200,000	....	....	....	66,200,000	-14,500,000
Justice, Department of . . . . .	7,000,000	65,000,000	....	....	....	65,000,000	+58,000,000
Mental Health, Office of . . . . .	265,050,000	402,700,000	....	....	....	402,700,000	+137,650,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	164,432,000	134,120,000	....	....	....	134,120,000	-30,312,000
Alcoholism and Substance Abuse Services, Office of . . . . .	66,381,000	63,117,000	....	....	....	63,117,000	-3,264,000
Military and Naval Affairs, Division of . . . . .	28,761,000	35,186,000	....	....	....	35,186,000	+6,425,000
Olympic Regional Development Authority . . . . .	8,925,000	9,725,000	....	....	....	9,725,000	+800,000
Parks, Recreation and Historic Preservation, Office of . . . . .	8,300,000	....	....	....	....	....	-8,300,000
Science, Technology and Academic Research, Office of . . . . .	32,039,000	32,483,000	....	....	\$6,000,000	38,483,000	+6,444,000
State, Department of . . . . .	47,500,000	....	....	....	....	....	-47,500,000
Temporary and Disability Assistance, Office of . . . . .	1,317,000	348,000	....	....	....	348,000	-969,000
Thruway Authority, New York State . . . . .	32,000,000	30,000,000	....	....	....	30,000,000	-2,000,000
Transportation, Department of EC - Miscellaneous State Agencies . . . . .	2,000,000	2,000,000	....	....	....	2,000,000	....
Judiciary . . . . .	3,449,947,000	3,380,842,000	50,778,000	....	50,000,000	3,481,620,000	+31,673,000
	25,000,000	....	....	....	....	....	-25,000,000
	....	7,775,000	....	....	....	7,775,000	+7,775,000
<b>Total . . . . .</b>	<b>\$5,342,209,000</b>	<b>\$5,123,721,000</b>	<b>\$53,778,000</b>	<b>....</b>	<b>\$56,000,000</b>	<b>\$5,233,499,000</b>	<b>-\$108,710,000</b>

# SUMMARY OF APPROPRIATIONS

## CAPITAL PROJECTS ALL FUNDS

### TOTAL RECOMMENDED NEW APPROPRIATIONS AND REAPPROPRIATIONS

Department or Agency	Total Recommended Appropriations 2000-01	Total Recommended Reappropriations 2000-01	Capital Projects Fund	Capital Projects Fund Advances	Federal Capital Projects Fund	All Other Fund Types (a)	Total Capital Projects 2000-01
Agriculture and Markets, Department of .....	\$3,100,000	\$7,390,000	\$5,760,000	....	....	\$4,730,000	\$10,490,000
Children and Family Services, Office of .....	92,600,000	61,261,000	31,757,000	....	....	122,104,000	153,861,000
City University of New York .....	....	1,082,806,000	93,229,000	\$985,546,000	....	4,031,000	1,082,806,000
Education Department, State Empire State Development Corporation .....	5,065,000	184,876,000	153,548,000	36,393,000	....	....	189,941,000
Energy Research and Development Authority, New York State .....	....	425,000,000	....	....	....	425,000,000	425,000,000
Environmental Conservation, Department of .....	14,017,000	....	13,900,000	....	....	117,000	14,017,000
Environmental Conservation, Environmental Facilities Corporation .....	590,774,000	4,437,430,000	247,904,000	118,389,000	\$678,926,000	3,982,985,000	5,028,204,000
General Services, Office of .....	292,000	22,500,000	22,500,000	....	....	292,000	22,792,000
Health, Department of .....	71,300,000	131,969,000	197,761,000	5,508,000	....	....	203,269,000
Housing and Community Renewal, Division of .....	120,077,000	205,839,000	33,430,000	26,500,000	175,321,000	90,665,000	325,916,000
Hudson River Park Trust .....	66,200,000	349,144,000	23,120,000	....	42,430,000	349,794,000	415,344,000
Justice, Department of .....	65,000,000	18,845,000	....	52,000,000	....	31,845,000	83,845,000
Mental Health, Office of .....	402,700,000	915,087,000	13,473,000	....	114,187,000	1,190,127,000	1,317,787,000
Mental Retardation and Developmental Disabilities, Office of .....	134,120,000	552,212,000	100,897,000	....	....	585,435,000	686,332,000
Alcoholism and Substance Abuse Services, Office of .....	63,117,000	112,261,000	94,418,000	....	....	80,960,000	175,378,000
Metropolitan Transportation Authority .....	35,186,000	128,901,000	37,422,000	....	....	126,665,000	164,087,000
Military and Naval Affairs, Division of .....	....	36,000,000	....	36,000,000	....	....	36,000,000
Parks, Recreation and Historic Preservation, Office of .....	9,725,000	18,359,000	16,401,000	....	11,683,000	....	28,084,000
Science, Technology and Academic Research, Office of .....	38,483,000	86,381,000	300,000	....	3,574,000	120,990,000	124,864,000
State, Department of .....	....	47,500,000	47,500,000	....	....	....	47,500,000
State University of New York .....	348,000	1,444,000	1,444,000	....	....	348,000	1,792,000
Temporary and Disability Assistance, Office of .....	....	2,574,337,000	181,133,000	1,993,132,000	....	400,072,000	2,574,337,000
Thruway Authority, New York State .....	30,000,000	139,903,000	14,111,000	....	....	155,792,000	169,903,000
Transportation, Department of EC - Miscellaneous State Agencies .....	2,000,000	3,134,000	....	....	....	5,134,000	5,134,000
Judiciary .....	3,481,620,000	8,509,954,000	....	25,826,000	5,466,854,000	6,498,894,000	11,991,574,000
	....	25,000,000	25,000,000	....	....	....	25,000,000
	7,775,000	....	7,775,000	....	....	....	7,775,000
<b>Total .....</b>	<b>\$5,233,499,000</b>	<b>\$20,077,533,000</b>	<b>\$1,362,783,000</b>	<b>\$3,279,294,000</b>	<b>\$6,492,975,000</b>	<b>\$14,175,980,000</b>	<b>\$25,311,032,000</b>

(a) Includes Other Capital Projects Funds, Special Revenue Funds - Other, Fiduciary Funds, Internal Service Funds, Enterprise Funds, and Bond Funds

# ***PART V***

## ***USER'S GUIDE***





# ***USER'S GUIDE***

The "User's Guide" provides an explanation of how to use the Executive Budget documents and where to find particular types of information. It also contains some short, nontechnical and "user-friendly" descriptions of State government and the budget process, a guide on how to read certain budget tables, and definitions of financial terms as included in these budget documents.

Government budget documents can be difficult to read. They contain many numbers and tend to lapse into technical jargon. Even people with considerable government experience can be baffled by the numerous tables or find themselves uncertain about the meaning of specialized terms.

The User's Guide attempts to overcome this problem by providing simplified, nontechnical explanations and a description of how to use the budget documents. The User's Guide contains the following sections:

- The Executive Budget Documents
- The Structure of State Government
- The Budget Process
- Guide to the Tables
- Financial Terminology

## **THE EXECUTIVE BUDGET DOCUMENTS**

The 2000-2001 Executive Budget is presented in three volumes. The first volume includes the Budget Message, an overview which describes the major themes and initiatives contained within the budget and the fiscal and economic environment within which budget decisions were made, and a listing of the legislation necessary to implement the budget recommendations. This document also presents tables summarizing cash disbursements by agency.

This second volume (Appendix I) contains the more detailed agency budget presentations. These presentations generally follow a common format and provide information on the agencies' budgets, including operating, local aid and capital projects appropriations. This volume also contains presentations covering miscellaneous appropriations (including general state charges), State debt service and, as required by the Constitution, the requests of the Judiciary and the Legislature. Tables summarizing appropriations for all agencies can be found in Part IV immediately preceding this Guide.

A third volume (Appendix II) includes the State's Financial Plan Overview, the Capital Program and Financing Plan, the detailed Explanation of Receipt Estimates, and the economic, revenue and expenditure assumptions that form the basis of the Financial Plan.

It should be noted that this User's Guide describes only the "official" budget publications (the Executive Budget and the Executive Budget Appendix books). Other documents such as press releases and publicly released briefing materials may also be of help to those seeking to understand the budget.

## **THE STRUCTURE OF STATE GOVERNMENT**

The Executive Budget focuses on the programs and finances of State government. It should be kept in mind, however, that government in New York State also includes the governments of 62 counties (five of which are the five boroughs of New York City), 62 cities (including New York City), 932 towns and 553 villages. In addition, the State is divided into 706 school districts, including New York City.

Organizationally, the State follows the classic pattern of American government — with three independent branches. The legislative branch consists of a bicameral Legislature — a Senate of 61 members and an Assembly of 150 members. The judicial branch includes trial courts and appellate courts ranging from town and village courts to the State's highest court — the Court of Appeals. The Judiciary functions under a Unified Court System whose organization, administration and financing are prescribed by the State Constitution and the Unified Court Budget Act.

The executive branch of New York State government consists of 20 departments, the maximum number allowed under a constitutional ceiling. The limitation in the number of departments is traceable to the constitutional reforms of the mid-1920's which sought to make government more manageable by eliminating most of the independently elected executive officers and by inhibiting the creation of new departments. Although there have been several interim changes since the 1920's, in 1961 the maximum number of departments was set at 20, which at the present time are the following:

Agriculture and Markets	Health
Audit and Control	Insurance
Banking	Labor
Civil Service	Law
Correctional Services	Mental Hygiene
Economic Development	Motor Vehicles
Education	Public Service
Environmental Conservation	State
Executive	Taxation and Finance
Family Assistance	Transportation

To accommodate governmental functions added since the 1920's within the limits established by the Constitution, numerous agencies have been created within the Executive Department. At the time of the 1920's reorganization, this Department, headed by the Governor, consisted solely of such core functions as budgeting, central purchasing, State police, and military and naval affairs. However, over the years, as the State took on new responsibilities that did not fit logically into the framework of one of the other departments, the entities charged with providing those services became divisions or offices of the Executive Department.

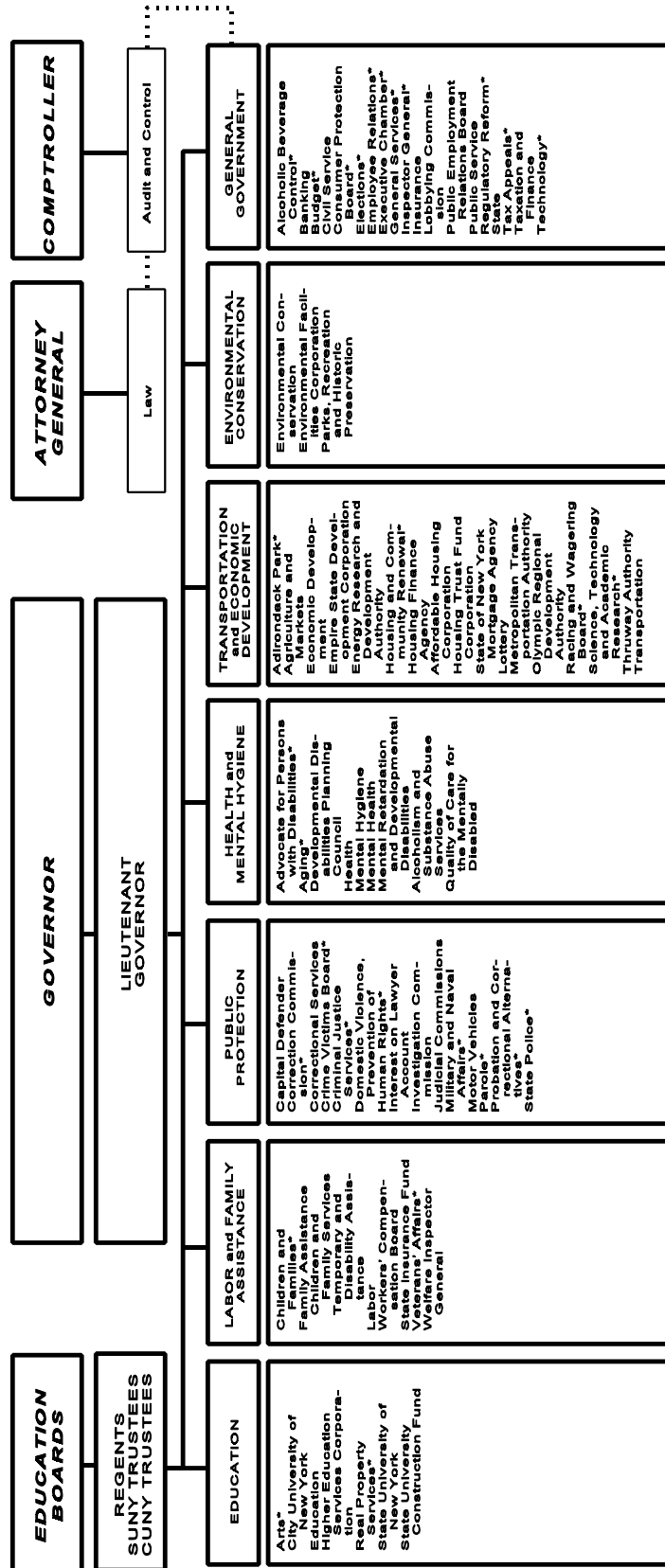
New York grants its Governor a comparatively broad range of executive power. Only two officers, in addition to the Governor and Lieutenant Governor (who are elected on a joint ballot), are directly elected by the people of the State: the State Comptroller, who heads the Department of Audit and Control, and the Attorney General, who heads the Department of Law. With a handful of exceptions, the Governor appoints the heads of all other departments and agencies of the executive branch.

The exceptions include the Commissioner of the State Education Department, whose head is appointed by, and serves at the pleasure of, the State Board of Regents. The State University of New York (SUNY), although technically a corporate entity within the State Education Department, is headed by a Chancellor who is appointed by a Board of Trustees. Likewise, the City University of New York (CUNY) is headed by a Chancellor, who is appointed by a Board of Trustees.

The departments and agencies whose heads report to the Governor are separate and distinct from one another. Conceptually, however, one may think of each department, board, commission, office or other entity as operating within the context of one of seven major functional areas.

An organization chart of the executive branch by functional areas is displayed on the following page. This chart depicts the current structure of the executive branch, and therefore does not reflect any reorganizations that are proposed in the Executive Budget. These are described elsewhere, particularly in the Agency Presentations section of this volume.

**FUNCTIONAL DISTRIBUTION OF STATE AGENCIES IN THE EXECUTIVE BRANCH**  
January 1, 2000



\*Indicates agencies within the Executive Department

## **THE BUDGET PROCESS**

New York State's budget process is a prime example of an executive budget system. The Governor is required by the State Constitution to seek and coordinate requests from agencies of State government, develop a "complete" plan of proposed expenditures and the revenues available to support them (a "balanced budget"), and submit a budget to the Legislature along with the appropriation bills and other legislation required to carry out budgetary recommendations. The Governor is also required by the State Finance Law to manage the budget through administrative actions during the fiscal year.

The State's fiscal year begins April 1 and ends on March 31. However, the actual "budget cycle," representing the time between early budget preparation and last-minute disbursements, begins some nine months earlier and lasts approximately 27 months — until the expiration of the State Comptroller's authority to honor vouchers against the previous fiscal year's appropriations.

### **AGENCY BUDGET PREPARATION (JUNE—SEPTEMBER/OCTOBER)**

Preparation of budget requests varies among agencies reflecting their size, complexity and internal practice. Typically, budget development begins at the program or subdepartmental level, with staff preparing individual program requests guided by the instructions set forth by the Division of the Budget in the Budget Request Manual. The head of the agency or its top fiscal officer may hold internal hearings at which program managers outline their budgetary needs.

Although agencies begin to analyze their budget needs as early as May or June, the formal budget cycle begins when the Budget Director issues a policy memorandum — the "call letter" — to agency heads. The call letter outlines, in general terms, the Governor's priorities for the coming year, alerts the agency heads to expected fiscal constraints and informs agencies of the schedule for submitting requests to the Division of the Budget. In short, the call letter signals the official start of the budget process.

By early fall, the final program package is assembled, reviewed for consistency with the call letter, and approved by the agency head.

### **DIVISION OF THE BUDGET REVIEW (SEPTEMBER/OCTOBER—DECEMBER)**

In accordance with a schedule outlined in the call letter, agencies typically submit their budget requests to the Division of the Budget in September or October, with copies provided to the legislative fiscal committees. Examination units within the Division then analyze the requests of agencies for which they have responsibility. Examiners may seek additional information from the agencies and may hold informal hearings or meetings with agency management to clarify agency requests and seek a more precise definition of agency priorities. By the end of October, examination units have also usually determined funding requirements to continue agency programs at current levels in the new year.

In November, the Budget Director conducts a series of constitutionally authorized "formal" budget hearings, giving agency heads an opportunity to present and discuss their budget requests and giving the staff of the Division of the Budget and the Governor's office an "on-the-record" opportunity to raise critical questions on program, policy and priorities. As provided in the Constitution, representatives of the Legislature may participate in the hearings.

To help expedite the budget process, the Legislature also participates in a series of meetings with executive staff to discuss the economic outlook, revenue forecasts, projected spending, the impact of State and Federal statutes, and any other relevant

matters. Through late November, the Division's examiners transform agency requests into preliminary budget and personnel recommendations which are reviewed in detail with the Director. The staff also prepare the appropriation bills and any other legislation required to carry out these recommendations. Concurrently, the Division of the Budget's fiscal staff is reassessing economic projections, investigating possible changes in the revenue structure, analyzing trends in Federal funding, and preparing the Financial Plan that describes and forecasts the State's fiscal condition. The Financial Plan is prepared both on a cash basis and according to generally accepted accounting principles (GAAP).

By early December, the Division of the Budget will normally have completed its recommendations on both revenues and expenditures, and presented them to the Governor and the Governor's staff. Budget staff then prepare the tables and the narrative (the "budget story") that accompany each agency budget, and the descriptions and forecasts of individual revenue sources.

### ***THE GOVERNOR'S DECISIONS (NOVEMBER—JANUARY)***

The Governor and staff, who are also preparing the annual Message to the Legislature (the "State-of-the-State" message which the Governor presents to the Legislature when it convenes in January), are conversant with the budget throughout its development. The Governor is kept up-to-date on changing economic and revenue forecasts and confirms that Executive program priorities are accurately reflected in the budget. Based on the preliminary recommendations and the most current reading of the economic and fiscal environment, the final Executive Budget recommendations are formulated in a series of meetings between Division of the Budget staff and the Governor and his staff. These sessions focus on major fiscal and policy issues and may lead to significant revisions in agency budgets.

### ***LEGISLATIVE ACTION (JANUARY—MARCH)***

Typically, in mid-January — or, following a gubernatorial election year, by February 1 — the Governor submits the Executive Budget to the Legislature, along with the related appropriation, revenue and other budget bills concerning State operations, aid to localities, capital projects and debt service. The State's Five-Year Capital Program and Financing Plan is also submitted with the Executive Budget. Within 10 days, the Division of the Budget provides the Legislature with additional financial information supporting the Executive Budget. A three-year financial projection is submitted within 30 days following submission of the Executive Budget, although it can be submitted earlier.

Historically, the Legislature, primarily through its fiscal committees — Senate Finance and Assembly Ways and Means — analyzes the Executive spending proposals and revenue estimates, holds public hearings on major programs and seeks further information from the staffs of the Division of the Budget and other State agencies. Following that review, the Legislature acts on the appropriation bills submitted with the Executive Budget to reflect its decisions.

In 1998, for the first time ever, the Legislature adopted a Conference Committee process to organize its deliberations and reach bi-lateral agreement on a Budget. The process involved the creation of a General Budget Conference Committee to set overall priorities and manage the process, and several Conference Subcommittees to make budget recommendations for specific program areas. After a series of public meetings, the Committees developed joint spending and revenue recommendations which were then reflected in amended versions of the Governor's proposed appropriation bills and related legislation, and approved by both houses.

The legislature again used Conference Committees during its deliberations on the 1999-2000 Budget, and is generally expected to continue the practice to arrive at

decisions on the proposed 2000-2001 Executive Budget. The Senate and Assembly will continue to conduct an extensive analysis of the Budget and discuss their findings with the Executive, as has been done in the past. Upon completing its analysis, the Legislature often amends the appropriation bills and other budget-related bills before voting on them. These amended bills are available from the Senate and Assembly Document Rooms located in the Capitol and the Legislative Office Building, and on the Internet.

The appropriation bills, except for those items which were added by the Legislature and the appropriations for the Legislature and Judiciary, become law without further action by the Governor. The Governor must approve or disapprove all or parts of the appropriation bills covering the Legislature and Judiciary and may use the line item veto to disapprove items added by the Legislature while approving the remainder of the bill. As provided in the Constitution, the Legislature may override the Governor's veto by a vote of two-thirds of the members of each house. The passage of the appropriation bills provides a legal foundation for the disbursement of funds during the new fiscal year.

Upon passage of the appropriation bills, the Legislature must issue a summary of changes to the budget, and indicate how projected disbursements will be balanced by projected receipts. The Legislature must also issue a report describing appropriation changes and the effect of the enacted budget on State agency employment levels.

### ***BUDGET EXECUTION (APRIL—MARCH)***

At this point the budget process enters a new phase: budget execution. As a first step, the Division of the Budget approves "certificates of allocation" informing the State Comptroller that accounts may be established as specified in the certificates and that vouchers drawn against the accounts may be honored.

In addition, the Division of the Budget keeps a close watch throughout the year on the flow of revenue and the pattern of expenditures against its projections. This information is reflected in quarterly updates of the Financial Plan which are provided to the Legislature, as required by law, in April (or as soon as practicable after budget enactment), July, October and with the Executive Budget for the ensuing year. These serve as the basis of financial management during the fiscal year, and may alert both the Governor and the Legislature to potential problems in maintaining budget balance as the State fiscal year unfolds.



## **A GUIDE TO THE TABLES**

One of the most daunting features of any budget document is the array of tables that accompanies each narrative. What does each table include? What is a "category"? Is it the same as a "program"? What are "all funds"? How do the tables account for transactions that have occurred during the current fiscal year and that may have changed the basis for year-to-year comparisons?

At first glance, the tables may appear to differ widely in appearance and content from one agency budget to another. Some agencies will have a limited number of programs, receive funding in only one category of appropriation — say, State Operations — and have no capital construction projects. Others may receive funding in all categories and many fund types, have a complex set of programs, and reflect numerous current-year adjustments. A closer look will reveal that each agency presentation uses a uniform set of tables in an identical sequence. It should be noted, however, that some agencies may not require one or more of the set. For example, the capital projects table will not be included for an agency that has no construction program.

All or most of the following tables accompany each agency presentation. The numbers of the tables (e.g., I, II,...X) have been included in this guide for ease of reference only. Although the titles of the tables are identical to those that appear in the agency presentations, the tables in the presentations are not numbered.

- I. ALL FUNDS — APPROPRIATIONS**
- II. ALL FUND TYPES — LEVELS OF EMPLOYMENT BY PROGRAM — ANNUAL SALARIED POSITIONS**
- III. STATE OPERATIONS — ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**
- IV. STATE OPERATIONS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**
- V. STATE OPERATIONS — GENERAL FUND — SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES — 2000-2001 RECOMMENDED**
- VI. STATE OPERATIONS — GENERAL FUND — SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES — 2000-2001 RECOMMENDED**
- VII. STATE OPERATIONS — OTHER THAN GENERAL FUND — SUMMARY OF APPROPRIATIONS AND CHANGES — 2000-2001 RECOMMENDED**
- VIII. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**
- IX. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**
- X. CAPITAL PROJECTS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

# USER'S GUIDE

## I. ALL FUNDS — APPROPRIATIONS

This table shows the total recommended appropriations by category and grand total for the coming fiscal year compared with appropriations available for the current fiscal year for all funds. It also shows the total of current year and prior year appropriations which have been recommended for reappropriation for all funds in the Capital Projects category.

<b>1</b> ALL FUNDS APPROPRIATIONS				
<b>2</b> Category	<b>3</b> Available 1999-00	<b>4</b> Appropriations Recommended 2000-01	Change	<b>5</b> Reappropriations Recommended 2000-01
State Operations .....	\$34,981,300	\$32,592,500	-\$2,388,800	.....
Aid To Localities .....	82,085,405	79,619,905	-2,465,500	\$3,100,000
Capital Projects .....	3,314,000	2,495,000	-819,000	96,557,000
Debt Service .....	.....	.....	.....	.....
<b>Total</b> .....	<u>\$120,380,705</u>	<u>\$114,707,405</u>	<u>-\$5,673,300</u>	<u>\$99,657,000</u>

**1** "All Funds" captures spending from all of the State's various revenue sources, including taxes, fees, fines, Federal grants, bond proceeds, lottery proceeds, and other miscellaneous receipts. This concept includes the four fund types which comprise the Governmental Funds Financial Plan: the General Fund (the repository for the majority of State-imposed taxes and fees), Special Revenue funds (including funds earmarked for specific purposes like lottery proceeds, fishing licenses, or Federal grants), Capital Projects funds and Debt Service funds. Another three fund types — Internal Service funds, Enterprise funds and Fiduciary funds — are included as well.

**2** There are four major categories of spending: State Operations, Aid to Localities, Capital Projects and Debt Service.

**3** This column includes the appropriations for the current fiscal year. Adjustments, such as the recommended transfer of a program or an item to another fund or agency for the coming fiscal year, are included to provide for year-to-year comparability.

**4** This column displays the appropriations recommended to be made to the agency for 2000-01. As explained in the "Financial Terminology" section of this Guide, appropriations represent an authorization to incur spending obligations during the fiscal year, up to the specified amount. Cash payments for those obligations may occur during the fiscal year of the appropriation, or during the first part of the ensuing fiscal year.

**5** A reappropriation is a prior-year or current-year appropriation which will not have been fully expended by the end of the current fiscal year and which has been recommended for extension. For a further discussion of Capital Projects reappropriations see Note 2 of Table X.

**II. ALL FUND TYPES — LEVELS OF EMPLOYMENT BY PROGRAM — ANNUAL SALARIED POSITIONS**

Level of Employment or Workforce, as reflected in this table, is on an "Average Fill Level" (AFL) basis and does not include nonannual salaried employees (e.g., employees hired on a seasonal or hourly basis). AFL is the number of annual salaried positions, expressed on a full-time equivalent (FTE) basis, that can be filled on average throughout the fiscal year based on available funding.

**ALL FUND TYPES  
LEVELS OF EMPLOYMENT BY PROGRAM  
ANNUAL SALARIED POSITIONS**

Program	2000-01 Recommended Average Fill Level				Change
	<b>1</b> Available 1999-00	<b>2</b> Personal Service (Regular)	<b>3</b> Maintenance Undistributed	<b>4</b> Total Recommended 2000-01	
Executive Management					
General Fund	60	56	....	56	-4
Administration and Fiscal Management					
General Fund	72	46	....	46	-26
Special Revenue Funds—Federal	19	40	....	40	+ 21
Special Revenue Funds—Other	50	....	59	59	+ 9
Prevention and Intervention					
General Fund	42	34	....	34	-8
Treatment and Rehabilitation					
General Fund	525	493	....	493	-32
Research, Planning and Development					
General Fund	122	96	....	96	-26
Subtotal, Direct Funded Programs	890	765	59	824	-66
<b>6</b> Suballocations:					
Special Revenue Funds—Federal	....			10	+ 10
Total	890			834	-56

**1** Available 1999-00 includes the combined total AFL available in this agency during the current year funded from three sources: Personal Service (Regular); Maintenance Undistributed; and suballocations of funding from sources outside the agency.

**2** AFL values shown in this column are funded from appropriations for Personal Service (Regular) and, if applicable, from capital appropriations in this agency.

**3** AFL values shown in this column are funded from Maintenance Undistributed appropriations made to this agency.

**4** This is the total of the values shown in the preceding two columns.

**5** This is the year to year change in AFL values, i.e., the values shown in the fourth column versus the values shown in the first column.

**6** AFL values shown in this row are funded from other sources, including suballocations from other agencies and other financing mechanisms. This table shows the addition of 10 positions from suballocated funds.

## USER'S GUIDE

The next five tables apply to the State Operations category. Each agency which has appropriations in this category will have some or all of these tables in its budget presentation.

### III. STATE OPERATIONS — ALL FUNDS REQUIREMENTS BY FUND TYPE — APPROPRIATIONS

This table shows the distribution of all appropriations within the State Operations category by fund type and shows a year-to-year comparison of the amounts available in the current fiscal year and those recommended for the coming fiscal year. See the next table for a distribution by program.

<b>STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS</b>			
<b>1</b> Fund Type	Available 1999-00	Recommended 2000-01	Change
<b>2</b> General Fund . . . . .	\$31,388,300	\$27,704,200	-\$3,684,100
Special Revenue Funds—Federal . . . . .	1,043,000	1,694,100	+ 651,100
Special Revenue Funds—Other . . . . .	2,550,000	3,194,200	+ 644,200
Total . . . . .	\$34,981,300	<u>\$32,592,500</u>	<u>-\$2,388,800</u>
<b>3</b> Adjustments:			
Transfer(s) From:			
All State Departments and Agencies			
General Fund . . . . .	-235,800		
Transfer(s) To:			
Alcoholism and Substance Abuse Services, Office of			
General Fund (Aid to Localities) . . . . .	+ 50,800		
Appropriated 1999-00 . . . . .	<u>\$34,796,300</u>		

**1** The State Finance Law defines and mandates the use of seven fund types: General, Special Revenue, Capital Projects, Debt Service, Enterprise, Internal Service and Fiduciary.

**2** Because of the difference between the State's fiscal year (April 1 through March 31) and the Federal fiscal year (October 1 through September 30), State fiscal year appropriations of most Federal grants generally include spending from portions of two Federal fiscal years. The amounts discussed throughout the Executive Budget represent the totals of spending from different grants, that are expected to occur during the State fiscal year.

**3** Adjustments in the amounts available for the current year may occur for a number of reasons. As discussed below, they may anticipate changes that are being recommended in the budget for the new fiscal year or reflect transactions occurring during the course of the current year:

- Most commonly, the adjustment is included to make the amounts available in the current year more comparable to those recommended for the upcoming year. For example, if the Executive Budget is recommending that an item, which has been appropriated in the current year's budget as a State Operations item, be included in the upcoming year in Aid to Localities, the dollar amount of the item would be deducted from the amount available in the current year for State Operations to achieve year-to-year comparability. A similar amount would be added to the amount available this year for Aid to Localities.

- In other cases, including the example shown in the table above, the amount shown reflects an adjustment that has actually taken place during the current year. In the example, the amount of \$235,800 was transferred to this agency from an appropriation made to "All State Departments and Agencies" which is included among the Miscellaneous appropriations elsewhere in the Executive Budget. During budget execution, such Miscellaneous All State Department and Agency appropriations (e.g., to fund a salary increase or some other across-the-board adjustment) are divided and transferred to the appropriations of individual agencies to be expended (see the explanation of "lump sum appropriations" included in the "Financial Terminology" section). The adjustment made in this case enables the reader to compare the amount actually available to the agency under this category during the current fiscal year with that appropriated by the Legislature for the year.

## USER'S GUIDE

### IV. STATE OPERATIONS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS

This table shows the amounts available for State Operations for the current fiscal year and those that have been recommended for the coming fiscal year by program and, within each program, by fund type.

STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS			
1 Program	Available 1999-00	Recommended 2000-01	Change
Executive Management			
General Fund . . . . .	\$1,990,900	\$1,858,200	-\$132,700
Administration and Fiscal Management			
General Fund . . . . .	3,624,800	2,604,700	-1,020,100
Special Revenue Funds—Federal . . . . .	1,043,000	1,694,100	+ 651,100
Prevention and Intervention			
General Fund . . . . .	1,678,000	1,404,500	-273,500
Treatment and Rehabilitation			
General Fund . . . . .	19,670,400	18,239,500	-1,430,900
Special Revenue Funds—Other . . . . .	2,550,000	3,194,200	+ 644,200
Research, Planning and Development			
General Fund . . . . .	4,424,200	3,597,300	-826,900
Total . . . . .	<u>\$34,981,300</u>	<u>\$32,592,500</u>	<u>-\$2,388,800</u>

1 Each agency has a program structure which is described in its narrative presentation. Each of the agency's activities falls within a program, and each program may have appropriations from one or more fund types.

**V. STATE OPERATIONS — GENERAL FUND — SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES — 2000-01 RECOMMENDED**

This table shows the amounts recommended for personal service for each program supported from the General Fund. Personal service is one of four "major objects" of expenditure in use in New York State budgeting. The other major objects — nonpersonal service, grants and capital projects — are discussed in the tables that follow.

**STATE OPERATIONS—GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	1 Total Personal Service		3 Personal Service Regular (Annual Salaried)		4 Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Management . . . . .	\$1,716,300	-\$130,900	\$1,690,200	-\$118,900	\$23,100	-\$12,000
Administration and Fiscal Management . . . . .	1,434,300	-811,600	1,427,300	-803,600	. . . . .	-8,000
Prevention and Intervention . . . . .	1,025,900	-244,100	1,009,900	-244,100	10,000	. . . . .
Treatment and Rehabilitation . . . . .	15,121,200	-979,900	14,867,000	-969,900	61,100	-10,000
Research, Planning and Development . . . . .	2,865,600	-780,800	2,848,600	-780,800	9,000	. . . . .
<b>Total . . . . .</b>	<b>\$22,163,300</b>	<b>-\$2,947,300</b>	<b>\$21,843,000</b>	<b>-\$2,917,300</b>	<b>\$94,200</b>	<b>-\$30,000</b>

Program	5 Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Management . . . . .	\$3,000	. . . . .
Administration and Fiscal Management . . . . .	7,000	. . . . .
Prevention and Intervention . . . . .	6,000	. . . . .
Treatment and Rehabilitation . . . . .	193,100	. . . . .
Research, Planning and Development . . . . .	17,000	. . . . .
<b>Total . . . . .</b>	<b>\$226,100</b>	<b>. . . . .</b>

1 The total amount recommended for Personal Service is the sum of the amounts recommended for Personal Service Regular (Annual Salaried), Temporary Service (Nonannual Salaried) and Holiday/Overtime Pay (Annual Salaried). It includes funding for annual-salaried personnel (see table entitled "All Fund Types — Levels of Employment By Program — Annual Salaried Positions") and nonannual salaried personal services costs, and includes adjustments to account for savings expected to result from vacancies occurring throughout the year.

2 The amounts shown under "Change" represent the difference (+/-) between the appropriations available in the current fiscal year and the amounts recommended for the coming year.

3 The bulk of the State's permanent work force is funded through the Personal Service Regular appropriation and is generally paid on the basis of an annual salary. Personal Service Regular, Temporary Service and Holiday/Overtime Pay are "subobjects" of expenditure within Personal Service, the major object.

4 As noted above, Temporary Service is a subobject of expenditure within Personal Service, the major object. It includes appropriations recommended to pay for employees hired on a seasonal or short-term basis who are generally paid according to an hourly wage scale, and includes amounts to cover Holiday/Overtime Pay for such nonannual salaried employees.

- 5 As also noted above, Holiday/Overtime Pay is a subobject of expenditure within Personal Service, the major object. It includes recommended appropriations to compensate annual salaried employees eligible to receive payment for work performed on holidays or beyond normal duty hours. Eligibility for such payment is established by Civil Service Rules and Regulations and by contracts resulting from collective bargaining with employee organizations. The provisions of both the Civil Service Rules and Regulations and contracts with employee organizations must meet the standards set forth in the Federal Fair Labor Standards Act which governs State overtime policies.



**VI. STATE OPERATIONS — GENERAL FUND — SUMMARY OF  
NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES — 2000-01 RECOMMENDED**

Nonpersonal Service (NPS) is one of the major objects of expenditure in use in New York State budgeting. This table shows the amounts recommended for appropriation from the General Fund in the coming year by program and NPS subobject and by program for Maintenance Undistributed. As in the case of the Personal Service table, it also shows the "change," or the difference (+/-) between the amounts available during the current fiscal year and the amounts recommended for appropriation in the coming year.

**STATE OPERATIONS—GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

Program	Total		Supplies and Materials <span style="border: 1px solid black; padding: 2px;">1</span>	
	Amount	Change	Amount	Change
Executive Management . . . . .	\$141,900	-\$1,800	\$20,200	-\$300
Administration and Fiscal Management . . . . .	1,170,400	-208,500	83,600	-50,700
Prevention and Intervention . . . . .	378,600	-29,400	6,000	-18,600
Treatment and Rehabilitation . . . . .	3,118,300	-451,000	1,816,300	+ 43,000
Research, Planning and Development . . . . .	731,700	-46,100	82,200	. . . . .
<b>Total . . . . .</b>	<b>\$5,540,900</b>	<b>-\$736,800</b>	<b>\$2,008,300</b>	<b>-\$26,600</b>

Program	Travel <span style="border: 1px solid black; padding: 2px;">2</span>		Contractual Services <span style="border: 1px solid black; padding: 2px;">3</span>	
	Amount	Change	Amount	Change
Executive Management . . . . .	\$51,000	. . . . .	\$70,700	-\$1,500
Administration and Fiscal Management . . . . .	66,800	. . . . .	995,700	-44,500
Prevention and Intervention . . . . .	54,500	. . . . .	318,100	-10,800
Treatment and Rehabilitation . . . . .	105,600	-\$98,200	966,400	-95,800
Research, Planning and Development . . . . .	34,100	. . . . .	615,400	-46,100
<b>Total . . . . .</b>	<b>\$312,000</b>	<b>-\$98,200</b>	<b>\$2,966,300</b>	<b>-\$198,700</b>

Program	Equipment <span style="border: 1px solid black; padding: 2px;">4</span>		Maintenance Undistributed <span style="border: 1px solid black; padding: 2px;">5</span>	
	Amount	Change	Amount	Change
Executive Management . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Administration and Fiscal Management . . . . .	\$24,300	-\$113,300	. . . . .	. . . . .
Prevention and Intervention . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Treatment and Rehabilitation . . . . .	30,000	-100,000	\$200,000	-\$200,000
Research, Planning and Development . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$54,300</b>	<b>-\$213,300</b>	<b>\$200,000</b>	<b>-\$200,000</b>

1 The subobject Supplies and Materials constitutes one of four subobjects of expenditure within the major object, Nonpersonal Service. Supplies and Materials include such items as institutional food, clothing, household supplies and office supplies. The mix of items purchased will, of course, vary widely from agency to agency and program to program.

## **USER'S GUIDE**

---

- 2** Included within the subobject Travel are public transportation, meals and lodging, reimbursement for the use of personal cars, and the costs associated with the operation and maintenance of State-owned cars.
- 3** The subobject Contractual Services includes the payment of leases, the rental of data processing and other equipment, and a variety of services provided to the State on an occasional or regular basis by outside vendors. Some examples are printing, accounting, legal, consulting and medical services.
- 4** The subobject Equipment includes the amounts recommended for such items as vehicles, office machines and furniture, and highway equipment.
- 5** Maintenance Undistributed is not a subobject within Nonpersonal Service. It contains one or more lump sum appropriations for specific purposes or programs. As appropriated, it does not distinguish between major objects or subobjects. Under the State Finance Law, before an agency can use these funds a segregation ("certificate") must be issued by the Director of the Budget to specify the amounts available within the lump sum for major objects (Personal Service, Nonpersonal Service) and for various subobjects (e.g., Personal Service Regular, Travel, Equipment). Copies of the certificate are filed with the Comptroller and the legislative fiscal committees.

**VII. STATE OPERATIONS — OTHER THAN GENERAL FUND — SUMMARY OF APPROPRIATIONS AND CHANGES — 2000-01 RECOMMENDED**

This table shows the amounts recommended to support State Operations from funds other than the General Fund. It shows totals for amounts recommended by program for the major objects Personal Service and Nonpersonal Service and for Maintenance Undistributed, but does not distribute the major objects into subobjects. It also shows the change, or difference (+ /-), between the amounts available in the current fiscal year and those recommended for appropriation in the coming year.

**STATE OPERATIONS—OTHER THAN GENERAL FUND 1  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2000-01 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration and Fiscal Management . . . . .	\$1,694,100	+ \$651,100	\$1,546,100	+ \$856,300
Treatment and Rehabilitation . . . . .	3,194,200	+ 644,200	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$4,888,300</b>	<b>+ \$1,295,300</b>	<b>\$1,546,100</b>	<b>+ \$856,300</b>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration and Fiscal Management . . . . .	. . . . .	-\$230,200	\$148,000	+ \$25,000
Treatment and Rehabilitation . . . . .	. . . . .	. . . . .	3,194,200	+ 644,200
<b>Total . . . . .</b>	<b>. . . . .</b>	<b>-\$230,200</b>	<b>\$3,342,200</b>	<b>+ \$669,200</b>

1 Other-than-General Fund appropriations include Federal funds; Internal Service funds, such as the Centralized Services Fund through which individual agencies purchase telecommunications and other support services from the Office of General Services; Special Revenue funds, such as the State Special Revenue Fund; Debt Service funds; Fiduciary funds, such as the Common Retirement fund; and Enterprise funds.

**USER'S GUIDE**

The next two tables apply to the Aid to Localities category. Each agency which has appropriations in this category will have these two tables in its budget presentation.

**VIII. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**

This table shows the distribution of all appropriations for this agency within the Aid to Localities category by fund type and shows a year-to-year comparison of the amounts available in the current year with those recommended for the coming fiscal year. See the next table for the distribution by program.

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
General Fund . . . . .	\$46,146,800	\$44,311,300	-\$1,835,500
Special Revenue Funds—Federal . . . . .	35,938,605	35,308,605	-630,000
Total . . . . .	\$82,085,405	<u>\$79,619,905</u>	<u>-\$2,465,500</u>
Adjustments:			
Transfer(s) To:			
Alcoholism and Substance Abuse Services, Office of General Fund (State Operations) . . . . .	+ 50,800		
Appropriated 1999-00 . . . . .	<u>\$82,136,205</u>		

**IX. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

This table shows for Aid to Localities the amounts that are available for the current fiscal year and those that have been recommended for the coming fiscal year by program and, within each program, by fund type.

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1999-00</u>	<u>Recommended 2000-01</u>	<u>Change</u>
Community Alcoholism Services			
<b>1</b> General Fund . . . . .	\$46,146,800	\$44,311,300	-\$1,835,500
Special Revenue Funds—Federal . . . . .	35,938,605	35,308,605	-630,000
Total . . . . .	<u>\$82,085,405</u>	<u>\$79,619,905</u>	<u>-\$2,465,500</u>

**1** The amounts available or recommended for each program are shown by fund type. As pointed out elsewhere, other programs may include a different mix of fund types.

The next table applies to the Capital Projects category. Each agency which has appropriations in this category will have this table in its budget presentation.

**X. CAPITAL PROJECTS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

This table shows the amounts that are available for Capital Projects for the current fiscal year and those that have been recommended for the coming fiscal year by Comprehensive Construction Program and, within such program, by fund or account. It also shows recommended reappropriations for the coming year.

<b>CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS</b>				
<u>Comprehensive Construction Programs</u> <span style="border: 1px solid black; padding: 0 2px;">1</span>	Available 1999-00	Recommended 2000-01	Change	Reappropriations 2000-01 <span style="border: 1px solid black; padding: 0 2px;">2</span>
Institutional Services Program <span style="border: 1px solid black; padding: 0 2px;">3</span>				
Capital Projects Fund	\$365,000	.....	-365,000	\$763,000
Mental Hygiene Capital Improvement Fund - 389	1,885,000	\$1,449,000	-436,000	38,159,000
Community Services Program				
Capital Projects Fund	.....	500,000	+ 500,000	3,500,000
Mental Hygiene Capital Improvement Fund - 389	822,000	546,000	-276,000	51,375,000
Design and Construction Supervision				
Mental Hygiene Capital Improvement Fund - 389 <span style="border: 1px solid black; padding: 0 2px;">4</span>	242,000	.....	-242,000	2,760,000
Total	<u>\$3,314,000</u>	<u>\$2,495,000</u>	<u>-819,000</u>	<u>\$96,557,000</u>

1 Programs in the Capital Projects category are known as Comprehensive Construction Programs (CCP).

2 A reappropriation continues for the coming year all or part of the undisbursed balance of an appropriation from a prior fiscal year. Reappropriations are used extensively in capital programs because construction or major rehabilitation projects usually require more than one fiscal year from their inception to completion.

3 The program titles in the Capital Projects category usually differ from the program titles used in the State Operations and Aid to Localities categories. Some CCP's represent broad categories, such as General Maintenance and Improvements, while others may correspond to specific agency programs.

4 The number shown (in this case, 389) is assigned by the State Comptroller to identify the particular fund. It is used in the Comptroller's records and in the appropriation bill.

# FINANCIAL TERMINOLOGY

This section provides a comprehensive overview of financial terms used throughout the Executive Budget and in other financial and budgetary documents. Many of the terms are generic; others reflect definitions set forth in New York State law, regulations issued by State financial control agencies, or historical usage in State government. The terms have been grouped under 9 major headings:

1. Budgets
2. Financial Plan
3. Fund Structure
4. Appropriations and Expenditures
5. Budget Execution and Control
6. Generally Accepted Accounting Principles (GAAP)
7. Accountability, Audit and Internal Controls
8. Debt and Capital Financing
9. Other Miscellaneous Terms

## 1. BUDGETS

**Executive Budget** refers to the structure and process of the constitutional system of budgeting in New York State which vests in the Governor primary authority and responsibility for budget formulation, presentation and execution. More specifically, it refers to the Governor's constitutionally mandated annual submission to the Legislature containing his plan of recommended **appropriations**, **expenditures** and **cash disbursements** (see below) necessary to carry out programs, along with estimates of **revenues** and **cash receipts** (see below) expected to be available to support these expenditures and disbursements for the forthcoming **fiscal year** (see below). The State Constitution requires explicit recommendations for making changes to the current revenue structure and legislation to implement such recommendations (see **Financial Plan** below).

Pursuant to the Constitution, the Governor's Executive Budget must incorporate the appropriations requests of the Judiciary and the Legislature as they are received from these bodies, although they are not part of the executive branch of State government. While the Governor may not alter their requests, the Governor may comment on them and recommend changes.

The Constitution requires submission of the Budget on or before the third Tuesday after the first Monday in January, except in years following gubernatorial elections when it must be submitted by February 1.

**Amendments to the Budget:** The State Constitution permits the Governor to amend or supplement the Executive Budget within 30 calendar days after its submission or, with the consent of the Legislature, at any time before the close of the legislative session. Such revisions, additions or deletions, conveyed to the heads of the fiscal committees in a memorandum, reflect necessary corrections or responses to new situations or conditions arising after the preparation of the Executive Budget.

**Legislative action on the Executive Budget:** The Legislature and its fiscal committees — Senate Finance and Assembly Ways and Means — analyze the budget, holding public hearings on major programs and seeking further information from the staffs of the Division of the Budget and other State agencies. Except for the budgets of the Legislature and the Judiciary, the Legislature may not alter an appropriation bill except to eliminate or reduce the amount of an item recommended therein. It may, however, add items separate and distinct from those included in the original bill submitted by the Governor.

The appropriations passed by the Legislature, except for those which added items or provided funds for the Legislature and Judiciary, become law without further action by the Governor. The Governor must approve or disapprove all or parts of the appropriation bills covering the Legislature and Judiciary and may disapprove, by line item veto, items added to his original bills. As provided in the Constitution, the Legislature may override the Governor's veto by a vote of two-thirds of those elected to each house.

**Other Appropriation Measures:** An appropriation bill may also be submitted through the regular legislative process (i.e., it may be introduced by one or more legislators or by a legislative committee). However, the Legislature must act upon the Governor's constitutionally mandated appropriation bills before it acts on any other appropriation bills (unless the Governor certifies the need for immediate passage of another appropriation bill, pursuant to the Governor's constitutional authority to issue a "Message of Necessity"). Appropriation measures initiated by the Legislature are subject to veto in whole or in part by the Governor.

**Fiscal Years:** A fiscal year is the accounting period on which a budget is based. The State fiscal year runs from April 1 through March 31. The Federal fiscal year runs from October 1 through September 30. The fiscal year for all New York counties and towns and for most cities is the calendar year. New York City and the City University of New York, and independent school districts in the State operate on July 1 through June 30 fiscal years. For most villages, the fiscal year runs from June 1 through May 31. Other cities and villages in New York State have varying fiscal years (see the State Comptroller's annual *Special Report on Municipal Affairs*).

## **2. FINANCIAL PLAN**

A financial plan is a comprehensive outline of a government's financial resources and spending requirements.

Appropriation bills and State laws together provide the necessary legal framework for the State to collect money and spend it on the operations of State agencies, aid to local governments and school districts, and for capital projects and debt service. However, the tax laws do not contain estimates of how much income the State will generate from each levy — these amounts must be estimated. Similarly, estimates must be made of spending, based on an evaluation of each State program and its attendant costs and eligibility requirements. Together these projections of income and spending constitute the Financial Plan.

As set forth in law, the Budget Director is designated to act on specific matters on behalf of the Governor in exercising the Governor's constitutionally prescribed responsibilities. The Division of the Budget, headed by the Budget Director, prepares a Financial Plan for each fiscal year. The Financial Plan presented with the budget reflects the receipts and disbursements that would result from legislative adoption of the Executive Budget recommendations. A revised Financial Plan must be submitted as soon as practicable after the Executive Budget, as amended, is enacted. This plan becomes the basis for administration of the State's finances and must be updated quarterly.

The Financial Plan includes results for one or more funds that are managed by the State, displayed on a cash or GAAP basis, and projects closing balances at the completion of a fiscal period (e.g., a fiscal year). See Section 6 below for a discussion of GAAP and cash-based accounting.

## **3. FUND STRUCTURE**

### **Governmental Funds**

- a) **General Fund:** This is the major operating fund of the State. It receives all State income not earmarked for a particular program or activity and not specified by law to be deposited in another fund. State income for financial plan purposes consists of moneys deposited to the credit of the General Fund during the fiscal year from current revenues (taxes, fees, and miscellaneous receipts including certain repayments of State advances) and transfers. General Fund income finances disbursements from its two operating accounts — the Local Assistance Account and the State Purposes Account — and transfers to other funds.

The **Local Assistance Account** finances:

- State grants to, or State expenditures on behalf of, counties, cities, towns, villages, school districts and other local entities;
- certain contractual payments to localities;
- certain advances for reimbursable costs (see **advances**, below); and
- certain financial assistance to, or on behalf of, individuals and not-for-profit organizations.

The **State Purposes Account** finances:

- salaries and non-wage compensation for most State employees;
- other operating costs of State departments and agencies, the Legislature and the Judiciary;
- General State Charges, which are costs mandated by statute or court decree or by agreements negotiated with employee unions for which the State is liable, including: pensions; health, dental and optical benefits; Social Security payments on behalf of State employees; unemployment insurance benefits; employee benefit programs; court judgments and settlements; assessments for local improvements; and taxes on public lands;
- certain contractual payments, including some contractual payments to localities and State lease-purchase payments for **certificates of participation** (see below);
- certain financial assistance to individuals and not-for-profit organizations;
- certain advances for reimbursable costs; and
- interest payments on **tax and revenue anticipation notes (TRANS)**, **bond anticipation notes (BANs)** and BANs issued in the form of commercial paper.

In addition to the above accounts, the General Fund includes the following funds:

- **Tax Stabilization Reserve Fund (TSRF):** This fund receives any General Fund cash surpluses existing at year-end up to a maximum contribution of two-tenths of one percent of total General Fund disbursements. The reserve fund cannot exceed 2 percent of General Fund disbursements for the fiscal year. Any General Fund surplus after the reserve contribution may be used for State tax reduction or may be carried over into the succeeding fiscal year. In the event of a deficit in the General Fund at the close of the fiscal year, a loan may be made from the TSRF to the extent of the deficit or the funds available in the TSRF whichever is lower, provided such loans will be repaid in three equal annual installments within a period of six years from the date the loan was made. Cash assets of the TSRF can be loaned to the Local Assistance Account or the State Purposes Account during the fiscal year, but must be repaid, in cash, by March 31 of any fiscal year.
- **Contingency Reserve Fund:** This fund was created in legislation accompanying the 1993-94 budget to provide a reserve to fund extraordinary needs arising from litigation actions against the State. Use of this fund is restricted to litigation cases of \$25 million or more, and requires an appropriation to access.



- **Community Projects Fund:** This fund was created in legislation accompanying the 1996-97 Budget to provide a fund to track various community projects.
- **Debt Reduction Reserve Fund:** This fund was created in legislation accompanying the 1998-99 Budget to reduce State debt.

The General Fund, as reported by the State Comptroller in his annual GAAP financial statements, also includes the revenues and expenditures of funds budgeted as **Internal Service Funds** and **Enterprise Funds** and of certain **Special Revenue Funds** (see below).

- b) **Special Revenue Funds:** These funds account for State receipts from specific revenue sources and are legally restricted to disbursement for specified purposes. This governmental fund type is divided into two classifications in New York State — **Special Revenue Funds-Other** and **Special Revenue Funds-Federal**. An example of a Special Revenue Fund-Other is the Conservation Fund, which finances a number of State environmental programs. An example of a Special Revenue Fund-Federal is the Health and Human Services Fund where, for instance, Federal Medicaid reimbursements are received and disbursed. Although any earmarked revenue fund is treated as a Special Revenue Fund-Other for cash-basis budgeting and reporting purposes, it is combined with the General Fund for purposes of reporting on the basis of GAAP.
- c) **Capital Projects Funds:** These funds finance such capital construction costs as:
- planning, land acquisition, design, construction, construction management and supervision, and equipment costs attributable to: highway, parkway and rail preservation projects; outdoor recreation and environmental conservation projects; and buildings and other capital facilities required by various State departments and agencies;
  - aid payments to local governmental units and public authorities to help finance the following types of capital programs: highway, parkway, bridge, mass transportation, aviation, economic development, port development, community college, community and State mental health, outdoor recreation, State-assisted housing and environmental quality; and
  - advances for capital construction costs reimbursable by public authorities, instrumentalities of the State, the Federal government or local governments.

Sources of revenue for this fund type include transfers from other State funds including the General Fund, dedicated taxes and other revenues, reimbursement of advances, bond proceeds, and Federal capital grants.

- d) **Debt Service Funds:** All tax-financed State debt service on long-term debt and payments on certain lease-purchase or other contractual obligations are paid from debt service funds. These account for the accumulation of money for, and the payment of principal and interest on, general long-term debt and certificates of participation. Lease-purchase payments for State University, Health and Mental Hygiene facilities, and for highway construction, reconstruction, reconditioning and preservation under contractual agreements with public authorities are also paid from funds classified as debt service funds. Debt service on highway bonds supported by dedicated highway revenues is also reflected in this fund type. Sources of revenue for this fund type include transfers from the General Fund, dedicated taxes and other revenues.

### **Proprietary Funds**

- a) **Internal Service Funds:** These funds are used to account for the financing of goods or services supplied by one State agency to other State agencies or governmental units on a cost reimbursement basis.

- b) **Enterprise Funds:** These funds are used to account for operations that operate similarly to private business enterprises.

The Internal Service Funds and Enterprise Funds are treated as Proprietary Funds for cash-basis budgeting and reporting purposes, and are combined with the General Fund for purposes of reporting on a GAAP basis.

### ***Fiduciary Funds***

- a) **Expendable Trust Funds:** These funds are used to account for funds held by the State in a trust capacity whose principal and income may be spent for designated operations.
- b) **Non-Expendable Trust Funds:** These funds are used to account for funds held by the State in a trust capacity whose principal must remain intact.

## **4. APPROPRIATIONS AND EXPENDITURES**

An **appropriation** is a statutory authorization against which expenditures may be made during a specific State fiscal year, and from which **disbursements** (see below) may be made, for the purposes designated, up to the stated amount of the appropriation. Under the Constitution, an appropriation may be made for no longer than a two-year period (also see **reappropriation**, below).

Appropriations are authorizations, rather than mandates, to spend. **Expenditures** and **disbursements** (see below) need not, and generally do not, equal the amount of the appropriation from which they were made, since less than the full amount of the appropriation is usually spent within the fiscal year to which it pertains (see **carryover**, below). An appropriation thus represents maximum spending authority unless a lower maximum has been set by a **disbursement ceiling** (see below). When authorized by statute an appropriation may be **suballocated** (that is, moved) from one agency to another agency for the purpose of incurring obligations and making disbursements in the agency which receives the suballocation. (The term suballocation should not be confused with **allocation** which is defined in section 5).

In New York, all appropriations are classified in one of the four following categories:

- **State Operations.** This category relates to appropriations for the operation of State agencies, regardless of fund source. For example, an agency may have appropriations in several different funds (or accounts within funds), and all these appropriations would be categorized as "State Operations." Also included in this category, although authorized by appropriation bills separate and distinct from those for the executive branch, are the appropriations for the operation of the Legislature and the Judiciary. (See also **personal service** and **nonpersonal service** defined below.)
- **Aid to Localities.** This category includes all appropriations for aid to localities, regardless of fund source.
- **Capital Projects.** When used as a category of appropriation, "Capital Projects" includes all appropriations for capital construction projects, regardless of fund source. (It should not be confused with the Capital Projects Fund or the Federal Capital Projects Fund).
- **Debt Service.** This category includes all appropriations for tax-financed State debt service on long-term debt; contractual-obligation and lease-purchase arrangements with several public authorities and municipalities; and lease-purchase payments for State University, Health and Mental Hygiene facilities, and for various highway projects (construction, reconstruction, reconditioning and preservation projects undertaken through contractual agreements with public authorities). This also includes appropriations for interest rate exchange and similar agreements.

A **deficiency appropriation** is used to meet actual or anticipated obligations not foreseen when the annual budget and any supplemental budgets were enacted and for which the costs would exceed available spending authorizations. It might add to a previously authorized appropriation anticipated to be inadequate, or provide a new appropriation to finance an existing or anticipated liability for which no appropriation exists. A deficiency appropriation usually applies to the fiscal year during which it is made.

Section 53 of the State Finance Law authorizes the enactment of a **special emergency appropriation** which may be allocated by the Governor to various funds. As set forth in the statute, allocations to the General Fund, the Capital Projects Fund and funds receiving Federal moneys are subject to the prior approval of the chairpersons of the Senate Finance and Assembly Ways and Means committees.

**Personal service** represents an appropriation for salaries and non-wage compensation for State employees and certain payments to non-State employees.

**Nonpersonal service** represents an appropriation for such items as contractual services, equipment and supplies.

**Maintenance undistributed** is an appropriation which does not define the amounts to be available for personal and nonpersonal service. Such an appropriation allows flexibility in the management of a program. The terms **lump sum** and maintenance undistributed are often used synonymously, although they are not equivalent.

A **lump-sum appropriation** is one made for personal service, nonpersonal service or maintenance undistributed; or for local assistance or capital projects for all State agencies, or to an agency alone or on behalf of itself and one or more other agencies. A lump sum is appropriated for a stated purpose without specifying maximum amounts that may be spent for specific activities or individual objects of expenditure. Such an appropriation cannot be obligated and expended without an **allocation** (see below, section 5).

A **reappropriation** is a legislative enactment that continues all or part of the undisbursed balance of an appropriation that would otherwise lapse (see **lapsed appropriation**, below). Reappropriations are commonly used in the case of federally funded programs and capital projects, where the funding amount is intended to support activities that may span several fiscal years. For example, funds for capital projects are customarily recommended and appropriated in amounts sufficient to cover the total estimated cost of each phase of a specific project (such as land acquisition, design, construction and equipping). As contracts within each phase are established, portions of the capital construction appropriation are allocated. However, disbursements are made only to meet the actual costs incurred as each phase of the project progresses. In ensuing years, the balances not disbursed are reappropriated to cover the costs of subsequent construction phases in the project.

An **obligation** is a commitment (such as a contract or purchase order) to spend against a given appropriation. An **encumbrance** provides a mechanism for reserving all or a portion of an appropriation for future expenditure. Entering into a contract usually requires an encumbrance, although the funds will be expended or disbursed over a period of several months. Encumbrance accounting enables management to avoid spending in excess of authorized appropriations.

A **carryover** is the balance of an appropriation that remains at the end of the fiscal year for which it was appropriated (and where it has not been repealed or reappropriated), against which liabilities were incurred (i.e., an obligation exists) but for which cash payments were not disbursed before the end of the fiscal year. Disbursements may be made against a carryover balance through June 30 of the following fiscal year to liquidate any such liabilities for State operations, or through September 15 for aid to localities, capital projects, and debt service.

A **lapsed appropriation** is an appropriation which has expired and against which obligations can no longer be incurred, nor payment made. An appropriation lapses, and is no longer available to authorize any encumbrance or cash payments, on June 30 for State operations and on September 15 for aid to localities, capital projects, and debt service.

### 5. BUDGET EXECUTION AND CONTROL

**Certificates** of several types are issued by the Budget Director to authorize various fiscal actions. Copies of all certificates must be sent to the State Comptroller and to the chairpersons of the two legislative fiscal committees.

For State Operations, and in some cases Aid to Localities, a **certificate of approval** issued by the Budget Director formally authorizes certain financial transactions. These transactions include **allocations** or **segregations**, **apportionments** and **interchanges**:

- An **allocation** or a **segregation** authorizes expenditures from appropriated funds for specified purposes, activities or objects. It is used as a control device for appropriated funds (e.g., quarterly allocations) and to distribute lump-sum appropriations within State agencies.
- An **apportionment** transfers part of an appropriation from certain lump-sum "all State departments and agencies" appropriations to specific agencies.
- An **interchange** is the movement of funds by certificate to increase or decrease the funds for any item within the same program or purpose appropriation schedule. Currently, in accordance with the State Finance Law, within a given Fund, the amounts appropriated to a department or agency may also be interchanged among such schedules, subject to the following formula (with the exclusion of the State University of New York, the City University of New York, and other specific appropriations as may be noted in the various appropriation bills): the total amount appropriated for any given program or purpose may not, in aggregate, be increased or decreased via interchanges by more than 5 percent of the first \$5 million, 4 percent of the second \$5 million and 3 percent of amounts in excess of \$10 million.

A **certificate of transfer** authorizes the transfer of appropriation authority and/or positions between agencies and/or funds. All such transfers must be specifically authorized in statute. Transfers of appropriation authority must be distinguished from operating transfers which move moneys (cash) between funds or accounts.

For **Capital Projects**, the appropriation format differs somewhat from the program structure found in State Operations and Aid to Localities. Capital Projects appropriations are structured as follows:

- one or more **comprehensive construction programs (CCPs)**, which may or may not relate to agency programs or other organizational arrangements;
- **a grouping of appropriations into one or more purposes within CCPs**, which purposes may or may not relate to other agency organizational structures; and
- **one or more appropriations or projects in each purpose**. Some appropriations have "project schedules" that list institutions or projects for which construction work will be done.

For Capital Projects, a **certificate of approval of availability** issued by the Budget Director in accordance with an appropriation authorizes the State Comptroller to encumber, expend and disburse funds to the extent required for specific projects or phases of projects.

Capital Projects Funds **interchanges or transfers** must be accompanied by a certification of need and availability of funds and may be made as follows:

In the case of **interchanges**, which are movements of funds by certificate between items within an appropriation "project schedule," no certification is required when the appropriation states that schedule amounts are estimates and are interchangeable among the various projects; all other interchanges require the certification of need and availability.

In the case of transfers, a **certificate of transfer** authorizes the transfer of a specified sum of money, within available limits, from an appropriation for a given capital project to an appropriation for another capital project within the same CCP and agency. However, the Budget Director cannot authorize any Capital Projects Fund transfer which would increase or decrease the total of appropriations (including reappropriations) for projects sharing the same purpose by an amount exceeding the following percentages of the total amount of the original appropriation for the project: 25 percent of the first

\$5 million, 20 percent of the second \$5 million, 15 percent of the third \$5 million, and 10 percent of any amount in excess of \$15 million.

## **6. GENERALLY ACCEPTED ACCOUNTING PRINCIPLES (GAAP)**

**Generally Accepted Accounting Principles (GAAP)** for governments are uniform minimum standards and guidelines for financial accounting and reporting as promulgated by authoritative national standard-setting bodies, primarily the National Council on Governmental Accounting (NCGA); its successor, the Governmental Accounting Standards Board (GASB); and the American Institute of Certified Public Accountants (AICPA). NCGA's *Statement One — Governmental Accounting and Financial Reporting Principles*, published in 1979, succeeding statements by NCGA (reaffirmed by GASB), and statements promulgated by GASB are the most widely recognized sources for authoritative guidance. New York presents its State financial plan and Executive Budget on both a cash basis and in accordance with GAAP. Projected operating results in the General Fund as measured on the cash basis of accounting differ from projections measured in accordance with GAAP. Generally, these differences are caused by the inclusion of certain funds in the GAAP General Fund which are outside the cash basis General Fund plus the recognition of differences between cash and GAAP. The conversion tables show these differences classified into the following major categories:

- "Perspective Differences" represent the projected cash basis operating results of two funds, the Miscellaneous State Special Revenue Fund and the Infrastructure Trust Fund, which are treated as part of the General Fund in the GAAP basis financial plan, but as part of the Special Revenue Fund in the cash basis financial plan. The Miscellaneous State Special Revenue Fund includes dozens of individual accounts which finance the operation of agencies and programs from sources other than General Fund tax dollars.
- "Entity Differences" represent the projected cash basis operating results of the proprietary funds (Internal Service Funds and Enterprise Funds) which are treated as part of the General Fund in the GAAP basis financial plan. On a cash basis the proprietary funds are reported separately and are not part of the all governmental funds financial plan.
- "Changes in Accruals" result from timing differences between the recognition of individual accounting transactions on a cash basis vs. recognition of the same items under generally accepted accounting principles. On a cash basis, receipts are recorded when moneys are deposited in the State Treasury, and disbursements are recorded when a check is drawn from the Treasury. Under GAAP, however, revenues are recorded when they are measurable and available, and expenditures are recorded when the State incurs an obligation to pay. It is in this column that revenues and expenditures are attributed to the appropriate fiscal year. For example, positive numbers in this column reflect the accrual of revenues which are owed to the State but not yet received, and obligations of the State for which payment has not yet been made. Negative entries generally reflect the reduction of receipts or disbursements which are attributed under GAAP to a different fiscal period.
- "Eliminations" exclude activity related to State advances and the repayment of such advances, which are treated as receipts and disbursements in the cash basis financial plan. On a GAAP basis, the repayment is not a revenue, and the advance is not an expenditure unless it is determined to be uncollectible. This category also includes transactions related to the elimination of SUNY/CUNY Senior College operations, which are no longer considered part of the governmental fund structure on a GAAP basis.

- "Intra-fund Eliminations" remove any transactions which occur between two funds in the same fund type, in order to avoid counting such transactions twice.
- "Reclassifications" show the movement of transactions from one category of the financial plan to another, and do not impact the operating results of a given fund.

### **GAAP Basis Reporting Differences**

In general, the General Fund revenue and expenditure projections contained in this Budget reflect the application of Generally Accepted Accounting Principles as applied by the State Comptroller in his audited 1998-99 financial statements. There is an exception to this policy. Activity related to public authorities has not been reclassified as operating transfers. These reclassifications do not affect operating results and only further complicate the differences between cash basis financial plans and GAAP basis financial plans. Accordingly, these reclassifications have not been included.

### **GAAP Revenues**

A separate volume provides tax-by-tax descriptions of the cash-based estimates of tax receipts underlying the cash-based financial plans. This section deals with estimates of GAAP revenues that are included in the GAAP financial plan. The following is a brief description of how such estimates are generated, what factors are considered in their preparation, and how such estimates differ from those prepared on the cash basis.

In general, cash-based estimates are forecasts of the deposits of cash (net of refund payments) that will occur during the fiscal year. Estimates of GAAP revenue attempt to more closely measure what the State actually "earned" during the period, regardless of when the cash transactions that represent those earnings occur. The State, of course, "earns" money when taxpayers incur liability for taxes, for example, by receiving money subject to income taxes or purchasing goods or services subject to the sales or excise levies, or by wagering on horse races in betting pools subject to the pari-mutuel tax. Taxpayers may discharge that liability in a variety of ways. For example, in the case of the sales tax they often pay the money directly to an authorized agent of the State who must then transmit it to the State, sometimes in a period different from that in which the actual liability was incurred and discharged by the taxpayer. In the case of the personal income tax, they may be subject to withholding by their employer (another agent of the State) or make estimated and final tax payments directly to the State. Some taxpayers overpay their liability and are due refunds for a given liability period. Such refunds or final payments are usually paid in years (or accounting periods) different from those to which the transaction relates.

In their most pure sense, GAAP revenue estimates attempt to gather all the (actual or estimated) transactions that apply to tax liabilities earned in a given State fiscal year, regardless of the year in which the related cash transaction occurs, to appropriately "measure" what the State has earned. In practice, given the limits of both information systems and time, some accommodations are made in the development of these "earnings" estimates. During any one fiscal year the State will receive money earned in the current year and in any of several prior years (and sometimes money not yet earned). Estimates of those prior-year earnings are not changed each time a new transaction is disclosed and so GAAP revenue estimates are not "pure."

However, for any given tax, GAAP revenue estimates should attempt to measure (as an increase in revenue, or a receivable) how much the State is owed, but has not yet received, from taxpayers for the activity during a State fiscal year. Similarly, they must reflect (as a reduction in revenue, or a payable) any amounts that the State has received but must refund (in some future period) as a result of overpayments of liability by taxpayers.

In some sources, the receivable and payable amounts are relatively trivial and do not change materially from year to year. In others, the accruals are large and variable. GAAP revenue estimates differ from cash receipt estimates by how much the receivable and payable balances change from year to year. If receivables are growing relative to payables in a particular source (i.e., if the net amount owed to the State is larger at the end of the year than at the beginning of the year), estimated GAAP revenues will exceed forecasted cash receipts. Should payables rise faster than receivables, the opposite relationship will exist.

### **GAAP Expenditures**

As previously mentioned, GAAP measures expenditures when the State incurs a liability to pay, rather than when a check is written against the Treasury. The Comptroller generally applies a 12-month recognition rule — if the liability is determined to exist and will be disbursed in the 12 months following the close of the fiscal year, the expenditure will be recorded in that fiscal year. Thus, the GAAP basis financial plan includes liabilities projected to be incurred during a given fiscal year for which actual payments will not be made for up to 12 months following the close of such fiscal year.

The most significant of these liabilities occur in the categories of local assistance and State operations. The GAAP basis financial plan reflects:

- Amounts owed to local governments for Medicaid, public health, criminal justice and court-ordered handicapped programs which are all reimbursed on a lag basis.
- Employee salaries remaining unpaid at the close of each fiscal year, and the related fringe benefits.

## **7. ACCOUNTABILITY, AUDIT AND INTERNAL CONTROL**

**Internal controls** are the measures an organization adopts to: encourage adherence to agency policies and procedures; promote operational efficiency and effectiveness; safeguard assets; and ensure the reliability of accounting data. Internal controls encompass both internal administrative controls and internal accounting controls.

**Internal administrative controls** are the measures (e.g., organization plan, policies, procedures and records) which ensure that transactions are authorized consistent with managerial intent. They include mission and policy statements, organization charts, procedure manuals, duties descriptions, training programs, information systems, filing systems, and other tools used to control program operations.

**Internal accounting controls** are the measures which safeguard assets and ensure the reliability of financial records. They include authorization procedures for financial transactions, use of generally accepted accounting principles to record financial transactions, limited access to assets and periodic inventories of assets.

**Internal audit** is an independent appraisal of operations, conducted under the direction of agency management, to assess the effectiveness of internal administrative and accounting controls and help ensure conformance with managerial policies.

**Vulnerability Assessment (VA)** is an assessment by an agency of its potential susceptibility to unintentional and intentional operational breakdowns which could lead to inadequate or inappropriate program outcomes, including waste of resources. The VA analyzes the overall organizational and administrative environment, the potential for failures and the seriousness of such occurrences. Identifying each function's level of risk helps the agency schedule the timing and frequency of more extensive reviews of operations. The VA may also identify internal control weaknesses which can be immediately corrected.

**Internal Control Review (ICR)** is a detailed evaluation of the degree to which the organization has designed, established, documented and followed the policies and

procedures necessary to achieve specific functional goals and objectives and avoid unwanted outcomes. The ICR focuses upon how well procedures operate for a given function rather than the broader, common controls assessed through the vulnerability assessment.

**Testing** (sometimes called compliance testing) is that part of an internal control review which assesses whether actual practice follows, or complies with, prescribed policies and procedures. The assessment is made by interviewing or observing staff, following a transaction through the process, or sampling documentation of transactions to determine if required steps are executed.

**Corrective Action Plan** is a step-by-step plan of action and schedule for resolving the internal control weaknesses identified by a vulnerability assessment or internal control review.

**Certification** is the annual affirmation by each agency that it is in conformance with the requirements of the Internal Control Act of 1987, as extended in 1999, which prescribed the establishment and maintenance of a system of internal controls and a program of internal control review by State agencies and certain public authorities. Agencies may submit a plan to achieve compliance with the Act in lieu of a certification.

**Annual Internal Control Review Report** is a report by each covered organization describing certain aspects of its internal control system. It may include procedures, schedules and follow-up on vulnerability assessments, internal control reviews and education and training efforts. The report is a companion to and supports the latest Internal Control Act certification from the agency.

## 8. DEBT AND CAPITAL FINANCING

**Appropriation-backed bonds** refers to long-term obligations sold by the State's public authorities under a variety of financial arrangements — primarily **lease-purchase and contractual service agreements**. Debt service on such obligations is appropriated annually by the State, although the State has no legal obligation to continue to make such appropriations. This form of debt represents an important source of financing for capital projects in the State's transportation, criminal justice, mental hygiene, education, health, and housing programs.

**Bond anticipation notes (BANs)** are short-term notes which occasionally may be sold by the Comptroller to finance capital expenditures until long-term bonds are sold. Since these obligations are outstanding for no more than two years (with certain exceptions), the interest rates paid on such obligations are typically lower than that for long-term bonds.

**Bondable capital spending** refers to disbursements for capital purposes which, by statute, may be financed by the proceeds of bonds or other debt obligations.

**Certificates of Participation** represent shares of lease-purchase payments for personal or real property made by State agencies. These tax-exempt certificates are sold publicly or privately to investors by the Comptroller, pursuant to Article 5-A of the State Finance Law. These payments are not State debt under Article VII of the State Constitution and are subject to annual appropriation.

**Commercial paper** refers to a form of short-term obligation sold by the State and issued by the Comptroller. These are general obligations of the State and are outstanding for only short periods — sometimes only days — and, therefore, have much lower interest rates than do long-term bonds. Obligations can be sold up to a statutory maximum of \$500 million, but must be replaced within two years with long-term bonds. As a result, a portion of a general obligation bond sale may be used to "**take-out**" commercial paper which has been outstanding the maximum two years, rather than to directly reimburse a capital expenditure.



A **credit rating** is assigned by a non-governmental agency serving the financial market (such as Standard & Poors, Moody's Investor Service, and Fitch), and represents the relative security behind a given debt. The ratings indicate the relative likelihood of repayment of debt service liabilities by a specific issuer.

**General obligation bonds** refer to long-term obligations of the State, used to finance capital projects. These obligations must be authorized by the voters in a general election, are issued by the Comptroller, and are backed by the **full faith and credit** of the State. Under current provisions of the Constitution, only one bond issue may be put before the voters at each general election, and it must be for a single work or purpose. The amount of general obligation bond or note proceeds which the State expects to issue in a given fiscal year is shown in the Capital Projects fund-type of the Governmental Funds Financial Plan in the Other Financing Sources category. Debt service must be paid from the first available taxes whether or not the Legislature has enacted the required appropriations for such payments.

**Impoundment** is the term used to describe the setting aside, in a separate account, of income necessary to pay principal and interest on obligations. The specific method of impoundment — including the timing and amounts — is generally specified by State law for each obligation, and is an integral element of the security behind any obligation.

**Moral obligation debt** refers to long-term bonds issued by certain State public authorities, also known as public benefit corporations, which are essentially supported by their own revenues. Moral obligation debt is not incurred pursuant to a referendum, is not considered State debt, and is not backed by the full faith and credit of the State. However, the authorities selling such obligations have been allowed to establish procedures where, under certain conditions, the State may be called upon to meet deficiencies in debt service reserve funds supporting such bonds. An appropriation must be enacted by the Legislature to meet any such obligation.

An **official statement** is a disclosure document prepared to accompany each issuance of bonds, notes and publicly sold certificates of participation offered for sale by the State or its public authorities. This statement is prepared by the issuer and describes the issuer, the project or program being financed and the security behind the bond issue. In addition, where payment of debt service is made primarily with State moneys, this statement discloses information regarding the State, including recent and projected fiscal and economic trends and developments that bear reasonably on the credit strength of the issue. It discusses potential legal, fiscal or economic problems facing the issuer, State government and other relevant major governmental jurisdictions. Its primary purpose is to provide prospective bond or note purchasers sufficient information to make informed decisions on the creditworthiness of the issue.

**Pay-as-you-go** financing refers to the use of current State resources (as opposed to bonds) to finance capital projects.

**Spring borrowing** refers to the short-term borrowing historically undertaken by New York following passage of the budget. This borrowing was traditionally necessary because the State's disbursements during the first quarter of the fiscal year exceeded scheduled receipts. Short-term notes were issued annually to finance the imbalance, and were repaid within the same State fiscal year. The Omnibus Fiscal Reform Act of 1990 created the **New York Local Government Assistance Corporation (LGAC)** to help the State eliminate its spring borrowing by replacing it with LGAC's long-term obligations. In addition, the legislation established a "cap" to be set in bond covenants, which would thereafter limit the size of the State's annual spring borrowing. The initial cap was set at \$4.7 billion, with provision that the cap be reduced by one dollar for each dollar of LGAC bonds sold. With the completion of all LGAC borrowings in 1995-96, the State no longer requires a spring borrowing.

**State-guaranteed debt** refers to debt authorized by the voters to be sold by three public authorities: the Job Development Authority, the New York State Thruway

Authority, and the Port Authority of New York and New Jersey. Such debt is backed by the full faith and credit of the State.

**State-related debt** includes all State-supported debt, as well as State guaranteed, and moral obligation debt. This broad category combines all forms of debt for which the State is directly or contingently liable.

**State-supported debt** includes general obligation and appropriation-backed debt, and certificates of participation. This category includes all obligations for which the State appropriates and pays debt service. While tax supported debt (obligations supported by State taxes) represents the majority of obligations in this category, obligations supported by other State revenues (such as dormitory fees or patient revenues) are also included.

**Tax and revenue anticipation notes (TRANS)** refer to short-term obligations of the State. The notes must be redeemed within one-year of issuance. Notes are generally sold to address short-term cashflow imbalances, such as the spring borrowing, but may also be issued to address a year-end deficit.

### 9. OTHER MISCELLANEOUS TERMS

An **account** is a subdivision of a fund and refers to a classification by which information on particular financial transactions and financial resources is recorded and arranged.

An **advance** is a payment by the State on behalf of an agency, an authority, a fund, a public benefit corporation, or the Federal government that must be reimbursed by such entity. Certain advances are made from the Capital Projects Fund for prefinancing the cost of capital projects undertaken by public authorities, State agencies or localities.

**All Governmental Funds** is a term referring to all State government funds within the following fund types: General, Special Revenue, Capital Projects, and Debt Service. In a discussion of appropriations rather than cash figures (e.g., in the Appendix I tables described earlier in this Guide), **All Funds** includes All Governmental Funds appropriations *plus* appropriations made from the non-governmental (Proprietary and Fiduciary) fund types.

**Annualization** refers to the expected full-year financial implications of a revenue item or an expenditure item initially budgeted for only part of a fiscal year.

**Attrition** refers to a method of achieving a reduction in personnel by not refilling positions that are vacated through resignation, reassignment, transfer, retirement, or means other than layoffs.

**Average Fill Level (AFL)** is the number of annual-salaried positions, expressed on a full-time equivalent (FTE) basis, that can be filled on average throughout a fiscal year based on available funding.

**Cap** refers to an absolute dollar limit placed on spending and/or borrowing for a designated activity or program. The term is sometimes used to refer to the limitation of a disbursement for the current and/or forthcoming fiscal year(s) to the level of the preceding fiscal year or to some other predetermined level.

**Chargeback** refers to an assessment levied by the State on another government or other entity (e.g., a public authority, a private-sector enterprise, a trade association, or a nonprofit organization) for payment of costs incurred by the State in administering an activity or program on behalf of such government or entity. It may also refer to an assessment by one State agency against another.

A **deficit**, for purposes of the cash-basis financial plan, is an excess of disbursements over receipts at the end of a fiscal year. On a GAAP basis, a deficit is an excess of expenditures or expenses over revenues at the end of a fiscal year.

**Fixed assets** are assets of a long-term character, such as land, buildings, machinery, equipment and improvements other than buildings, that are intended to continue to be held or used. **General fixed assets** include all fixed assets not accounted for in proprietary funds or in trust and agency funds. Under GAAP, general fixed assets are recorded

in an **account group** (which does not involve the measurement of results of operations), rather than in a fund, and the recording of "infrastructure" assets and depreciation is not required.

A **joint-custody fund** is held within the State Treasury by both the State Comptroller and the Commissioner of Taxation and Finance (see **sole-custody fund**).

**Line item veto.** The Governor of New York State has the power of line item veto. The State Constitution authorizes the Governor to veto individual appropriations for the Legislature and Judiciary, and appropriations added by the Legislature, contained within any multiple appropriation bill passed by the Legislature.

A **margin**, or **positive margin**, is a temporary excess of receipts over disbursements. When disbursements temporarily exceed receipts, a **negative margin** exists. A positive margin is not a surplus, nor is a negative margin a deficit, until the fiscal year ends.

A **matching formula** is a formula applied under an intergovernmental grant program which requires a recipient to match from its own funds a specified percentage of each dollar granted by one or more higher level(s) of government.

**Nonrecurring receipts** are receipts in a given fiscal year that are not normally expected to recur in subsequent fiscal years. **Recurring receipts** are normally derived from an income stream that is expected to continue from one fiscal year to the next.

An **offset fund** is an appropriated fund, usually of the Special Revenue Fund type, which is used to reimburse expenditures charged in the first instance to the General Fund.

**Save harmless** refers to a provision of law under which the State protects another entity against any decrease from a previous level of funding under a given State program.

**Shortfall** refers to a situation where actual revenues collected are less than those that had been projected.

A **sole-custody fund** is administered by an individual State agency official and is not under the joint custody of the State Comptroller and the Commissioner of Taxation and Finance. Sole-custody funds are usually fiduciary in nature. Examples include assets held for wards of the State.



# INDEX

	Page
<b>A</b>	
Acute Care (DOH) .....	122
Adirondack Park Agency .....	211
Adirondack Park Local Government Review Board (APA) .....	211
Adolescent Pregnancy Prevention Program (OCFS) .....	40
Advantage After-School Program (OCFS) .....	41
Advocate for Persons with Disabilities, Office of .....	103
Affordable Housing Corporation (DHCR) .....	251
Aging, State Office for the .....	107
Agricultural Business Services (Ag&Mkts) .....	216
Agriculture and Markets, Department of .....	215
Aid for Part Time Study (HESC) .....	61
AIDS Institute (DOH) .....	124
Albany Port District Commission (Public Authorities) .....	288
Alcoholic Beverage Control, Division of .....	319
Alcoholism and Substance Abuse Services, Office of .....	171
Artpark (Parks) .....	279
Arts, Council on the .....	5
Assisted Outpatient Treatment Program (Kendra's Law) (OMH) .....	178
Audit and Control, Department of .....	321

## B

Banking Department .....	327
Battery Park City Authority (Public Authorities) .....	286
Biotechnology Industry Growth Fund (ESDC) .....	230
Blind Veteran Annuity Assistance Program (VA) .....	89
Budget, Division of the .....	331
Buffalo and Fort Erie Public Bridge Authority (Public Authorities) .....	286
BUILDNOW-NY (GORR) .....	389
Bureau of Criminal Investigation (DOJ) .....	163
Business and Licensing Services Program (DOS) .....	394
Business Permits Assistance (GORR) .....	389

## C

Capital Defender Office .....	113
Capital District Transportation Authority (Public Authorities) .....	289
Caregiver Assistance Program (SOFA) .....	108
Central New York Regional Transportation Authority (Public Authorities) .....	289
Charter Schools (SED) .....	23
Child Care and College Discovery (CUNY) .....	16
Child Care Block Grant (OCFS) .....	40
Child Care Facilities Construction Program (OCFS) .....	41
Child Care Reserve Fund (OCFS) .....	39
Child Health Plus (DOH) .....	123
Children and Families, Council on .....	11
Children and Family Services, Office of .....	39
City University of New York .....	15

## **INDEX**

---

Civil Service, Department of	335
Clean Air Fund (DEC)	235
Clean Water/Clean Air Bond Act - 1996 (DEC)	235
Clean Water/Clean Air Bond Act (EFC)	248
Clean Water State Revolving Loan Fund (EFC)	248
Collective Bargaining Agreements (Miscellaneous)	415
College Choice Tuition Savings Program (HESC)	61
College Preparatory Initiative (CUNY)	17
Community Colleges (CUNY)	16
Community Colleges (SUNY)	80
Community Mental Health Reinvestment Act (OMH)	178
Community Services for the Elderly Program (SOFA)	107
Community Supervision, Division of (DOJ)	154
Comprehensive Alcohol and Substance Abuse Treatment Program (DOJ)	161
Comprehensive Psychiatric Emergency Programs (OMH)	179
Congregate Services Initiative (SOFA)	108
CONNECTIONS (OCFS)	41
Consolidated Highway Improvement Program-CHIPS (DOT)	310
Consumer Protection Board	341
Cornell Cooperative Extension (SUNY)	81
Correction, State Commission of (DOJ)	155
Correctional Services, Division of (DOJ)	157
Crime Victims Board (DOJ)	155
Criminal Justice Services, Division of (DOJ)	153
Criminal Justice Training Institute (DOJ)	162
CRIMNET (DOJ)	164
Cultural Resources, Office of (Arts)	6

### **D**

Day Services (OMRDD)	188
Debt Reform	431
Dedicated Highway and Bridge Trust Fund (DOT)	310
Dedicated Mass Transportation Trust Fund (DOT)	310
Deferred Compensation Board (Miscellaneous)	416
Design and Construction (OGS)	358
Development Authority of the North Country (Miscellaneous)	417
Developmental Disabilities Planning Council	117
Disability Assistance (OTDA)	52
Disability Benefits Program (WCB)	98
Domestic Violence, Office for the Prevention of (DOJ)	155
Dormitory Authority (Public Authorities)	287
Drinking Water State Revolving Loan Fund (EFC)	248

### **E**

Economic Development, Department of	221
Economic Development Zones (DED)	222
Education Department, State	21
Elderly Pharmaceutical Insurance Coverage Program (DOH)	124
Elections, Board of	345
Elementary, Middle and Secondary Education Programs (SED)	25
Emergency Highway Construction and Reconstruction (Miscellaneous)	417

Emergency Highway Reconditioning and Preservation (Miscellaneous) . . . . .	418
Empire State Development Corporation . . . . .	229
Empire State Games (Parks) . . . . .	280
Empire State Performing Arts Center (Arts) . . . . .	5
Employee Relations, Office of . . . . .	349
Employment Relations Board (DOL) . . . . .	65
Energy Research and Development Authority . . . . .	233
Enhanced Community Services Program (OMH) . . . . .	178
Environmental Conservation, Department of . . . . .	235
Environmental Facilities Corporation . . . . .	247
Environmental Protection Fund (DEC) . . . . .	236
Environmental Quality Bond Act - 1986 (DEC) . . . . .	238
Executive Chamber . . . . .	353
Expanded In-Home Services for the Elderly Program (SOFA) . . . . .	108

**F**

Family and Children's Services Block Grant (OCFS) . . . . .	39
Family Assistance (OCFS) . . . . .	40
Family Assistance (OTDA) . . . . .	50
Family Support New York (CC&F) . . . . .	12
Federal Adoption and Safe Families Act-ASFA (OCFS) . . . . .	40
Federal Nutrition Assistance Program for Women, Infants and Children (DOH) . . . . .	124
Federal Temporary Assistance to Needy Families-TANF (OCFS) . . . . .	39
Federal Transportation Equity Act for the 21st Century (DOT) . . . . .	310
Field Investigation and Audit (DMV) . . . . .	200
Forensic Investigation Center (DOJ) . . . . .	163
Foster Grandparent Program (SOFA) . . . . .	109

**G**

GEAR-UP (HESC) . . . . .	60
General Services, Office of . . . . .	357
General State Charges (Miscellaneous) . . . . .	418
Green Thumb Program (Miscellaneous) . . . . .	421
Greenway Heritage Conservancy of the Hudson River Valley (Miscellaneous) . . . . .	421
guardHELP (DMNA) . . . . .	194

**H**

Head Start Collaboration Project, New York State (CC&F) . . . . .	12
Health, Department of . . . . .	121
Health Care Reform Act of 2000 (DOH) . . . . .	122
Health Insurance Contingency Reserve (Miscellaneous) . . . . .	422
Health Insurance Reserve Receipts Fund (Miscellaneous) . . . . .	422
Heavy Duty Inspection and Maintenance Program (DEC) . . . . .	238
Higher Education (Miscellaneous) . . . . .	422
Higher Education Services Corporation . . . . .	59
Holocaust Claims Processing Office (Bank) . . . . .	327
Housing and Community Renewal, Division of . . . . .	251
Housing Finance Agency . . . . .	259
Housing Finance Agency (DHCR) . . . . .	251
Housing Trust Fund Corporation (DHCR) . . . . .	251

## **INDEX**

---

Hudson River Park Fund (HRPT) .....	265
Hudson River Park Trust .....	265
Hudson River Valley Greenway Communities Council (Miscellaneous) .....	423
Human Rights, Division of .....	137
Human Services Application Service Center (OFT) .....	410

### **I**

"I Love NY" (DED) .....	221
Industrial Finance Program (EFC) .....	248
Inspector General, Office of the State .....	363
Insurance and Securities Funds Reserve Guarantee (Miscellaneous) .....	424
Insurance Department .....	367
Interest on Lawyer Account .....	141
Investigation, Temporary State Commission of .....	145

### **J**

Job Training Partnership Act (DOL) .....	65
JOBS NOW Program (ESDC) .....	230
Judicial Commissions .....	149
Judicial Conduct, Commission on .....	149
Judicial Nomination, Commission on .....	149
Judicial Screening Committees, Governor's .....	149
Judiciary .....	441
Judiciary, Commentary of the Governor on the .....	439
Justice, Department of .....	153
Juvenile Delinquent/Persons in Need of Supervision (JD/PINS) Foster Care Program (OCFS) .....	40

### **K**

Kids Well-Being Indicator Clearinghouse-KWIC (CC&F) .....	11
-----------------------------------------------------------	----

### **L**

Labor, Department of .....	65
Lake George Park Commission (DOS) .....	394
Language Immersion Program (CUNY) .....	17
Law, Department of .....	371
Legislature .....	463
Lieutenant Governor (Legislature) .....	464
Lieutenant Governor, Office of .....	356
Linked Deposit Program (DED) .....	223
Lobbying, Temporary State Commission on .....	377
Local Government and Community Service Program (DOS) .....	393
Local Government Assistance (Miscellaneous) .....	424
Long Island Power Authority (Public Authorities) .....	287
Long-Term Care (DOH) .....	122
Long-Term Care Ombudsman Program (SOFA) .....	108
Lottery, Division of the .....	267



**M**

Managed Care (DOH) . . . . .	122
Marchiselli Program (DOT) . . . . .	310
Mass Transportation Operating Assistance Fund (DOT) . . . . .	310
Medicaid (DOH) . . . . .	121
Medicaid Service Coordination (OMRDD) . . . . .	187
Mental Health, Office of . . . . .	177
Mental Retardation and Developmental Disabilities, Office of . . . . .	185
Metropolitan Transportation Authority . . . . .	271
Military and Naval Affairs, Division of . . . . .	193
Military Readiness (DMNA) . . . . .	194
Miscellaneous Guarantee Appropriations (Miscellaneous) . . . . .	426
Mortgage Agency, State of New York . . . . .	261
Motor Vehicles, Department of . . . . .	199
Municipal Assistance Corporation for the City of New York (Public Authorities) . . . . .	287
Municipal Assistance Corporation for the City of Troy (Public Authorities) . . . . .	287
Municipal Bond Bank Agency (Public Authorities) . . . . .	288

**N**

Nathan S. Kline Institute (OMH) . . . . .	179
National and Community Service (Miscellaneous) . . . . .	426
Natural Heritage Trust (Parks) . . . . .	280
New York City AMTRAK Train Station Redevelopment Project (ESDC) . . . . .	230
New York City Transit Authority (MTA) . . . . .	271
New York Intranet (OFT) . . . . .	410
New York Power Authority (Public Authorities) . . . . .	287
New York Psychiatric Institute (OMH) . . . . .	179
New York State Alliance for Family Literacy (CC&F) . . . . .	11
New York State Bridge Authority (Public Authorities) . . . . .	286
New York State Canal Corporation (Thruway) . . . . .	307
New York Works Block Grant (DOL) . . . . .	66
NEXTSTEP (CS) . . . . .	335
Niagara Frontier Transportation Authority (Public Authorities) . . . . .	289
Niagara Reservation State Park Observation Tower (Parks) . . . . .	280
Nissequogue River State Park (Parks) . . . . .	279
NORC Supportive Service Program (SOFA) . . . . .	108
Northeastern Queens Nature & Historical Preserve Comm. (Miscellaneous) . . . . .	427
NYS Theatre Institute Corp (Arts) . . . . .	5
NYS-Cares (OMRDD) . . . . .	186
NYSTEP System (CS) . . . . .	335

**O**

Ogdensburg Bridge and Port Authority (Public Authorities) . . . . .	288
Olympic Regional Development Authority . . . . .	275
ONECARD Rx Program (CS) . . . . .	335

**P**

Parks, Recreation and Historic Preservation, Office of . . . . .	279
Parole, Division of (DOJ) . . . . .	153

## **INDEX**

---

Partnership for Long Term Care (DOH) . . . . .	122
Performing Arts Center Corp. (Arts) . . . . .	7
Petroleum Overcharge Recovery Program (ERDA) . . . . .	233
Petroleum Storage Tanks - COPS Repayment (Miscellaneous) . . . . .	427
Pipeline for Jobs Program (EFC) . . . . .	249
Port Authority of New York and New Jersey (Public Authorities) . . . . .	288
Port of Oswego Authority (Public Authorities) . . . . .	288
Probation and Correctional Alternatives, Division of (DOJ) . . . . .	153
Project Finance Agency (Public Authorities) . . . . .	288
Prelude to Success (CUNY) . . . . .	17
Public Authorities, New York State . . . . .	285
Public Employment Practices and Representation, Office of (PERB) . . . . .	381
Public Employment Relations Board . . . . .	381
Public Service, Department of . . . . .	385
Public Service Commission (DPS) . . . . .	385

### **Q**

Quality of Care for the Mentally Disabled, Commission on . . . . .	205
--------------------------------------------------------------------	-----

### **R**

Racing and Wagering Board, State . . . . .	299
Reading for Results (SED) . . . . .	23
Reading 2000 (SED) . . . . .	24
Real Property Management and Development (OGS) . . . . .	358
Real Property Services, Office of . . . . .	73
Recruitment Incentive and Retention Program (DMNA) . . . . .	194
Recycling Market Development Program (DED) . . . . .	223
Regulation of the Professions (SED) . . . . .	30
Regulatory Reform, Governor's Office of . . . . .	389
Regulatory Review (GORR) . . . . .	389
Replacement Medicaid System (DOH) . . . . .	123
Research Institute on Addictions (OASAS) . . . . .	171
Reserve for Federal Audit Disallowances (Miscellaneous) . . . . .	427
Residential Services (OMRDD) . . . . .	188
Retired and Senior Volunteer Program (SOFA) . . . . .	109
Rochester-Genesee Regional Transportation Authority (Public Authorities) . . . . .	289
Roswell Park Cancer Institute Corporation (DOH) . . . . .	121

### **S**

Safe Schools Against Violence in Education - SAVE (SED) . . . . .	23
Safety Net Program (OTDA) . . . . .	51
Scholarships for Academic Excellence (HESC) . . . . .	60
School Aid (SED) . . . . .	23
School Tax Relief (STAR) (ORPS) . . . . .	73
School Tax Relief (STAR) (SED) . . . . .	21
Schools 2000 (SED) . . . . .	23
Science, Technology, and Academic Research, Office of . . . . .	303
SEMI-NY (GORR) . . . . .	389
Senior Colleges (CUNY) . . . . .	15
Solid Waste Management Act -1988 (DEC) . . . . .	237

Special Education (SED) . . . . .	29
Special Emergency Appropriation (Miscellaneous) . . . . .	428
Special Needs Plans (OMH) . . . . .	177
State, Department of . . . . .	393
State Athletic Commission (DOS) . . . . .	394
State Child Abuse Hotline (OCFS) . . . . .	40
State Data Center (OFT) . . . . .	410
State Debt Service . . . . .	429
State Emergency Management Office (DMNA) . . . . .	193
State Ethics Commission (DOS) . . . . .	394
State Fair (Ag&Mkts) . . . . .	216
State Food Assistance Program (OTDA) . . . . .	52
State-Operated Colleges (SUNY) . . . . .	79
State Park Infrastructure Fund (Parks) . . . . .	280
State Police, Division of (DOJ) . . . . .	156
State University Construction Fund . . . . .	85
State University of New York . . . . .	79
Statewide Energy Improvement (Miscellaneous) . . . . .	428
Statewide Public Safety Communications System (DOJ) . . . . .	153
SUNY Connect (SUNY) . . . . .	81
SUNY Learning Network (SUNY) . . . . .	81
Supplemental Nutrition Assistance Program (SOFA) . . . . .	108
Supplemental Security Income (OTDA) . . . . .	52
Support for Consumers Living in Their Own Homes (OMRDD) . . . . .	189
Surrogate Decision Making Committee Program (CQC) . . . . .	205
System Benefits Charge (ERDA) . . . . .	233
Systems Modernization Program (WCB) . . . . .	98

**T**

Task Force on School-Community Collaboration (CC&F) . . . . .	12
Tax Appeals, Division of . . . . .	405
Taxation and Finance, Department of . . . . .	399
Teachers of Tomorrow (SED) . . . . .	24
Technical Advisory Services (EFC) . . . . .	248
Technology, Office for . . . . .	409
Technology and Procurement Services (OGS) . . . . .	358
Tele-Claims Centers (DOL) . . . . .	67
Temporary and Disability Assistance, Office of (OTDA) . . . . .	49
Temporary Assistance for Needy Families (DOL) . . . . .	65
Thousand Islands Bridge Authority (Public Authorities) . . . . .	286
Thruway Authority . . . . .	307
Transportation, Department of . . . . .	309
Triborough Bridge and Tunnel Authority (MTA) . . . . .	272
Tug Hill Commission (DOS) . . . . .	394
Tuition Assistance Program (HESC) . . . . .	60
Tuition Assistance Program (TAP) Aid for Part-Time Study (CUNY) . . . . .	16

**U**

Unemployment Insurance (DOL) . . . . .	67
Uniform State Laws, Commission on (DOS) . . . . .	394
United Nations Development Corporation (Public Authorities) . . . . .	286

## **INDEX**

---

Urban Development Corporation (ESDC) .....	229
U.S. Open (Parks) .....	280

### **V**

Vehicle and Driver Safety (DMV) .....	200
Veterans' Affairs, Division of .....	89
Victims Assistance, Office of (DOJ) .....	162
Vocational and Educational Services for Individuals with Disabilities-VESID (SED) .....	30
Vocational Rehabilitation (SED) .....	30

### **W**

Welfare Inspector General, Office of .....	93
Worker Protection (DOL) .....	67
Workers' Compensation Board .....	97
Workers' Compensation Reserve (Miscellaneous) .....	428
Workforce Investment Act (DOL) .....	66

### **Y**

Youth Education, Employment and Training (DOL) .....	65
Youth Facilities Program (OCFS) .....	41

# **KEY TO AGENCY ABBREVIATIONS**

A&C	Department of Audit and Control
ABC	Division of Alcoholic Beverage Control
Adv	Office of Advocate for Persons with Disabilities
Ag&Mkts	Department of Agriculture and Markets
AHC	Affordable Housing Corporation
APA	Adirondack Park Agency
Arts	Council on the Arts
Bank	Banking Department
CC&F	Council on Children and Families
CPB	Consumer Protection Board
CQC	Commission on Quality of Care for the Mentally Disabled
CS	Department of Civil Service
CUNY	City University of New York
CVB	Crime Victims Board
DA	Dormitory Authority
DANC	Development Authority of the North Country
DCJS	Division of Criminal Justice Services
DDPC	Developmental Disabilities Planning Council
DEC	Department of Environmental Conservation
DED	Department of Economic Development
DHCR	Division of Housing and Community Renewal
DHR	Division of Human Rights
DMNA	Division of Military and Naval Affairs
DMH	Department of Mental Hygiene
DMV	Department of Motor Vehicles
DOB	Division of the Budget
DOCS	Department of Correctional Services
DOH	Department of Health
DOJ	Department of Justice
DOL	Department of Labor
DOS	Department of State
DOT	Department of Transportation
DPCA	Division of Probation and Correctional Alternatives
DPS	Department of Public Service
DSP	Division of State Police
DTA	Division of Tax Appeals
DVA	Division of Veterans' Affairs
EFC	Environmental Facilities Corporation
ERDA	New York State Energy Research and Development Authority
ESDC	Empire State Development Corporation
FCB	New York State Financial Control Board
GORR	Governor's Office of Regulatory Reform
HESC	Higher Education Services Corporation
HFA	Housing Finance Agency
HRPT	Hudson River Park Trust
HTFC	Housing Trust Fund Corporation
IG	Inspector General, Office of the State
Ins	Insurance Department

## ***KEY TO AGENCY ABBREVIATIONS***

---

IOLA	Interest on Lawyer Account
Law	Department of Law
LGAC	Local Government Assistance Corporation
LIPA	Long Island Power Authority
Lottery	Division of the Lottery
MBBA	Municipal Bond Bank Agency
MTA	Metropolitan Transportation Authority
NYSTAR	Office of Science, Technology and Academic Research
OASAS	Office of Alcoholism and Substance Abuse Services
OCFS	Office of Children and Family Services
OER	Office of Employee Relations
OFT	Office for Technology
OGS	Office of General Services
OMH	Office of Mental Health
OMRDD	Office of Mental Retardation and Developmental Disabilities
OPDV	Office for the Prevention of Domestic Violence
ORDA	Olympic Regional Development Authority
ORPS	Office of Real Property Services
OTDA	Office of Temporary and Disability Assistance
OWIG	Office of the Welfare Inspector General
PACB	Public Authorities Control Board
Parole	Division of Parole
Parks	Office of Parks, Recreation and Historic Preservation
PERB	Public Employment Relations Board
PFA	Project Finance Agency
R&W	New York State Racing and Wagering Board
SCOC	State Commission of Correction
SED	State Education Department
SOFA	State Office for the Aging
SONYMA	State of New York Mortgage Agency
STF	Science and Technology Foundation
SUCF	State University Construction Fund
SUNY	State University of New York
Tax	Department of Taxation and Finance
Thruway	NYS Thruway Authority
UDC	Urban Development Corporation
WCB	Workers' Compensation Board