

# ***EXECUTIVE BUDGET APPENDIX I***

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# ***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, theater and music) and provides advisory services and financial assistance to the arts community of the State. During 2001-02, the Council on the Arts will have a workforce of 63 for the review, processing and administration of arts grants and loans to nonprofit organizations.

The Empire State Plaza Performing Arts Center Corporation (the "Egg") was established in 1979 as a public benefit corporation to administer a performing arts center in Albany to offer a diverse array of cultural and artistic programming. 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 the Corporation and appoints its Executive Director. The Chair of the Board is selected by the Governor. The Corporation has a full-time staff of 12.

The New York State Theatre Institute (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 the Institute is its Producing Director, who is appointed by the Board. The Institute's staff of 29 is based 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) — which will have as its sole focus the promotion of New York's cultural resources. The 2001-02 Executive Budget proposes to implement this functional transfer by October 1, 2001 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 470.



## **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 2001-02 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 nearly 90 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 2001-02 Executive Budget includes:

- Funding of \$5.5 million for administration of the Council's programs; and
- Funding of \$44.0 million, an increase of \$600,000, for arts grants which will support general arts grants, decentralization grants and the Empire State Partnership initiative.

Funding is provided in the Executive Budget for the Egg at \$567,000; and for NYSTI at \$1,580,500, which includes the cost of negotiated salary increases. Receipts from ticket sales, private donations, and sales and lease of products and facilities will supplement State funds provided to these organizations.

The Executive Budget provides \$19.8 million, including \$9.4 million from the General Fund, for OCR representing six months' funding for the operations of the new office, upon transfer of its functions from SED which is to take place by October 1. In addition, Local Assistance and Capital appropriations associated with OCR activities will be transferred from the corresponding funds and accounts in SED during 2001-02.

## **PROGRAM HIGHLIGHTS**

*Council on the Arts.* Since April 1995, the Council has distributed approximately 14,000 grants totaling over \$200 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 2,800 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;
- 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 (the "Egg")*. During the 1999-2000 season, the Egg presented 39 events which generated a total attendance of 34,685 — a 26 percent increase from the previous year. Season subscriptions for performances at the Egg increased 38 percent in 1999-2000, and the facility was utilized over 330 days during the season by a variety of organizations.

*New York State Theatre Institute*. More than 65,000 children, teachers and parents attended NYSTI's seven productions in 1999-2000. During this period, the Institute certified 90 high school units and 160 college credits to 65 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 in 1999 and an Audie Award in 2000 for its production of *Sherlock's Secret Life*.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	27,882,700	28,300,400	417,700	1,716,000
Aid To Localities	47,695,000	44,335,000	(3,360,000)	95,000
Capital Projects	0	0	0	0
Total	<u>75,577,700</u>	<u>72,635,400</u>	<u>(2,942,300)</u>	<u>1,811,000</u>

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

**Full-Time Equivalent Positions (FTE)**

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	55	54	(1)
Special Revenue Funds - Federal	9	9	0
Office of Cultural Resources			
General Fund	295	295	0
Special Revenue Funds - Federal	75	75	0
Special Revenue Funds - Other	40	40	0
Internal Service Funds	33	33	0
Expendable Trust Funds	2	2	0
Total	<u>509</u>	<u>508</u>	<u>(1)</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	16,642,000	17,053,200	411,200
Special Revenue Funds - Federal	4,491,950	4,396,700	(95,250)
Special Revenue Funds - Other	2,087,750	2,135,400	47,650
Internal Service Funds	3,912,500	3,949,100	36,600
Fiduciary Funds	<u>748,500</u>	<u>766,000</u>	<u>17,500</u>
Total	<u>27,882,700</u>	<u>28,300,400</u>	<u>417,700</u>

Adjustments:

Transfer(s) From			
Education Department, State			
General Fund	(9,193,000)		
Special Revenue Funds - Federal	(3,761,950)		
Special Revenue Funds - Other	(2,087,750)		
Internal Service Funds	(3,912,500)		
Expendable Trust Funds	(348,500)		
Special Pay Bill			
General Fund	(299,000)		
Special Revenue Funds - Federal	<u>(39,000)</u>		
Appropriated 2000-01	<u>8,241,000</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	5,210,000	5,474,000	264,000
Special Revenue Funds - Federal	730,000	469,700	(260,300)
Fiduciary Funds	400,000	400,000	0
Office of Cultural Resources			
General Fund	9,193,000	9,431,700	238,700
Special Revenue Funds - Federal	3,761,950	3,927,000	165,050
Special Revenue Funds - Other	2,087,750	2,135,400	47,650
Internal Service Funds	3,912,500	3,949,100	36,600
Fiduciary Funds	348,500	366,000	17,500
Empire State Performing Arts Center Corporation			
General Fund	550,000	567,000	17,000
New York State Theatre Institute			
General Fund	1,489,000	1,580,500	91,500
Community Projects			
General Fund	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>
Total	<u>27,882,700</u>	<u>28,300,400</u>	<u>417,700</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,359,000	(264,000)	3,224,000	(264,000)
Total	<u>3,359,000</u>	<u>(264,000)</u>	<u>3,224,000</u>	<u>(264,000)</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	127,000	0	8,000	0
Total	<u>127,000</u>	<u>0</u>	<u>8,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	2,115,000	528,000	121,400	0
Office of Cultural Resources	9,431,700	238,700	0	0
Empire State Performing Arts Center Corporation	567,000	17,000	0	0
New York State Theatre Institute	1,580,500	91,500	0	0
Community Projects	0	(200,000)	0	0
Total	<u>13,694,200</u>	<u>675,200</u>	<u>121,400</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	251,200	0	1,501,000	378,000
Total	<u>251,200</u>	<u>0</u>	<u>1,501,000</u>	<u>378,000</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	91,400	0	150,000	150,000
Office of Cultural Resources	0	0	9,431,700	238,700
Empire State Performing Arts Center Corporation	0	0	567,000	17,000
New York State Theatre Institute	0	0	1,580,500	91,500
Community Projects	0	0	0	(200,000)
Total	<u>91,400</u>	<u>0</u>	<u>11,729,200</u>	<u>297,200</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	869,700	(260,300)	340,800	(149,600)
Office of Cultural Resources	10,377,500	266,800	0	0
Total	<u>11,247,200</u>	<u>6,500</u>	<u>340,800</u>	<u>(149,600)</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	128,900	(110,700)	400,000	0
Office of Cultural Resources	0	0	10,377,500	266,800
Total	<u>128,900</u>	<u>(110,700)</u>	<u>10,777,500</u>	<u>266,800</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	47,400,000	44,000,000	(3,400,000)
Special Revenue Funds - Federal	95,000	135,000	40,000
Fiduciary Funds	200,000	200,000	0
Total	<u>47,695,000</u>	<u>44,335,000</u>	<u>(3,360,000)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	47,400,000	44,000,000	(3,400,000)
Special Revenue Funds - Federal	95,000	135,000	40,000
Expendable Trust Funds	200,000	200,000	0
Total	<u>47,695,000</u>	<u>44,335,000</u>	<u>(3,360,000)</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 13 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 20 in 2001-02. Fourteen of these positions are supported by State tax dollars from the General Fund and six by Federal grants.

## **BUDGET HIGHLIGHTS**

For fiscal year 2001-02, the Executive Budget provides \$1,013,000 in General Fund support for the Council, an increase of \$85,000 attributable primarily to negotiated salary adjustments. The Budget also continues Federal appropriations of \$1.1 million to support the second year of the New York State Alliance for Family Literacy project, which 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 private foundation grants.

To improve timeliness and enable the sharing of data collected at the State and local level that measure children's well-being, the Council partnered with several organizations to develop an electronic, publicly-accessible information resource. In SFY 2001-02, the Council will upgrade its information technology structure by expanding this Web Site to provide up-to-date information and other linkages that help users gather and analyze various indicators, assess needs, and design and improve programs.

The Council's major activities for 2001-02 include the following:

- A Statewide initiative to improve policy and practice in juvenile delinquency diversion for non-violent youth;
- New York State Head Start Collaboration Project;
- Task Force on School-Community Collaboration; and
- Family Support New York.

## CHILDREN AND FAMILIES

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 America's Promise -The Alliance for Youth.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,965,000	2,913,000	(52,000)	1,062,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>2,965,000</u>	<u>2,913,000</u>	<u>(52,000)</u>	<u>1,062,000</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	13	14	1
Special Revenue Funds - Federal	6	7	1
Total	<u>19</u>	<u>21</u>	<u>2</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,006,000	1,013,000	7,000
Special Revenue Funds - Federal	1,659,000	1,600,000	(59,000)
Fiduciary Funds	300,000	300,000	0
Total	<u>2,965,000</u>	<u>2,913,000</u>	<u>(52,000)</u>

Adjustments:	
Transfer(s) From	
Special Pay Bill	
General Fund	(78,000)
Special Revenue Funds - Federal	(9,000)
Appropriated 2000-01	<u>2,878,000</u>

# CHILDREN AND FAMILIES

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	1,006,000	1,013,000	7,000
Special Revenue Funds - Federal	1,659,000	1,600,000	(59,000)
Expendable Trust Funds	300,000	300,000	0
Total	<u>2,965,000</u>	<u>2,913,000</u>	<u>(52,000)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	922,000	7,000	922,000	7,000
Total	<u>922,000</u>	<u>7,000</u>	<u>922,000</u>	<u>7,000</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	91,000	0	15,200	0
Total	<u>91,000</u>	<u>0</u>	<u>15,200</u>	<u>0</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	20,000	0	50,000	0
Total	<u>20,000</u>	<u>0</u>	<u>50,000</u>	<u>0</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration	5,800	0
Total	<u>5,800</u>	<u>0</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	1,900,000	(59,000)	1,900,000	(59,000)
Total	<u>1,900,000</u>	<u>(59,000)</u>	<u>1,900,000</u>	<u>(59,000)</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 pre-finances CUNY's senior college operating costs; the State subsequently reimburses the City for CUNY's net operating expenses.

For the 2001-02 academic year, the senior college operating budget will be \$1.027 billion — increase of \$9.1 million from the 2000-01 amount. State support for the net operating expenses of the senior colleges in the 2001-02 academic year will be \$612 million.

For the 2001-02 fiscal year, which overlaps two academic years, State support for the net operating expenses of the senior colleges will be \$609.6 million. This appropriation is used to reimburse New York City for its pre-financing of senior college expenses.

Additional State funding of \$20.0 million is provided as a lump sum for cost increases in personal service and non-personal service; operation of a new Baruch College facility scheduled to open early in the 2001-02 academic year; full-time faculty and other priorities of the Trustees.

With an additional \$1 million in State support, children with English proficiency deficiencies will have expanded opportunities to enhance their language skills in summer immersion programs provided through a collaboration between the City University and the New York City Board of Education.

CUNY will continue a financial aid pilot program, begun in 2000-01, in which students with a demonstrated record of achievement are able to attend a CUNY senior or community college on a part-time basis and be eligible for tuition assistance. This 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 initiatives, including those encompassed in the University's recently approved Master Plan. 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 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.

### **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 services, contract courses and College Discovery — an educational opportunity program for disadvantaged community college students.

Consistent with their important role in ensuring access to public higher education, CUNY's community colleges will be funded at the enriched levels established for the 2000-01 academic year. The 2001-02 academic year budget is predicated on \$2,250 per full-time equivalent (FTE) student in base aid and an aidable enrollment of 55,800 FTE students. Total operating aid, including rental funding, is \$126.2 million for the 2001-02 academic year. The budget also provides \$1.4 million for the Child Care and College Discovery programs and \$1 million for contract and workforce development courses. The total community college appropriation for the 2001-02 fiscal year, which overlaps two academic years, is \$128.6 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 for 2001-02 support the fourth 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. In 2001-02, additional funding will be provided for two major projects to create improved facilities at Brooklyn and John Jay colleges and for critical health and safety, preservation and handicapped access projects throughout the University. A bond sale by the Dormitory Authority of the State of New York will provide \$160 million for the State's share of project costs to be obligated during 2001-02.

**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 195,000 full-time and part-time students — 131,000 at the senior colleges and 64,000 at the community colleges — were enrolled in degree programs for the fall 2000 semester.

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

- The Language Immersion Program is 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 eight sites and, in its brief history, has helped more than 8,000 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 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 set higher standards, reduce time- to-program completion, and reallocate resources through program consolidation.

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

The City University recently received approval of its Master Plan by the Board of Regents. The plan's objectives include establishing a more rigorous and selective University system; improving CUNY's teacher education programs; expanding collaborative and outreach programs with the New York City Board of Education; and facilitating economic development. The University intends to implement several initiatives to achieve these objectives. For example, the Honors College initiative will provide access to programs and expertise throughout the University and is expected to attract exceptional students to CUNY colleges, thus fostering a more academically challenging environment. CUNY plans to admit its first Honors College students in Fall 2001.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	1,108,368,000	1,117,468,000	9,100,000	0
Aid To Localities	738,257,000	752,408,000	14,151,000	0
Capital Projects	0	0	0	1,065,539,000
Total	<u>1,846,625,000</u>	<u>1,869,876,000</u>	<u>23,251,000</u>	<u>1,065,539,000</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	90,000,000	90,000,000	0
Fiduciary Funds	<u>1,018,368,000</u>	<u>1,027,468,000</u>	<u>9,100,000</u>
Total	<u>1,108,368,000</u>	<u>1,117,468,000</u>	<u>9,100,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	<u>738,257,000</u>	<u>752,408,000</u>	<u>14,151,000</u>
Total	<u>738,257,000</u>	<u>752,408,000</u>	<u>14,151,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community College Programs			
General Fund	129,724,000	128,615,000	(1,109,000)
Institutional Support Services			
General Fund	594,176,000	609,593,000	15,417,000
Senior College Pension Payments			
General Fund	14,200,000	14,200,000	0
Community Projects			
General Fund	<u>157,000</u>	<u>0</u>	<u>(157,000)</u>
Total	<u>738,257,000</u>	<u>752,408,000</u>	<u>14,151,000</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Senior Universities				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	56,150,000
Capital Projects Fund - Advances	0	0	0	516,637,000
Program Changes - Expansion and Improvements				
Capital Projects Fund	0	0	0	5,000,000
Capital Projects Fund - Advances	0	0	0	0
Preservation of Facilities				
Capital Projects Fund	0	0	0	285,000
New Facilities				
Capital Projects Fund	0	0	0	0
Capital Projects Fund - Advances	0	0	0	352,300,000
City University of New York Capital Projects Fund				
City University of New York Capital Projects Fund	0	0	0	2,735,000
Subtotal	<u>0</u>	<u>0</u>	<u>0</u>	<u>933,107,000</u>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	14,070,000
Capital Projects Fund - Advances	0	0	0	116,609,000
Program Changes - Expansion and Improvements				
Capital Projects Fund	0	0	0	1,594,000
Capital Projects Fund - Advances	0	0	0	0
New Facilities				
Capital Projects Fund	0	0	0	159,000
Subtotal	<u>0</u>	<u>0</u>	<u>0</u>	<u>132,432,000</u>
 Total	 <u>0</u>	 <u>0</u>	 <u>0</u>	 <u>1,065,539,000</u>



# **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 staffing levels for 2001-02 are projected to total 2,787 positions at year's end, of which approximately 17 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 2001-02, total funding for the State Education Department will increase by \$1.5 billion or 7.9 percent. This year-to-year change is largely due to an increase of \$536 million for the STAR program, \$799 million in increased fiscal year support for school aid and \$323 million in new Federal funding for such activities as class-size reduction, school construction activity and services for persons with disabilities, which are partially offset by reductions in other areas such as funding for new capital projects.

The taxpayer-supported General Fund provides about 17 percent of SED's operational budget. Federal grants, including programs for individuals with disabilities and disadvantaged pupils, account for 48 percent of agency resources. The remaining 35 percent is derived from fees, chargebacks and other miscellaneous receipts.

The 2001-02 Executive Budget recommends \$13.92 billion in support for public schools, reflecting a State fiscal year increase of \$799 million in school aid, and recommends \$2.6 billion for school property tax relief through STAR, reflecting an appropriation increase of \$536 million. School aid represents the single largest expenditure item in the State's 2001-02 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***

In 2001-02, STAR funding appropriated for local taxpayer savings will exceed \$2.6 billion, including funds for continuing the full exemption for eligible senior citizens and implementing the final year phase-in of STAR exemptions for other homeowners. School



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districts and cities with dependent school districts, including New York City, will be fully reimbursed by the State of New York for 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:

- **Basic Homestead Exemption:** In 2001-02, the basic school property tax homestead exemption will increase from \$20,000 to \$30,000 (on a "full value" basis) for residential owner-occupied primary residences that are not eligible for the enhanced senior citizen exemption.
- **Senior Citizen Homestead Exemption:** The school property tax exemption of at least \$50,000 is continued for eligible senior citizens.
- **New York City 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 2001-02 — the final year of the STAR phase-in — \$560 million will be provided in local personal income tax savings for New York City taxpayers. This represents both a tax credit and a rate reduction for all New York City resident personal income tax filers. The City of New York will be fully reimbursed by the State for these foregone local revenues.

### ***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 would be subject to an annual cap on spending increases of the lesser of 4 percent or 120 percent of the increase in the Consumer Price Index. A two-thirds majority of school district voters would be required to exceed this spending cap.

The same exceptions that are currently allowed in calculating the maximum school 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.

### ***Cost of Living Adjustment for Senior Income Eligibility***

Governor Pataki is proposing legislation with the 2001-02 budget to increase the STAR income ceiling for seniors proportionately with increases in the Consumer Price Index. A cost of living adjustment (COLA) will ensure that modest increases in Social Security or other retirement income will not make seniors currently receiving enhanced STAR benefits ineligible in future years. Under the Governor's proposal, the current \$60,000 income limit will be raised proportionately with increases in the Consumer Price Index for STAR applications filed in 2002 and thereafter.

### ***School Aid***

Governor Pataki's education agenda for the coming year will build a new foundation for the future of our children by providing a record level of State support to public schools accompanied by fundamental reforms to provide greater flexibility and accountability in the use of these funds.

- **Flex Aid:** For the 2001-02 school year, 11 separate categories of school aid will be consolidated into a new \$9.8 billion Flexible operating aid program — **Flex Aid**. Under **Flex Aid**, the amount of operating aid provided to schools across the State will be dramatically expanded to allow schools to direct new resources, as well as existing State funds, to meet educational needs and priorities identified

- at the local level. This new formula will account for nearly 70 percent of overall school aid and will provide an equitable distribution of operating aid increases to the State's high-needs school districts. The **Flex Aid** formula also incorporates various reforms advanced by the Regents, including a poverty measure and a regional cost factor. An increase of \$250 million is provided for **Flex Aid**, with all school districts receiving an increase of at least 1.0 percent, and with no artificial limit on the maximum increase a school district can receive.
- **Performance Funding:** Although the State has provided record levels of funding to local schools, this investment has not resulted in a commensurate improvement in student performance on statewide achievement tests. A series of initiatives are proposed to encourage improved educational performance, with a particular focus on the State's Big 5 Cities. Under the new Flex Aid program, all school districts will be provided additional aid to implement the State's higher learning standards. Certain school districts with identified performance deficiencies would be required to target or "set aside" funds to address these deficiencies. This mandatory set-aside would be phased out as performance improves. In addition, increased aid would be provided prospectively to schools for improved performance on statewide achievement tests and graduation rates. Additionally, the proposed Executive Budget includes a new \$7.5 million Schoolwide Performance Incentive to reward educational improvement in the Big 5 Cities through schoolwide, performance-based awards.
  - **Teachers of Tomorrow:** For the coming year, funding for the Governor's Teachers of Tomorrow program will be doubled from \$25 million to \$50 million. The Teachers of Tomorrow program supports a variety of teacher recruitment and retention activities, including tuition reimbursement scholarships to attract new teachers to shortage areas, as well as tuition assistance for teachers in shortage areas who are seeking permanent certification. New activities for the coming year will include: training grants for alternative certification candidates; career ladder grants for paraprofessionals seeking to become certified teachers; pension modifications for retired public employees desiring to become teachers in teacher shortage areas and for existing teachers to continue teaching in hard-to-staff schools; professional support for new teachers in low-performing schools; and incentives for improving the quality of math and science teaching.
  - **Advantage Schools:** The Advantage After-School Program currently operates at 133 sites across the State, and provides more than 20,000 students with structured, supervised educational and social activities that complement instructional programs offered during regular school hours. Through the expansion of public-private partnerships (such as those with the After-School Corporation funded by George Soros) and increased State support to \$30 million this year, all school districts will be provided the opportunity to offer after-school programming over five years.
  - **School Choice:** In September 1999, the opening of New York's first three charter schools marked the beginning of one of the most significant education reforms in State history. For 2001-02, the State will continue to provide \$6 million in support for the Charter School Stimulus Fund to help meet facility needs and other start-up costs of charter schools. Other initiatives to promote greater educational opportunities will include allowing children in failing schools to transfer to another school within the same district, and providing summer immersion programs to enhance the language skills of children with English proficiency deficiencies.
  - **Big Five City Governance Reform:** Legislation will be advanced to provide the mayors and city governing boards of our largest cities with greater oversight responsibility for their schools. These school governance changes for our urban schools will be accompanied by a new Maintenance of Effort provision to ensure

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- that Big Five City schools realize the full benefit of State and Federal funding increases, and to protect them from disproportionate reductions in local support.
- **School Safety:** The Governor's Safe Schools Against Violence in Education Act of 2000 — based upon the recommendations of the Task Force on School Violence chaired by Lieutenant Governor Mary Donohue — represents the most comprehensive plan in the nation to ensure the safety and well-being of school children. During the 2001-02 school year, school districts across the State will implement a range of school safety initiatives, including the development of school safety plans. As part of this effort to promote safe, secure classrooms, funding will be continued for the development and integration of character, civility and citizenship education throughout the K-12 curriculum. Additionally, \$500,000 is provided to support the efforts of the Statewide Center for School Safety in promoting "best practices" and providing technical assistance to schools.
  - **Mandate Relief:** School districts will be provided an exemption from Wicks Law requirements that mandate the use of multiple contractors for school construction projects. This initiative will reduce the cost of school construction by more than 10 percent.

### **SCHOOL AID**

State support for public schools in the 2001-02 State fiscal year will total \$13.92 billion. This represents a 2001-02 fiscal year increase of \$799 million, and supports a 2001-02 school year increase of \$382 million. Since 1996-97, the State will have provided an additional \$3.8 billion in State aid to public schools to enhance educational quality for students across New York. Through the combination of school aid and school tax relief through STAR, New York now supports an estimated 47 percent of local spending on education statewide. The \$13.92 billion in State fiscal year support for public schools includes \$125 million in additional lottery revenue from participation in a multi-state game similar to Powerball. These additional revenues will supplement taxpayer funds to support increased investments in schools and school facilities.

Major recommendations for the 2001-02 school year include:

- **Flex Aid:** For the 2001-02 school year, 11 separate categories of school aid will be consolidated into a new \$9.8 billion flexible operating program — **Flex Aid**. An increase of \$250 million is provided for **Flex Aid**, with all school districts receiving an increase of at least 1.0 percent, and with no limit on the maximum increase a district can receive.
- **Building aid:** For the 2001-02 school year, an increase of \$170 million is recommended in State support for school facilities, raising total State support for building aid to \$1.35 billion. This additional funding is accompanied by fundamental reforms in the financing of school construction. Most notable of these reforms is the creation of a priority-based funding program for all school construction projects approved by the State Education Department after January 15, 2001. In addition, the payment of State aid for new and existing capital projects will be based upon the useful life of projects (i.e., "assumed amortization"). Determining State building aid payments for existing projects using assumed amortization is anticipated to produce \$200 million in building aid savings for the 2001-02 school year.
- **Teachers of Tomorrow:** For the coming year, funding for the Governor's Teachers of Tomorrow program will be doubled from \$25 million to \$50 million. Current activities supported by this program will also be expanded to increase the numbers of qualified teachers statewide.
- **Educational Technology:** A new \$15 million Fund for Innovation program will be created to support innovative applications of educational technology in the Big

- 5 City school districts. This program replaces the current \$57 million educational technology program which directs relatively little support to the Big 5 Cities and other high-needs districts. Also, State funding for computer software will be increased by 10 percent, or \$4 million, and computer hardware aid will increase by \$500,000.
- **Early Childhood Education Initiatives:** This budget continues State support for Universal Pre-Kindergarten at \$225 million in 2001-02, the amount provided in the 2000-01 enacted budget. Since school districts only spent \$173 million against this appropriation in 2000-01, the funding level proposed for 2001-02 will permit school districts to begin or expand pre-kindergarten programs. In addition, State funding of \$50.2 million is continued for experimental pre-kindergarten programs. A total of \$140 million in State funding is continued for class size reduction efforts in grades K-3. This State support will be supplemented by over \$141 million in Federal class size funding — an increase of \$28 million from 2000-01 support levels.
  - **BOCES Aid:** In 2001-02, BOCES aid will be maintained at the same level provided in 2000-01.
  - **Summer School:** Over \$37 million is recommended for summer programs for the coming year.
  - **Other Aids:** New funding is provided for the \$7.5 million Schoolwide Performance Incentive program to recognize and reward educational improvement in the Big 5 Cities through schoolwide, performance-based awards. Reductions are recommended for various other categorical aid programs, including non-recurring legislative adds that total over \$78 million.

## ***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 this legislation represented a needed first step in improving our special education financing system, more fundamental reforms are necessary to remove existing financial disincentives that keep New York's special education referral rate well above the national average. Effective for the 2001-02 school year, a comprehensive reform of special education is proposed that will consolidate special education funding into the new comprehensive **Flex Aid** program. Under this new flexible funding formula, school districts will be provided with future funding increases based on overall enrollment growth rather than the number of children placed in special education.

Funding to address excessive teacher turnover in private and not-for-profit special education programs is continued at \$2 million for 2001-02. These funds are distributed to schools that demonstrate excessive teacher turnover and have teacher salaries significantly below the comparable regional average public school salaries.

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

Over the past several years, fundamental reforms have been enacted in the preschool special education program to better meet the needs of over 60,000 disabled children, while also providing needed cost-containment. Building on these reforms, the 2001-02 Budget includes a new initiative to strengthen fiscal accountability by partially reimbursing counties for the costs of their audits of preschool programs. Counties will be eligible for State funding of 59.5 percent of their approved audit costs, up to \$15,000 per audit.

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The existing statutory restriction on the creation of new or expanded preschool programs which include only children with disabilities will be continued, as will current provisions that allow SED to approve new or expanded non-inclusive preschool programs if there is a demonstrated need for such programs in the community.

The 2001-02 recommended level of \$552 million 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 a variety of categorical education programs intended to address various special needs of schools and communities across the State. In the coming year, the following 19 categorical programs will be continued at 2000-01 funding levels.

#### **ELEMENTARY, MIDDLE AND SECONDARY CATEGORICAL PROGRAMS 2001-02 STATE FISCAL YEAR (thousands of dollars)**

<u>Program</u>	<u>2001-02 Appropriation</u>
Adult Basic Education	5,000
Adult Literacy Education	3,325
AIDS Education	990
Apprenticeship Training	1,830
Civility, Citizenship and Character Education	500
Comprehensive School Health	525
Consortium for Workers Education	8,500
Education of Children of Migrant Workers	90
Effective Schools	1,889
Extended Day/School Violence Prevention	30,200
Missing Children Prevention Education	900
New York State Center for School Safety	500
Parenting Education	506
Primary Mental Health Project	570
School Health Demonstration	150
Schools as Community Sites	6,000
Schools Under Registration Review	2,000
Transferring Success	630
Workplace Literacy	<u>1,376</u>
Total	65,481

A new \$5 million categorical aid program is recommended for 2001-02 to support academic intervention services at non-public schools, and funding for various other categorical programs is eliminated.

## **OTHER RECOMMENDATIONS**

To sharpen the focus of the Board of Regents on matters directly related to education and to streamline agency operations, the 2001-02 Executive Budget recommends that programs related to cultural development and promotion — the State Library, the State Museum and the State Archives — be reassigned to a new Office of Cultural Resources (OCR) and budgeted within the Council on the Arts. The 2001-02 Executive Budget reflects the implementation of this functional transfer by October 1, 2001 and provides for the related transfer of funds, facilities and staff.

The Executive Budget also includes:

- \$1.0 million for services and expenses associated with criminal background checks of school district personnel. Legislation accompanying this budget will conform SED's responsibilities for conducting these criminal background checks with those of the Office of Children and Family Services in relation to persons seeking employment with childcare providers.
- \$300,000 to support additional workload associated with implementation of the new priority-based school construction aid program.
- \$15 million in existing special revenues to support a one-time rebate in license renewal fees for licensed professionals. The proposed rebate would reduce the cost of professional license renewal by approximately 30 percent for nearly 568,000 license-holders for whom SED has professional discipline responsibilities.
- \$500,000 in existing special revenues to provide additional funding for the Documentary Heritage program which provides grants to non-profit organizations for the preservation of, and expanded access to, historic documents.
- \$1 million in new State funding to assist public television stations in their conversion to state-of-the-art digital technology.
- \$6.6 million in continued support of legislative adds for the Case Services and Supported Employment programs for individuals with disabilities to ensure continued compliance with Federal maintenance of effort requirements.

## **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**

The 2001-02 Executive Budget will increase General Support for Public Schools by \$382 million, to a total of nearly \$14.1 billion for the 2001-02 school year. Through the combination of school aid and property tax relief through STAR, New York now supports over 47 percent of local spending on education. As a percentage of State General Fund spending, support for education has grown from 27 percent in 1994-95 to more than 35 percent in 2001-02.

School aid is distributed to school districts through formula-based aids and categorical grants, including:

- **Flex Aid**, which replaces 11 separate formula-based aids and provides school districts with flexible support for general school operating costs, accounts for approximately 70 percent of overall school aid;

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- 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 16 percent of overall school aid; and
- Specialized aid and grant programs that address specific educational needs, ranging from textbooks to adult education programs. Notable program recommendations for 2001-02 include \$135.7 million in grants for magnet school programs in 19 cities throughout the State and \$96.2 million to support literacy services for 150,000 adults enrolled in the Employment Preparation Education program.

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

STAR will be fully implemented in 2001-02, providing New York's taxpayers with tax savings totaling \$2.6 billion in school property tax relief and the New York City personal income tax reduction. School districts and cities with dependent school districts, including the City of New York, will be fully reimbursed by the State for their 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 2001-02, 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 benefit averaging nearly \$900. To be eligible for the enhanced benefit, 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).
- In 2001-02, the school property tax exemption will increase by \$10,000 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 \$30,000, with an average statewide tax savings of approximately \$600.
- The exemptions provided to homeowners (both seniors and non-seniors) 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***

Under the STAR program, in 2001-02, all of New York City's more than 3 million resident personal income taxpayers will receive a flat refundable credit and a rate reduction. Total local taxpayer savings will be \$560 million. The personal income tax credit and changes in the tax rates will be fully implemented in 2001-02 and will have reduced the New York City personal income tax by nearly 10 percent.

#### ***Property Taxpayers Bill of Rights***

Enacted in 1997, the Property Taxpayer Bill of Rights ensures the full disclosure of information to property taxpayers in a more readable and comprehensive format than was previously available. This enables taxpayers to better understand their property taxes and their rights under the law.

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

The STAR program includes a series of school budget voting reforms that give local voters a greater role in education spending decisions and in controlling property tax growth. In 2000-01, additional reforms were enacted to increase local accountability by ensuring that taxpayers are fully informed prior to school budget votes. Recent reforms include:

- **Property Tax Report Card:** Schools are now required to report proposed property tax increases, spending growth and estimated enrollment changes to the State Education Department 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.
- **Special Informational Mailings:** School districts are now required to mail notices to voters prior to budget votes, disclosing:
  - How proposed school spending increases compare with increases in consumer prices.
  - How a proposed budget would compare to the contingency budget that would be allowed by statute if the voters were to defeat the proposed budget on two successive votes.
  - 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.

### ***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.

School districts and BOCES serve approximately 390,000 school-age children in classroom settings. An additional 14,500 students who require particularly intensive programs are served by 140 private schools, 14 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 65 blind and multiply-disabled students, including 15 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 1.4 million lunches and 400,000 breakfasts are served daily under this program;



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- **Summer Food Program:** State funds supplement Federal support to provide free meals for low-income students participating in summer recreation programs. There are over 300 sponsors of summer programs serving almost 295,000 students;
- **Nonpublic School Aid:** The State reimburses 1,400 nonpublic schools for costs incurred in administering State mandated tests and other data collection efforts.

### ***HIGHER EDUCATION***

The Office of Higher Education has the responsibility to ensure quality and availability of post-secondary education programs in the State. The Office assists the Regents in making higher education policies and plans, administers aid programs for colleges, universities and students, and reviews and registers academic programs of degree-granting institutions. Regulation of proprietary schools that offer a range of vocational education programs also falls within the purview of this Office.

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

New York State regulates professionals to protect the public by ensuring the quality and integrity of services provided to consumers. The Office of the Professions licenses and provides 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 is also responsible for enforcing standards of practice, codes of conduct and professional discipline for the licensees, except members of the medical professions (Physicians, Physician Assistants and Specialist Assistants) whose professional conduct is within the purview of the Department of Health. 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 16,300 individuals annually from an active caseload of 54,469.

Program	School Aid (millions of dollars)			
	School Year Payments			
	Estimated 2000-01	Recommended 2001-02	Change Amount	Change Percent
<b>Formula-based Aids:</b>				
Flex Aid	0.00	9,828.45	9,828.45	NA
Operating Aid	6,070.49	0.00	(6,070.49)	(100.00)
Tax Effort	173.11	0.00	(173.11)	(100.00)
Tax Equalization	724.73	0.00	(724.73)	(100.00)
Transition Adjustment	(407.93)	0.00	407.93	(100.00)
Gifted & Talented	14.43	0.00	(14.43)	(100.00)
Minor Maintenance	49.98	0.00	(49.98)	(100.00)
Excess Cost - Public	1,853.05	0.00	(1,853.05)	(100.00)
Excess Cost - Private	145.84	0.00	(145.84)	(100.00)
ERSSA	69.57	0.00	(69.57)	(100.00)
Extraordinary Needs	676.77	0.00	(676.77)	(100.00)
Operating Standards	137.82	0.00	(137.82)	(100.00)
Limited English Proficiency	70.57	0.00	(70.57)	(100.00)
<b>Subtotal</b>	<b>9,578.44</b>	<b>9,828.45</b>	<b>250.01</b>	<b>2.61</b>
Transportation	875.19	938.64	63.45	7.25
BOCES	455.27	455.27	0.00	0.00
Special Services: Career Ed./Computer Admin.	131.07	131.51	0.44	0.34
Computer Hardware	27.12	27.63	0.51	1.88
Textbooks	185.95	185.95	0.00	0.00
Computer Software	40.90	44.94	4.04	9.88
Library Materials	18.99	18.99	0.00	0.00
Full-Day K	6.13	4.88	(1.25)	(20.39)
Prekindergarten	201.86	201.86	0.00	0.00
Class Size Reduction	139.97	139.97	0.00	0.00
Summer School	32.62	37.42	4.80	14.71
Tax Limitation	30.14	25.00	(5.14)	(17.05)
Reorganization Incentive (Operating)	24.58	21.31	(3.27)	(13.30)
Fund for Innovation for Big 5	0.00	15.00	15.00	NA
Shared Services for Big 5	15.00	0.00	(15.00)	(100.00)
<b>Subtotal Formula-based Aids</b>	<b>11,763.23</b>	<b>12,076.82</b>	<b>313.59</b>	<b>2.67</b>
<b>Other Aids:</b>				
Building	1,175.55	1,345.22	169.67	14.43
Reorganization Incentive (Building)	17.99	24.46	6.47	35.96
Teachers of Tomorrow	25.00	50.00	25.00	100.00
Teacher Support Aid	67.48	15.00	(52.48)	(77.77)
Schoolwide Performance Incentive	0.00	7.49	7.49	NA
Prekindergarten Expansion	0.00	23.14	23.14	NA
Education Technology Incentive	32.86	0.00	(32.86)	(100.00)
Add'l Education Technology Incentive	24.14	0.00	(24.14)	(100.00)
Growth Aid	38.45	11.81	(26.64)	(69.28)
Categorical Reading	63.95	63.95	0.00	0.00
Improving Pupil Performance	66.35	66.35	0.00	0.00
Magnet Schools	135.44	135.65	0.21	0.16
Aid to Small City School Districts	81.88	69.31	(12.57)	(15.35)
Urban-Suburban Transfer	1.13	1.13	0.00	0.00
Employment Preparation Education (EPE)	96.18	96.18	0.00	0.00
Homeless Pupils	4.00	4.00	0.00	0.00
Incarcerated Youth	13.00	13.00	0.00	0.00
Bilingual	11.20	0.00	(11.20)	(100.00)
Fort Drum	2.63	2.63	0.00	0.00
Comptroller's Audits	0.25	0.25	0.00	0.00
Education of OMH/OMR Pupils	20.00	20.00	0.00	0.00
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	0.00	0.00
Chargebacks	(18.00)	(18.00)	0.00	0.00
Tuition Adjustment	1.18	1.18	0.00	0.00
CVEEB	0.92	0.92	0.00	0.00
BOCES Aid for Special Act Districts	0.68	0.68	0.00	0.00
Learning Technology Grants	3.29	3.29	0.00	0.00
Shared Services Incentive	0.20	0.20	0.00	0.00
Native American Building	2.00	2.00	0.00	0.00
Bus Driver Safety	0.40	0.40	0.00	0.00
Prior Year Claims	57.00	57.00	0.00	0.00
<b>Grand Total</b>	<b>13,693.52</b>	<b>14,075.76</b>	<b>382.24</b>	<b>2.79</b>

# EDUCATION

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	313,931,800	331,464,300	17,532,500	176,742,400
Aid To Localities	18,738,919,485	20,291,155,800	1,552,236,315	2,535,169,560
Capital Projects	55,065,000	4,000,000	(51,065,000)	174,826,000
Total	<u>19,107,916,285</u>	<u>20,626,620,100</u>	<u>1,518,703,815</u>	<u>2,886,737,960</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Office of Management Services Program			
General Fund	198	179	(19)
Special Revenue Funds - Other	153	165	12
Internal Service Funds	111	111	0
Elementary, Middle and Secondary Education			
General Fund	227	242	15
Special Revenue Funds - Federal	299	299	0
School for the Blind			
Special Revenue Funds - Other	94	94	0
Batavia ICF/DD			
Special Revenue Funds - Other	29	29	0
School for the Deaf			
Special Revenue Funds - Other	96	96	0
Higher Education			
General Fund	44	44	0
Special Revenue Funds - Federal	21	21	0
Special Revenue Funds - Other	78	78	0
Office of the Professions			
Special Revenue Funds - Other	363	363	0
Vocational and Educational Services for Individuals with Disabilities			
General Fund	11	11	0
Special Revenue Funds - Federal	<u>1,055</u>	<u>1,055</u>	<u>0</u>
Total	<u>2,779</u>	<u>2,787</u>	<u>8</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	56,535,600	56,532,300	(3,300)
Special Revenue Funds - Federal	162,309,950	160,392,400	(1,917,550)
Special Revenue Funds - Other	79,719,450	98,014,500	18,295,050
Internal Service Funds	14,378,300	15,499,100	1,120,800
Fiduciary Funds	<u>988,500</u>	<u>1,026,000</u>	<u>37,500</u>
Total	313,931,800	<u><u>331,464,300</u></u>	<u><u>17,532,500</u></u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(3,349,000)		
Special Revenue Funds - Federal	(7,781,000)		
Special Revenue Funds - Other	(4,212,000)		
Internal Service Funds	(639,000)		
Expendable Trust Funds	(5,000)		
Transfer(s) To			
Arts, Council on the			
General Fund	9,193,000		
Special Revenue Funds - Federal	3,761,950		
Special Revenue Funds - Other	2,087,750		
Internal Service Funds	3,912,500		
Expendable Trust Funds	<u>348,500</u>		
Appropriated 2000-01	<u><u>317,249,500</u></u>		

# EDUCATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Office of Management Services Program			
General Fund	19,597,800	17,852,500	(1,745,300)
Special Revenue Funds - Other	16,553,173	18,874,000	2,320,827
Internal Service Funds	10,465,800	11,550,000	1,084,200
Fiduciary Funds	600,000	600,000	0
Elementary, Middle and Secondary Education			
General Fund	23,057,100	24,528,000	1,470,900
Special Revenue Funds - Federal	52,376,000	49,201,800	(3,174,200)
Special Revenue Funds - Other	978,900	978,900	0
School for the Blind			
Special Revenue Funds - Other	7,537,900	7,537,900	0
Fiduciary Funds	20,000	40,000	20,000
Batavia ICF/DD			
General Fund	126,100	126,100	0
Special Revenue Funds - Other	2,650,000	2,650,000	0
School for the Deaf			
Special Revenue Funds - Other	7,426,000	7,426,000	0
Fiduciary Funds	20,000	20,000	0
Higher Education			
General Fund	3,775,500	3,808,000	32,500
Special Revenue Funds - Federal	1,938,000	2,522,600	584,600
Special Revenue Funds - Other	7,769,427	8,161,000	391,573
Office of the Professions			
Special Revenue Funds - Other	34,590,000	49,590,000	15,000,000
Cultural Education			
General Fund	9,193,000	9,431,700	238,700
Special Revenue Funds - Federal	3,761,950	3,927,000	165,050
Special Revenue Funds - Other	2,087,750	2,135,400	47,650
Internal Service Funds	3,912,500	3,949,100	36,600
Fiduciary Funds	348,500	366,000	17,500
Vocational and Educational Services for Individuals with Disabilities			
General Fund	786,100	786,000	(100)
Special Revenue Funds - Federal	104,234,000	104,741,000	507,000
Special Revenue Funds - Other	<u>126,300</u>	<u>661,300</u>	<u>535,000</u>
Total	<u>313,931,800</u>	<u>331,464,300</u>	<u>17,532,500</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Office of Management Services Program	9,633,600	(837,900)	9,633,600	(837,900)
Elementary, Middle and Secondary Education	13,214,900	170,900	13,214,900	170,900
Higher Education	2,268,100	32,500	2,268,100	32,500
Cultural Education	6,516,100	85,200	6,516,100	85,200
Vocational and Educational Services for Individuals with Disabilities	<u>733,200</u>	<u>0</u>	<u>733,200</u>	<u>0</u>
Total	<u>32,365,900</u>	<u>(549,300)</u>	<u>32,365,900</u>	<u>(549,300)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Office of Management Services Program	8,218,900	(907,400)	400,000	0
Elementary, Middle and Secondary Education	11,313,100	1,300,000	282,300	0
Batavia ICF/DD	126,100	0	0	0
Higher Education	1,539,900	0	11,700	0
Cultural Education	2,915,600	153,500	1,512,700	0
Vocational and Educational Services for Individuals with Disabilities	52,800	(100)	9,200	0
<b>Total</b>	<b>24,166,400</b>	<b>546,000</b>	<b>2,215,900</b>	<b>0</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Office of Management Services Program	350,000	0	5,648,900	(907,400)
Elementary, Middle and Secondary Education	697,500	0	4,658,300	0
Higher Education	69,700	0	124,000	0
Cultural Education	72,900	0	1,258,600	153,500
Vocational and Educational Services for Individuals with Disabilities	13,500	(100)	21,300	0
<b>Total</b>	<b>1,203,600</b>	<b>(100)</b>	<b>11,711,100</b>	<b>(753,900)</b>

<b>Program</b>	<b>Equipment</b>		<b>General State Charges</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Office of Management Services Program	250,000	0	1,570,000	0
Higher Education	34,500	0	0	0
Cultural Education	71,400	0	0	0
Vocational and Educational Services for Individuals with Disabilities	8,800	0	0	0
<b>Total</b>	<b>364,700</b>	<b>0</b>	<b>1,570,000</b>	<b>0</b>

<b>Program</b>	<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>
Elementary, Middle and Secondary Education	5,675,000	1,300,000
Batavia ICF/DD	126,100	0
Higher Education	1,300,000	0
<b>Total</b>	<b>7,101,100</b>	<b>1,300,000</b>

# EDUCATION

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Office of Management Services Program	31,024,000	3,405,027	13,822,000	608,788
Elementary, Middle and Secondary Education	50,180,700	(3,174,200)	27,278,700	(4,412,900)
School for the Blind	7,577,900	20,000	5,190,000	0
Batavia ICF/DD	2,650,000	0	1,682,000	0
School for the Deaf	7,446,000	0	4,874,000	0
Higher Education	10,683,600	976,173	4,426,200	211,006
Office of the Professions	49,590,000	15,000,000	0	0
Cultural Education	10,377,500	266,800	3,947,600	117,600
Vocational and Educational Services for Individuals with Disabilities	105,402,300	1,042,000	51,140,100	(1,715,100)
<b>Total</b>	<b>274,932,000</b>	<b>17,535,800</b>	<b>112,360,600</b>	<b>(5,190,606)</b>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Office of Management Services Program	14,602,000	796,239	2,600,000	2,000,000
Elementary, Middle and Secondary Education	21,923,100	1,238,700	978,900	0
School for the Blind	2,387,900	20,000	0	0
Batavia ICF/DD	968,000	0	0	0
School for the Deaf	2,572,000	0	0	0
Higher Education	4,157,400	843,167	2,100,000	(78,000)
Office of the Professions	0	0	49,590,000	15,000,000
Cultural Education	6,429,900	149,200	0	0
Vocational and Educational Services for Individuals with Disabilities	53,600,900	2,222,100	661,300	535,000
<b>Total</b>	<b>106,641,200</b>	<b>5,269,406</b>	<b>55,930,200</b>	<b>17,457,000</b>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	12,969,387,485	13,527,487,800	558,100,315
Special Revenue Funds - Federal	2,236,382,000	2,561,368,000	324,986,000
Special Revenue Funds - Other	3,533,150,000	4,202,300,000	669,150,000
<b>Total</b>	<b>18,738,919,485</b>	<b>20,291,155,800</b>	<b>1,552,236,315</b>

# EDUCATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
School Tax Relief			
Special Revenue Funds - Other	2,110,000,000	2,646,000,000	536,000,000
Elementary, Middle and Secondary Education			
General Fund	12,663,187,460	13,278,482,200	615,294,740
Special Revenue Funds - Federal	1,811,738,000	2,060,724,000	248,986,000
Special Revenue Funds - Other	1,413,000,000	1,545,300,000	132,300,000
Higher and Continuing Education			
General Fund	95,652,100	71,435,000	(24,217,100)
Cultural Education			
General Fund	110,673,000	106,700,000	(3,973,000)
Special Revenue Funds - Federal	4,660,000	4,660,000	0
Special Revenue Funds - Other	10,150,000	11,000,000	850,000
Vocational and Educational Services for Individuals with Disabilities			
General Fund	72,070,600	70,870,600	(1,200,000)
Special Revenue Funds - Federal	419,984,000	495,984,000	76,000,000
Community Projects			
General Fund	27,804,325	0	(27,804,325)
Total	<u>18,738,919,485</u>	<u>20,291,155,800</u>	<u>1,552,236,315</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	0	0	0	180,000
Education Building				
Capital Projects Fund	1,365,000	0	(1,365,000)	1,814,000
Capital Projects Fund - Advances	0	0	0	5,360,000
School for the Blind				
Capital Projects Fund	700,000	0	(700,000)	859,000
Capital Projects Fund - Advances	0	0	0	2,170,000
School for the Deaf				
Capital Projects Fund	550,000	0	(550,000)	550,000
Capital Projects Fund - Advances	0	0	0	1,530,000
Schools For Native American Reservations				
Capital Projects Fund - Advances	0	0	0	450,000
Cultural Education Center				
Capital Projects Fund	1,500,000	1,500,000	0	1,500,000
Capital Projects Fund - Advances	0	0	0	19,450,000
Administration				
Capital Projects Fund	950,000	2,500,000	1,550,000	2,748,000
Rebuild Schools to Uphold Education Program				
Capital Projects Fund	50,000,000	0	(50,000,000)	130,000,000
Washington Avenue Armory				
Capital Projects Fund - Advances	0	0	0	8,215,000
Total	<u>55,065,000</u>	<u>4,000,000</u>	<u>(51,065,000)</u>	<u>174,826,000</u>





# **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 2001-02 is estimated at 4,534 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Office of Children and Family Services receives 40 percent of its \$3.4 billion budget from State tax dollars and 60 percent from Federal and other funds. The State Operations Budget of \$464.6 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 the agency's network of juvenile justice facilities.

The Local Assistance Budget of \$2.8 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 \$94.7 million primarily support the maintenance and construction of the State-operated juvenile justice facilities in order to provide a safe living environment, provide appropriate education, recreation and vocational program space, and maintain an appropriate level of security for youth while they are in residential care.

## **CHILDREN AND FAMILY SERVICES**

The Executive Budget provides more than \$1.3 billion in State and Federal funding to support a comprehensive reform in the financing of child welfare services designed to encourage local governments to invest in the preventive services necessary to reduce the out-of-home placement of children. Specific elements of this reform initiative include:

- **Open-ended Funding for Prevention and Other Key Services:** Under Governor Pataki's Child Welfare Reform proposal, preventive services provided by counties will be removed from any block grant limitations and reimbursed, without limit, at a 65 percent rate. Child Protective Services, aftercare services, independent living activities, and local adoption services and administration costs related to adoptions will also receive 65 percent State aid. The Budget includes \$267 million for this new funding category in 2001-02 — an amount that is expected to grow steadily as counties increase their investment in services necessary to prevent foster care placement.
- **Investments in Child Welfare Quality Enhancement:** OCFS will distribute \$6 million in additional State and TANF funding to counties and not-for-profit groups in 2001-02 to promote the creation of innovative child welfare service delivery models and expand training programs for local and voluntary agency staff.

## **CHILDREN AND FAMILY SERVICES**

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- **A Flexible Foster Care Block Grant:** The Governor's Child Welfare Reform proposal will provide counties with a \$364.5 million Foster Care Block Grant that creates an even greater incentive to reduce the number of children in foster care. Under the new Block Grant, counties will be able to reinvest savings resulting from reduced use of foster care in locally-designed child welfare initiatives that strengthen preventive services or better serve high-needs children.

Within the Federal Temporary Assistance to Needy Families (TANF) Block Grant, \$216 million in TANF 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 Juvenile Delinquent/Persons in Need of Supervision (JD/PINS) Foster Care and other local foster care expenditures. In addition, the SFY 2001-02 recommendation maintains the transfer of Federal TANF funds to the Federal Title XX Social Services Block Grant at \$244 million to support locally provided services to children and families.

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 \$2.7 million for State and local ASFA implementation activities, including staff training, fingerprinting of persons applying to be foster care and adoptive parents, and administrative hearings.

The Budget includes \$130 million for the State's share of subsidies provided to families who adopt special needs children. These funds will support approximately 40,000 children in adoptive homes, including 4,700 children adopted last year; it is anticipated that a similar number will be adopted in 2001-02. In addition, the Budget continues to set aside \$1 million 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 \$840 million for the Child Care Block Grant, over three times the amount funded in its first year, SFY 1995-96. 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.

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 \$71 million will be allocated from the Child Care Reserve Fund in 2001-02.

As provided by the Child Care Quality Act signed by Governor Pataki in September 2000, the Executive Budget includes over \$18 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.

During 2001-02 the Office will continue implementation of the new Child Care Facilities Construction Program funds. First authorized in 1999-2000, this \$30 million bond-financed program will make grants available to child care providers to build or rehabilitate child care centers.

The Executive Budget also provides \$30 million to support the Advantage After-School initiative, a program offered from the end of classes to the early evening hours during the school year. This recommended funding level includes a \$10 million increase over 2000-01 and supports the first step in a five year effort to ensure that all school districts have access to after-school services. Advantage after-school funds are 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.

### **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 directed 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 improve the quality of OCFS programs while targeting services to those youth most likely to benefit. Major recommendations will:

- Provide \$73 million in bond financed funding to construct a new secure center to replace the Harlem Valley Secure Center. The proposed center will be a state-of-the-art facility for supervising youth offenders and providing rehabilitative services.
- Provide \$220,000 to expand the treatment program for youth adjudicated as sex offenders.
- Transfer certain Juvenile Offenders, who would otherwise not be released before their 21<sup>st</sup> birthday, to the Department of Correctional Services. Correctional Services currently supervises over 3,600 youth under the age of 21 who were sentenced by the Criminal Court, and provides a range of rehabilitative and youth development services. Many of these youth are convicted of crimes identical to those of juveniles sentenced to OCFS through the Criminal Court.
- Strengthen community-based transition programs for youth released from residential care by converting existing community residential homes to evening reporting centers. This action will result in full year savings of \$680,000. The evening reporting centers offer specialized services aimed at reducing recidivism that include intensive supervision, after-school programming and job training.
- Provide OCFS with \$20,000 to support planning costs associated with the creation of two locally-operated Juvenile Justice Centers. This innovative new program model will help prevent recidivism by providing youth who enter the criminal justice system with integrated services at a single local site including detention, juvenile court, placement and aftercare.

### **SYSTEMS**

The Executive Budget includes approximately \$60 million in State and Federal funding to operate and continue development of CONNECTIONS, the State's child welfare information system.

CONNECTIONS provides for the 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. Under CONNECTIONS, overdue child protective investigations in New York City have been virtually eliminated - declining from a peak of 30,000 prior to CONNECTIONS implementation to approximately 100 in August 2000.

## **CHILDREN AND FAMILY SERVICES**

The Executive Budget also provides funding through the Office for Technology for the OCFS' Day Care Licensing and the Service Provider Procurement E-Government initiatives. The Day Care Licensing initiative will be a cooperative effort with the Governor's Office of Regulatory Reform and will allow applicants for day care licenses to complete initial application information on the Internet. The Service Provider Procurement initiative is a multi-agency project that will allow OCFS to electronically issue procurements, receive and respond to bidders questions, review proposals, and announce awards.

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

The State Child Abuse Hotline receives more than 315,000 calls each year reporting alleged child maltreatment or abuse through a toll-free 800 telephone number. As a result, the State initiates investigations of these allegations, which are conducted by county protective services staff and/or local law enforcement agencies. 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 3,900 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.

#### **ALL FUNDS APPROPRIATIONS (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	483,119,100	464,571,000	(18,548,100)	270,927,000
Aid To Localities	2,873,733,769	2,830,032,000	(43,701,769)	2,044,290,400
Capital Projects	44,800,000	94,700,000	49,900,000	100,992,000
Total	<u>3,401,652,869</u>	<u>3,389,303,000</u>	<u>(12,349,869)</u>	<u>2,416,209,400</u>

# CHILDREN AND FAMILY SERVICES

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

Full-Time Equivalent Positions (FTE)			
<u>Program</u>	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Central Administration			
General Fund	374	374	0
Special Revenue Funds - Other	74	74	0
Child Care			
General Fund	34	34	0
Special Revenue Funds - Federal	175	255	80
Commission for the Blind and Visually Handicapped			
General Fund	14	14	0
Special Revenue Funds - Federal	162	162	0
Expendable Trust Funds	3	3	0
Family and Children Services			
General Fund	434	440	6
Special Revenue Funds - Federal	84	84	0
Systems Support			
General Fund	175	193	18
Training and Development			
Special Revenue Funds - Other	60	60	0
Youth Facilities			
General Fund	2,888	2,841	(47)
Total	<u>4,477</u>	<u>4,534</u>	<u>57</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	Available 2000-01	Recommended 2001-02	Change
General Fund	255,488,100	260,572,000	5,083,900
Special Revenue Funds - Federal	113,364,000	82,248,000	(31,116,000)
Special Revenue Funds - Other	110,425,000	117,926,000	7,501,000
Enterprise Funds	500,000	500,000	0
Internal Service Funds	100,000	100,000	0
Fiduciary Funds	3,242,000	3,225,000	(17,000)
Total	483,119,100	<u>464,571,000</u>	<u>(18,548,100)</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(14,378,000)		
Special Revenue Funds - Federal	(1,607,000)		
Special Revenue Funds - Other	(752,000)		
Expendable Trust Funds	(17,000)		
Transfer(s) To			
National and Community Service			
Special Revenue Funds - Federal	53,000		
Appropriated 2000-01	<u>466,418,100</u>		

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Central Administration			
General Fund	33,909,100	34,601,000	691,900
Special Revenue Funds - Other	9,544,000	16,000,000	6,456,000
Internal Service Funds	100,000	100,000	0
Fiduciary Funds	1,825,000	1,825,000	0
Child Care			
General Fund	2,609,800	2,725,000	115,200
Special Revenue Funds - Federal	11,272,000	14,800,000	3,528,000
Children's Services			
Special Revenue Funds - Federal	0	0	0
Commission for the Blind and Visually Handicapped			
General Fund	8,427,664	8,428,000	336
Special Revenue Funds - Federal	22,971,000	24,648,000	1,677,000
Special Revenue Funds - Other	500,000	500,000	0
Fiduciary Funds	1,417,000	1,400,000	(17,000)
Departmental Administrative Reimbursement			
General Fund	(32,093,000)	(30,093,000)	2,000,000
Special Revenue Funds - Other	38,593,000	30,093,000	(8,500,000)
Family and Children Services			
General Fund	30,790,342	31,013,000	222,658
Special Revenue Funds - Federal	18,121,000	17,800,000	(321,000)
Special Revenue Funds - Other	1,046,000	1,046,000	0
Systems Support			
General Fund	55,014,194	52,893,000	(2,121,194)
Special Revenue Funds - Federal	25,000,000	25,000,000	0
Special Revenue Funds - Other	10,000,000	10,000,000	0
Training and Development			
General Fund	10,000,000	11,000,000	1,000,000
Special Revenue Funds - Federal	36,000,000	0	(36,000,000)
Special Revenue Funds - Other	50,442,000	60,287,000	9,845,000
Enterprise Funds	200,000	200,000	0
Youth Facilities			
General Fund	146,830,000	150,005,000	3,175,000
Special Revenue Funds - Other	300,000	0	(300,000)
Enterprise Funds	300,000	300,000	0
Total	<u>483,119,100</u>	<u>464,571,000</u>	<u>(18,548,100)</u>

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	20,501,000	(528,900)	19,329,000	(762,700)
Child Care	1,742,000	82,500	1,742,000	82,500
Family and Children Services	20,028,000	14,658	19,165,000	(85,742)
Systems Support	7,012,000	(3,404,194)	6,902,000	(3,489,194)
Youth Facilities	123,303,000	809,000	111,253,000	(1,453,600)
<b>Total</b>	<b>172,586,000</b>	<b>(3,026,936)</b>	<b>158,391,000</b>	<b>(5,708,736)</b>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	1,025,000	216,900	147,000	16,900
Child Care	0	0	0	0
Family and Children Services	6,000	800	857,000	99,600
Systems Support	0	0	110,000	85,000
Youth Facilities	6,145,000	946,300	5,905,000	1,316,300
<b>Total</b>	<b>7,176,000</b>	<b>1,164,000</b>	<b>7,019,000</b>	<b>1,517,800</b>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	14,100,000	1,220,800	214,000	6,000
Child Care	983,000	32,700	76,000	2,000
Commission for the Blind and Visually Handicapped	8,428,000	336	0	0
Family and Children Services	10,985,000	208,000	589,000	11,500
Systems Support	45,881,000	1,283,000	347,000	7,000
Training and Development	11,000,000	1,000,000	0	0
Youth Facilities	26,702,000	2,366,000	11,075,000	509,700
<b>Total</b>	<b>118,079,000</b>	<b>6,110,836</b>	<b>12,301,000</b>	<b>536,200</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	917,000	162,000	10,842,000	1,524,800
Child Care	197,000	13,000	680,000	17,700
Family and Children Services	387,000	30,500	7,880,000	266,000
Systems Support	104,000	5,000	9,690,000	6,971,000
Youth Facilities	951,000	127,000	13,224,000	1,488,200
<b>Total</b>	<b>2,556,000</b>	<b>337,500</b>	<b>42,316,000</b>	<b>10,267,700</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	694,000	558,000	1,433,000	(1,030,000)
Child Care	30,000	0	0	0
Commission for the Blind and Visually Handicapped	0	0	8,428,000	336
Family and Children Services	29,000	0	2,100,000	(100,000)
Systems Support	140,000	0	35,600,000	(5,700,000)
Training and Development	0	0	11,000,000	1,000,000
Youth Facilities	1,223,000	12,100	229,000	229,000
<b>Total</b>	<b>2,116,000</b>	<b>570,100</b>	<b>58,790,000</b>	<b>(5,600,664)</b>



# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Central Administration	17,925,000	6,456,000	0	0
Child Care	14,800,000	3,528,000	0	0
Commission for the Blind and Visually Handicapped	26,548,000	1,660,000	0	0
Family and Children Services	18,846,000	(321,000)	0	0
Systems Support	35,000,000	0	0	0
Training and Development	60,487,000	(26,155,000)	1,662,000	0
Youth Facilities	300,000	(300,000)	0	0
Total	173,906,000	(15,132,000)	1,662,000	0

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Administration	1,925,000	0	16,000,000	6,456,000
Child Care	0	0	14,800,000	3,528,000
Commission for the Blind and Visually Handicapped	0	0	26,548,000	1,660,000
Family and Children Services	5,000,000	(263,000)	13,846,000	(58,000)
Systems Support	0	0	35,000,000	0
Training and Development	2,646,000	0	56,179,000	(26,155,000)
Youth Facilities	300,000	(300,000)	0	0
Total	9,871,000	(563,000)	162,373,000	(14,569,000)

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	1,071,313,769	1,107,594,000	36,280,231
Special Revenue Funds - Federal	1,777,890,000	1,703,908,000	(73,982,000)
Special Revenue Funds - Other	21,000,000	15,000,000	(6,000,000)
Fiduciary Funds	3,530,000	3,530,000	0
Total	2,873,733,769	2,830,032,000	(43,701,769)

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Child Care			
General Fund	96,066,000	96,066,000	0
Special Revenue Funds - Federal	644,000,000	624,000,000	(20,000,000)
Family and Children Services			
General Fund	946,000,900	1,006,528,000	60,527,100
Special Revenue Funds - Federal	1,105,452,000	1,051,470,000	(53,982,000)
Special Revenue Funds - Other	21,000,000	15,000,000	(6,000,000)
Fiduciary Funds	3,530,000	3,530,000	0
Training and Development			
General Fund	5,000,000	5,000,000	0
Special Revenue Funds - Federal	28,438,000	28,438,000	0
Community Projects			
General Fund	24,246,869	0	(24,246,869)
Total	2,873,733,769	2,830,032,000	(43,701,769)

## **CHILDREN AND FAMILY SERVICES**

### **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
Design and Construction Supervision				
Youth Facilities Improvement Fund	1,000,000	0	(1,000,000)	2,000,000
Child Care Facilities Development Program				
Capital Projects Fund	15,000,000	0	(15,000,000)	30,000,000
Maintenance and Improvement of Facilities				
Capital Projects Fund	1,900,000	3,300,000	1,400,000	6,150,000
Youth Facilities Improvement Fund	7,700,000	11,900,000	4,200,000	22,739,000
Executive Direction and Administrative Services				
Capital Projects Fund	0	0	0	700,000
Misc. Capital Projects	7,000,000	0	(7,000,000)	7,000,000
Youth Facilities Improvement Fund	0	0	0	539,000
New Construction				
Youth Facilities Improvement Fund	9,200,000	72,800,000	63,600,000	9,200,000
Program Improvement or Program Change				
Youth Facilities Improvement Fund	3,000,000	6,700,000	3,700,000	13,776,000
Youth Center				
Capital Projects Fund	0	0	0	8,466,000
Rehabilitative Services				
Youth Facilities Improvement Fund	0	0	0	422,000
Total	<u>44,800,000</u>	<u>94,700,000</u>	<u>49,900,000</u>	<u>100,992,000</u>



# ***OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE***

## ***MISSION***

The Office of Temporary and Disability Assistance (OTDA), working in close collaboration with the Department of Labor and Office of Children and Family Services, 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, transitional support to welfare recipients while they are working toward self-sufficiency, and supportive services to low income households to help them avoid welfare dependency.

## ***ORGANIZATION AND STAFFING***

Core responsibilities of the Office include providing policy and technical support to social services districts responsible for implementing welfare reform and administering programs that serve 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 2001-02 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, General Fund dollars, and other revenue. Within this amount, the General Fund cost for direct welfare programs — Family Assistance and Safety Net — will decrease by approximately \$277 million in 2001-02 reflecting continued welfare caseload declines and the availability of Federal funding. Partially offsetting this decrease are increases in General Fund spending for Supplemental Security Income (SSI) for the aged and disabled. Special Revenue Funds - Other for Aid to Localities programs will increase by \$323 million. This increase does not reflect programmatic revision but rather results from a technical change in the financing of the Earned Income Tax Credit for households eligible for Temporary Assistance for Needy Families funding.

For State Operations, an appropriation of approximately \$531 million is recommended from all funding sources. These funds will support a workforce of approximately 2,569, including 1,360 federally funded positions in the Division of Disability Determinations.

The recommended \$83 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 \$429 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 \$65 million in State and Federal funding is appropriated for the cost of redesigning the Welfare Management System (WMS), continued development of the

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

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Welfare-to-Work Caseload Management System, and related human services systems initiatives. WMS is the primary data management tool used by districts to support eligibility determinations and other critical welfare administration activities.

Specific priorities for the Office of Temporary and Disability Assistance for 2001-02 are as follows:

- In partnership with local 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 recipients can transition to work and self-sufficiency and at-risk households can avoid welfare dependency;
- Build upon the substantial accomplishments of recent years by further strengthening child support enforcement to increase parental financial support for children;
- 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.

OTDA programs also emphasize prevention of welfare dependency by providing work supports and services to at-risk households. These activities help families address life events that could otherwise jeopardize continued employment.

These new emphases have resulted in a dramatic decline in welfare caseloads. The total public assistance caseload in New York State in 2001-02 is projected at 740,000 recipients, a decrease of 36,000 persons from 2000-01. When compared to caseload levels in January 1995, welfare caseloads are projected to decline by over 916,000 recipients as of March 31, 2002, or by approximately 56 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. Some long-term Family Assistance cases will reach this five year limit on assistance during 2001-02.

All Family Assistance participants must 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

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

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than was historically the case and may retain a higher level of savings and other resources to help the transition from welfare. These measures help the new welfare system to foster recipient self-sufficiency.

Local 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 1999. Reflecting scheduled increases in work participation requirements in Federal law, for FFY 2001, districts must place at least 45 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 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. 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 2001-02, 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 continue to 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.

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

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### ***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***

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 \$617 per month for an individual living alone in the community, including a scheduled January 2001 cost-of-living adjustment in the Federal portion of the grant. The State's SSI benefit currently is one of the highest nationally. The 2001-02 recommendation of \$626 million funds the State cost of SSI benefits for a projected 619,100 recipients.

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

New York's Food Assistance Program (FAP) purchases food stamps on behalf of immigrants age 60 through 67. Under provisions of Federal law, this vulnerable population no longer is eligible for federally funded food stamp benefits.

State statute authorizing FAP is scheduled to sunset on October 1, 2001. The 2001-02 Aid to Localities recommendation will extend FAP and will provide \$8.2 million in combined State and local funds for benefits to an estimated 5,000 immigrant seniors.

## TEMPORARY AND DISABILITY ASSISTANCE

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	517,225,000	531,683,000	14,458,000	409,890,000
Aid To Localities	4,197,958,500	4,307,792,000	109,833,500	4,228,572,000
Capital Projects	0	0	0	12,611,000
Total	<u>4,715,183,500</u>	<u>4,839,475,000</u>	<u>124,291,500</u>	<u>4,651,073,000</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	180	175	(5)
Special Revenue Funds - Federal	135	135	0
Special Revenue Funds - Other	63	63	0
Child Support Enforcement			
Special Revenue Funds - Other	61	61	0
Disability Determinations			
Special Revenue Funds - Federal	1,360	1,360	0
Special Revenue Funds - Other	111	111	0
Executive Direction			
General Fund	20	19	(1)
Legal Affairs			
General Fund	160	160	0
System Support and Information Services			
General Fund	114	111	(3)
Special Revenue Funds - Federal	16	16	0
Special Revenue Funds - Other	55	55	0
Temporary and Disability Assistance Programs			
General Fund	46	46	0
Special Revenue Funds - Federal	21	21	0
Special Revenue Funds - Other	188	188	0
Transitional Supports and Policy, Division of			
General Fund	35	19	(16)
Special Revenue Funds - Federal	29	29	0
Total	<u>2,594</u>	<u>2,569</u>	<u>(25)</u>



# TEMPORARY AND DISABILITY ASSISTANCE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	82,216,000	83,420,000	1,204,000
Special Revenue Funds - Federal	303,989,000	311,670,000	7,681,000
Special Revenue Funds - Other	130,020,000	135,593,000	5,573,000
Internal Service Funds	<u>1,000,000</u>	<u>1,000,000</u>	<u>0</u>
Total	<u>517,225,000</u>	<u>531,683,000</u>	<u>14,458,000</u>

Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(5,657,000)		
Special Revenue Funds - Federal	(6,119,000)		
Special Revenue Funds - Other	<u>(439,000)</u>		
Appropriated 2000-01	<u>505,010,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	19,912,000	19,901,000	(11,000)
Special Revenue Funds - Federal	7,000,000	7,000,000	0
Special Revenue Funds - Other	18,850,000	18,850,000	0
Internal Service Funds	1,000,000	1,000,000	0
Child Support Enforcement			
Special Revenue Funds - Federal	2,900,000	3,100,000	200,000
Special Revenue Funds - Other	25,000,000	26,117,000	1,117,000
Departmental Administrative Reimbursement			
General Fund	(62,462,000)	(67,357,000)	(4,895,000)
Special Revenue Funds - Other	66,031,000	70,926,000	4,895,000
Disability Determinations			
Special Revenue Funds - Federal	175,319,000	163,300,000	(12,019,000)
Special Revenue Funds - Other	10,839,000	10,400,000	(439,000)
Executive Direction			
General Fund	1,851,500	1,802,000	(49,500)
Legal Affairs			
General Fund	12,632,000	12,811,000	179,000
System Support and Information Services			
General Fund	103,118,000	109,943,000	6,825,000
Special Revenue Funds - Federal	110,000,000	130,000,000	20,000,000
Special Revenue Funds - Other	6,800,000	6,800,000	0
Temporary and Disability Assistance Programs			
General Fund	4,564,400	4,569,000	4,600
Special Revenue Funds - Federal	6,000,000	6,000,000	0
Special Revenue Funds - Other	2,500,000	2,500,000	0
Transitional Supports and Policy, Division of			
General Fund	2,600,100	1,751,000	(849,100)
Special Revenue Funds - Federal	<u>2,770,000</u>	<u>2,270,000</u>	<u>(500,000)</u>
Total	<u>517,225,000</u>	<u>531,683,000</u>	<u>14,458,000</u>

# TEMPORARY AND DISABILITY ASSISTANCE

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	10,110,000	(130,000)	9,996,000	(130,000)
Executive Direction	1,468,000	(39,500)	1,383,500	(39,500)
Legal Affairs	9,882,000	209,000	9,592,000	209,000
System Support and Information Services	6,408,000	(2,261,000)	6,067,400	(2,291,600)
Temporary and Disability Assistance Programs	3,574,000	54,600	3,114,000	54,600
Transitional Supports and Policy, Division of	1,449,000	(755,100)	1,434,000	(755,100)
Total	<u>32,891,000</u>	<u>(2,922,000)</u>	<u>31,586,900</u>	<u>(2,952,600)</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	83,600	0	30,400	0
Executive Direction	83,000	0	1,500	0
Legal Affairs	0	0	290,000	0
System Support and Information Services	0	0	340,600	30,600
Temporary and Disability Assistance Programs	440,000	0	20,000	0
Transitional Supports and Policy, Division of	0	0	15,000	0
Total	<u>606,600</u>	<u>0</u>	<u>697,500</u>	<u>30,600</u>

# **TEMPORARY AND DISABILITY ASSISTANCE**

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**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	10,291,000	119,000	150,300	0
Executive Direction	334,000	(10,000)	22,200	0
Legal Affairs	2,929,000	(30,000)	137,500	0
System Support and Information Services	103,535,000	9,086,000	414,100	0
Temporary and Disability Assistance Programs	995,000	(50,000)	18,000	0
Transitional Supports and Policy, Division of	302,000	(94,000)	17,400	0
Total	<u>118,386,000</u>	<u>9,021,000</u>	<u>759,500</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	183,300	0	5,580,900	50,000
Executive Direction	51,100	(10,000)	235,000	0
Legal Affairs	86,100	(30,000)	2,639,400	0
System Support and Information Services	154,100	0	10,354,400	5,557,000
Temporary and Disability Assistance Programs	104,000	(50,000)	822,000	0
Transitional Supports and Policy, Division of	81,500	0	158,800	(94,000)
Total	<u>660,100</u>	<u>(90,000)</u>	<u>19,790,500</u>	<u>5,513,000</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,220,500	0	3,156,000	69,000
Executive Direction	25,700	0	0	0
Legal Affairs	66,000	0	0	0
System Support and Information Services	209,400	0	92,403,000	3,529,000
Temporary and Disability Assistance Programs	51,000	0	0	0
Transitional Supports and Policy, Division of	44,300	0	0	0
Total	<u>1,616,900</u>	<u>0</u>	<u>95,559,000</u>	<u>3,598,000</u>

# TEMPORARY AND DISABILITY ASSISTANCE

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	26,350,000	0	600,000	0
Child Support Enforcement	29,217,000	1,317,000	0	0
Disability Determinations	173,700,000	(12,458,000)	72,400,000	(3,433,000)
System Support and Information Services	136,800,000	20,000,000	0	0
Temporary and Disability Assistance Programs	8,500,000	0	0	0
Transitional Supports and Policy, Division of	2,270,000	(500,000)	0	0
Total	<u>376,837,000</u>	<u>8,359,000</u>	<u>73,000,000</u>	<u>(3,433,000)</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	250,000	0	25,500,000	0
Child Support Enforcement	0	0	29,217,000	1,317,000
Disability Determinations	90,900,000	(8,586,000)	10,400,000	(439,000)
System Support and Information Services	0	0	136,800,000	20,000,000
Temporary and Disability Assistance Programs	0	0	8,500,000	0
Transitional Supports and Policy, Division of	0	0	2,270,000	(500,000)
Total	<u>91,150,000</u>	<u>(8,586,000)</u>	<u>212,687,000</u>	<u>20,378,000</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	1,700,858,500	1,433,892,000	(266,966,500)
Special Revenue Funds - Federal	2,400,700,000	2,454,500,000	53,800,000
Special Revenue Funds - Other	86,400,000	409,400,000	323,000,000
Fiduciary Funds	<u>10,000,000</u>	<u>10,000,000</u>	<u>0</u>
Total	<u>4,197,958,500</u>	<u>4,307,792,000</u>	<u>109,833,500</u>

# **TEMPORARY AND DISABILITY ASSISTANCE**

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

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other	65,000,000	65,000,000	0
Child Support Enforcement			
General Fund	27,010,000	30,100,000	3,090,000
Special Revenue Funds - Federal	84,000,000	84,000,000	0
Special Revenue Funds - Other	300,000	300,000	0
Employment Services			
General Fund	49,278,000	50,250,000	972,000
Food Assistance Program			
General Fund	4,100,000	4,100,000	0
Special Revenue Funds - Other	4,100,000	4,100,000	0
Food Stamp Administration Program			
General Fund	113,911,000	123,441,000	9,530,000
Special Revenue Funds - Federal	219,000,000	219,000,000	0
Special Revenue Funds - Other	6,000,000	6,000,000	0
Temporary and Disability Assistance Administration			
General Fund	218,182,000	194,598,000	(23,584,000)
Temporary and Disability Assistance Programs			
General Fund	1,167,800,000	905,653,000	(262,147,000)
Special Revenue Funds - Federal	2,036,200,000	2,098,000,000	61,800,000
Special Revenue Funds - Other	1,000,000	324,000,000	323,000,000
Fiduciary Funds	10,000,000	10,000,000	0
Transitional Supports and Policy, Division of			
General Fund	120,575,000	125,750,000	5,175,000
Special Revenue Funds - Federal	61,500,000	53,500,000	(8,000,000)
Special Revenue Funds - Other	10,000,000	10,000,000	0
Community Projects			
General Fund	2,500	0	(2,500)
Total	<u>4,197,958,500</u>	<u>4,307,792,000</u>	<u>109,833,500</u>

## **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Information Management Technology Program				
Capital Projects Fund	0	0	0	361,000
Supported Housing Program				
Capital Projects Fund	0	0	0	12,250,000
Total	<u>0</u>	<u>0</u>	<u>0</u>	<u>12,611,000</u>

# **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 2001-02. 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 \$780 million in support of agency operations and programs. Of this amount, over \$98 million will be available to support administration of State and federal student aid programs and \$682 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 \$9.6 million is recommended for administration of State grants and scholarships. Over \$88 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 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 \$682 million invested in financial aid and institutional grants, General Fund dollars account for nearly \$673 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 2001-02 through investments in enhanced employee skills, modern technological infrastructure, and streamlined administrative practices. In addition to a renewed emphasis on providing

## **HIGHER EDUCATION SERVICES**

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comprehensive services to its clientele, the Corporation continues to develop partnerships with other student loan guaranty agencies to streamline costs, improve services, and increase responsiveness through shared development efforts.

### **FINANCIAL AID PROGRAMS**

The 2001-02 recommended appropriation for the Tuition Assistance Program (TAP) is continued at \$636 million. This level of funding reflects continuation of enhancements made to the TAP program in 2000-01, offset by reduced program expenditures attributable to a natural decline in program participation due to the strong State economy. As a result of increases in family incomes and favorable employment opportunities, the number of TAP recipients is expected to decline in the coming year.

Significant TAP enhancements were enacted in 2000-01, many of which are scheduled for implementation in 2001-02. These include:

- providing the higher TAP maximum award level of \$5,000 to another group of first-time TAP recipients;
- eliminating the tuition cap applied to public university students; and
- lessening the award reduction for upper division recipients.

A total of \$14 million will support 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**

In the coming year, the Corporation will launch several e-commerce/e-government initiatives to streamline administrative operations and to provide enhanced services to students, parents and colleges. These initiatives will simplify the application process by enabling students to apply for financial aid and loans through the Internet. Additionally, student award eligibility confirmations from colleges and award payments made to colleges on behalf of students will be accelerated through the use of enhanced computer technology.

In 2001-02, the Corporation will continue to coordinate the State's participation in the 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. Recently, ten school and community groups were awarded over \$10 million under New York GEAR UP to provide participating middle and high school students with mentoring, counseling, outreach, and support services designed to encourage them to prepare for higher education. The Corporation's GEAR UP staff coordinates 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 the Corporation's operational responsibility is the administration of the Federal Family Education Loan program. Under this program, the Corporation guarantees over \$12.3 billion in outstanding loans made by banks to students. When banks are unable to collect student loan repayments, the Corporation intervenes to avert

default. If these default aversion efforts are unsuccessful, defaulted loans are purchased from banks and steps 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:

- \$3.0 billion in new guaranteed loans estimated for 2000-01;
- Processing of student loans for more than 454,000 individual borrowers; and
- Projected defaulted loan collections of \$199 million and defaulted loan purchases of \$187 million in 2000-01.

### **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: \$636 million in aid will be provided to recipients 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: nearly 5,200 recipients are projected to receive aid for special employment preparation or targeted needs under fourteen State and Federal programs; 32,000 Scholarships for Academic Excellence will be available in 2001-02 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 with accompanying 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, over 101,000 accounts have been opened, with contributions exceeding \$521 million. New York's program has already received national recognition as one of the top college savings plans in the nation.

Recent improvements to encourage even greater participation in the College Choice program include: investment options for new participants; reduced paperwork for married couples who previously were required to open separate savings account to take full advantage of the tax benefits; and elimination of the penalty for early withdrawals upon the death or disability of the beneficiary.



# HIGHER EDUCATION SERVICES

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	96,337,000	98,262,000	1,925,000	3,500,000
Aid To Localities	682,348,000	682,348,000	0	0
Capital Projects	0	0	0	0
Total	<u>778,685,000</u>	<u>780,610,000</u>	<u>1,925,000</u>	<u>3,500,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	47	47	0
Special Revenue Funds - Other	246	246	0
Guaranteed Loan Programs			
Special Revenue Funds - Other	442	442	0
Grants and Scholarships			
General Fund	95	95	0
Total	<u>830</u>	<u>830</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	10,007,000	9,593,000	(414,000)
Special Revenue Funds - Federal	3,930,000	5,000,000	1,070,000
Special Revenue Funds - Other	82,400,000	83,669,000	1,269,000
Total	<u>96,337,000</u>	<u>98,262,000</u>	<u>1,925,000</u>

### Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(582,000)
Special Revenue Funds - Other	(3,297,000)
Appropriated 2000-01	<u>92,458,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	5,351,000	5,006,000	(345,000)
Special Revenue Funds - Other	31,703,000	34,422,000	2,719,000
Guaranteed Loan Programs			
Special Revenue Funds - Federal	3,930,000	5,000,000	1,070,000
Special Revenue Funds - Other	50,697,000	49,247,000	(1,450,000)
Grants and Scholarships			
General Fund	4,656,000	4,587,000	(69,000)
Total	<u>96,337,000</u>	<u>98,262,000</u>	<u>1,925,000</u>

# HIGHER EDUCATION SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	2,383,000	(321,000)	2,353,000	(328,000)
Grants and Scholarships	3,716,000	371,000	3,681,000	370,000
Total	<u>6,099,000</u>	<u>50,000</u>	<u>6,034,000</u>	<u>42,000</u>

<u>Program</u>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	0	30,000	7,000
Grants and Scholarships	35,000	1,000	0	0
Total	<u>35,000</u>	<u>1,000</u>	<u>30,000</u>	<u>7,000</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	2,623,000	(24,000)	162,000	(8,000)
Grants and Scholarships	871,000	(440,000)	25,000	(17,000)
Total	<u>3,494,000</u>	<u>(464,000)</u>	<u>187,000</u>	<u>(25,000)</u>

<u>Program</u>	<b>Travel</b>		<b>Contractual Services</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	40,000	35,000	2,388,000	(50,000)
Grants and Scholarships	18,000	13,000	803,000	(446,000)
Total	<u>58,000</u>	<u>48,000</u>	<u>3,191,000</u>	<u>(496,000)</u>

<u>Program</u>	<b>Equipment</b>	
	<u>Amount</u>	<u>Change</u>
Administration	33,000	(1,000)
Grants and Scholarships	25,000	10,000
Total	<u>58,000</u>	<u>9,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<b>Total</b>		<b>Personal Service</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	34,422,000	2,719,000	9,748,000	976,000
Guaranteed Loan Programs	54,247,000	(380,000)	18,447,000	(1,450,000)
Total	<u>88,669,000</u>	<u>2,339,000</u>	<u>28,195,000</u>	<u>(474,000)</u>

<u>Program</u>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	24,174,000	1,743,000	500,000	0
Guaranteed Loan Programs	30,800,000	0	5,000,000	1,070,000
Total	<u>54,974,000</u>	<u>1,743,000</u>	<u>5,500,000</u>	<u>1,070,000</u>

# HIGHER EDUCATION SERVICES

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	672,948,000	672,948,000	0
Special Revenue Funds - Federal	2,400,000	2,400,000	0
Special Revenue Funds - Other	7,000,000	7,000,000	0
Total	<u>682,348,000</u>	<u>682,348,000</u>	<u>0</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Scholarships and Fellowships			
General Fund	21,918,000	21,918,000	0
Special Revenue Funds - Other	7,000,000	7,000,000	0
State Grant Programs			
General Fund	636,400,000	636,400,000	0
Special Revenue Funds - Federal	2,400,000	2,400,000	0
Tuition Awards for Part-Time Students			
General Fund	14,630,000	14,630,000	0
Total	<u>682,348,000</u>	<u>682,348,000</u>	<u>0</u>

# **DEPARTMENT OF LABOR**

## **MISSION**

The Department of Labor (DOL) helps prospective employees to acquire the work skills most in demand in the economy so that they can be hired into good jobs with opportunity for growth and advancement. The Department also enforces regulations that maintain safety and health in the workplace and ensure fair compensation, and administers Federal Unemployment Insurance benefits for people who have lost jobs through no fault of their own.

## **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. This office oversees the work of eight employment service regional offices and 71 Employment Service Centers located throughout the State. In addition, through nine worker protection district offices, the Department enforces child labor laws, fosters workplace health and safety, and ensures 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 4,575 employees in SFY 2001-02. 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. Recommended State Operations appropriations are adjusted to better reflect actual Federal grant awards with no reduction in year-to-year program spending.

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 Youth Education, Employment and Training program (YEETP) contracts that serve economically disadvantaged youth. In addition, General Fund and TANF appropriations totaling \$2,301,400 will continue support for Green Teams program contracts that provide vocational training and work experience for approximately 400 youth and 50 adults.

Excluding the \$2.5 billion Unemployment Insurance Benefit Fund, Federal funds support approximately 93 percent of the Department's remaining 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) job training services. Federally funded local assistance appropriation authority includes \$332 million for WIA services.

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. In SFY 2001-02, a new \$100 million of TANF funds will be made available to social services districts and State agencies to support work activities through DOL and

## **LABOR**

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transitional services through the Office of Temporary and Disability Assistance. This new funding will complement prior-year set-asides for initiatives, such as InVEST and the New York Works Block Grant, which will remain available for expenditure in the forthcoming fiscal year. The new \$100 million, as well as these existing programs, is structured so that it can provide services to eligible individuals and families with incomes that do not exceed 200% of the Federal poverty level, thus providing an important focus on avoiding welfare dependency through work.

Federal appropriations also include funding to assist families that are the victims of natural disasters.

Fee revenues support approximately two 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 72 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 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)**

The Federal Workforce Investment Act (WIA), provides job training to youth, adults, and dislocated workers. WIA also upgrades the skills of those currently working, thus helping employers meet the changing needs of their business operations. Eligible participants access WIA services through a network of local One-Stop Centers for the

delivery of employment and training services. WIA also improves customer choice and program effectiveness, as participants can choose training providers based on past performance through the use of individual training accounts.

The State Workforce Investment Board, established in 1999, assists 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 19,665 amusement park devices, 923 ski lifts, 7,272 places of public assembly (e.g., bleachers at concerts), and 35,068 commercial boilers. It also reviewed applications for 817 Radioactive Materials licenses and 55,155 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 1,050 businesses for compliance with child labor laws and collected almost \$13 million in back wages, unpaid fringe benefits, and minimum wage underpayments for approximately 20,441 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 9,586 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 four Tele-Claims Centers located in Troy, Endicott, and two sites in New York City that currently process about 85 percent of the statewide initial claims workload. 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	3,198,489,500	3,119,275,400	(79,214,100)	731,379,100
Aid To Localities	354,102,700	341,563,900	(12,538,800)	1,029,776,000
Capital Projects	0	0	0	0
Total	<u>3,552,592,200</u>	<u>3,460,839,300</u>	<u>(91,752,900)</u>	<u>1,761,155,100</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	75	75	0
Special Revenue Funds - Federal	3,935	3,935	0
Employment Relations Board			
General Fund	16	16	0
Employment and Training			
General Fund	48	48	0
Special Revenue Funds - Other	74	74	0
Labor Standards			
General Fund	21	21	0
Special Revenue Funds - Other	197	197	0
Occupational Safety and Health			
Special Revenue Funds - Other	209	209	0
Total	<u>4,575</u>	<u>4,575</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	12,192,700	11,951,500	(241,200)
Special Revenue Funds - Federal	636,277,500	554,873,900	(81,403,600)
Special Revenue Funds - Other	50,019,300	52,450,000	2,430,700
Fiduciary Funds	2,500,000,000	2,500,000,000	0
Total	<u>3,198,489,500</u>	<u>3,119,275,400</u>	<u>(79,214,100)</u>

### Adjustments:

Transfer(s) From	
Labor, Department of	
General Fund	(142,100)
Special Revenue Funds - Federal	(1,659,100)
Special Pay Bill	
General Fund	(860,000)
Special Revenue Funds - Federal	(20,102,000)
Special Revenue Funds - Other	(652,000)
Transfer(s) To	
Labor, Department of	
Special Revenue Funds - Other	1,801,200
Appropriated 2000-01	<u>3,176,875,500</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	5,349,800	5,509,600	159,800
Special Revenue Funds - Federal	602,118,500	518,830,900	(83,287,600)
Employment Relations Board			
General Fund	2,134,900	2,172,700	37,800
Employment and Training			
General Fund	3,620,000	3,199,400	(420,600)
Special Revenue Funds - Federal	59,000	443,000	384,000
Special Revenue Funds - Other	12,736,000	12,954,300	218,300
Labor Standards			
General Fund	1,088,000	1,069,800	(18,200)
Special Revenue Funds - Other	12,806,300	13,160,200	353,900
Occupational Safety and Health			
Special Revenue Funds - Other	24,477,000	26,335,500	1,858,500
Unemployment Insurance Benefit Fund			
Special Revenue Funds - Federal	34,100,000	35,600,000	1,500,000
Expendable Trust Funds	<u>2,500,000,000</u>	<u>2,500,000,000</u>	<u>0</u>
Total	<u>3,198,489,500</u>	<u>3,119,275,400</u>	<u>(79,214,100)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	3,872,800	47,200	3,872,800	47,200
Employment Relations Board	1,183,900	21,600	1,167,200	21,600
Employment and Training	915,200	16,700	915,200	16,700
Labor Standards	961,000	19,900	961,000	19,900
Total	<u>6,932,900</u>	<u>105,400</u>	<u>6,916,200</u>	<u>105,400</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Administration	0	0
Employment Relations Board	16,700	0
Employment and Training	0	0
Labor Standards	0	0
Total	<u>16,700</u>	<u>0</u>



# LABOR

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,636,800	112,600	116,300	3,400
Employment Relations Board	988,800	16,200	19,200	600
Employment and Training	2,284,200	(437,300)	37,000	1,100
Labor Standards	108,800	(38,100)	5,700	200
<b>Total</b>	<b>5,018,600</b>	<b>(346,600)</b>	<b>178,200</b>	<b>5,300</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	73,400	2,100	984,500	97,200
Employment Relations Board	65,900	1,900	401,600	13,600
Employment and Training	25,500	700	16,100	500
Labor Standards	7,800	200	77,700	(39,000)
<b>Total</b>	<b>172,600</b>	<b>4,900</b>	<b>1,479,900</b>	<b>72,300</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	103,600	3,000	359,000	6,900
Employment Relations Board	2,100	100	500,000	0
Employment and Training	25,200	700	2,180,400	(440,300)
Labor Standards	17,600	500	0	0
<b>Total</b>	<b>148,500</b>	<b>4,300</b>	<b>3,039,400</b>	<b>(433,400)</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	518,830,900	(83,287,600)	0	0
Employment and Training	13,397,300	602,300	0	(44,000)
Labor Standards	13,160,200	353,900	8,639,500	155,500
Occupational Safety and Health	26,335,500	1,858,500	11,654,100	(273,200)
Unemployment Insurance Benefit Fund	2,535,600,000	1,500,000	0	0
<b>Total</b>	<b>3,107,323,900</b>	<b>(78,972,900)</b>	<b>20,293,600</b>	<b>(161,700)</b>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	0	0	518,830,900	(83,287,600)
Employment and Training	0	(15,000)	13,397,300	661,300
Labor Standards	2,954,500	132,200	1,566,200	66,200
Occupational Safety and Health	12,681,400	131,700	2,000,000	2,000,000
Unemployment Insurance Benefit Fund	0	0	2,535,600,000	1,500,000
<b>Total</b>	<b>15,635,900</b>	<b>248,900</b>	<b>3,071,394,400</b>	<b>(79,060,100)</b>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	12,505,700	4,690,700	(7,815,000)
Special Revenue Funds - Federal	341,352,000	336,628,200	(4,723,800)
Special Revenue Funds - Other	245,000	245,000	0
<b>Total</b>	<b>354,102,700</b>	<b>341,563,900</b>	<b>(12,538,800)</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Employment and Training			
General Fund	9,210,700	4,690,700	(4,520,000)
Special Revenue Funds - Federal	341,352,000	336,628,200	(4,723,800)
Occupational Safety and Health			
Special Revenue Funds - Other	245,000	245,000	0
Community Projects			
General Fund	<u>3,295,000</u>	<u>0</u>	<u>(3,295,000)</u>
Total	<u>354,102,700</u>	<u>341,563,900</u>	<u>(12,538,800)</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 in accordance with constitutional provisions for the supervision, review and equalization of local assessments for purposes of taxation.

## **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 the responsibility of an Executive Director appointed by the Board. 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 2001-02 Executive Budget will support a staffing level of 460 positions for the Office of Real Property Services. State tax dollars from the General Fund will support 72 percent of these positions, with the remaining 28 percent supported by various fees.

General Fund appropriations of \$26.8 million will finance 62 percent of the Office's \$43.5 million operating budget in 2001-02. 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 2001-02 include:

- State aid of \$12 million for local administration of the School Tax Relief (STAR) program, including Governor Pataki's new program — Co-STAR — which would provide county tax relief for senior citizens and farmers, and \$7.5 million for the State's administrative responsibilities;
- An increase of \$2.7 million, for a total of \$9.0 million, for financial incentives for local governments to conduct annual updates of their assessment rolls pursuant to the higher standards enacted in 1999;
- Funding of \$4.7 million to fully compensate local governments for the revenue reductions attributable to the proposed Rail Access Tax Incentive program; and
- A technology initiative of \$750,000 to expand the use of computer and communication technology to modernize property tax administration.

## **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, towns, villages, school districts and other municipalities. 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

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and 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.

### **EQUALIZATION 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 audit procedures and 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 1,000 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 prepares 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.

Increased coordination between the Office and local assessing units, as well as improvements in local assessment and reporting practices, has resulted in several notable accomplishments in the equalization program. Recent accomplishments include the following:

- In 2000, the assessment ratios supplied by 30 percent of local assessors were adopted without change as State equalization rates and that rate of adoption is expected to increase to 45 percent in 2001;
- Preparation of equalization rates has been accelerated so that almost half of the school districts can now use current equalization rates for school tax levy, instead of using modified rates from prior years. By 2003, current rates will be available to all school districts in the State;
- The number of complaints on preliminary equalization rates by local officials has dropped, resulting in reduced cost for hearing rate complaints and better State-local relations. Only 60 local governments filed complaints in 2000, compared to 350 a decade ago;
- The Office now relies solely on residential sales data for equalization in nearly half of the assessing units, thus reducing the need for costly appraisals by State employees; and
- Cost of the equalization program has been reduced from more than \$17 million in 1995-96 to \$14 million in 2000-01.

### **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:

## **REAL PROPERTY SERVICES**

- 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 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, 75 towns in 19 counties have come together to form 32 coordinated assessment programs.

### **OTHER SERVICES AND RESPONSIBILITIES**

The Office of Real Property Services maintains inventory and valuation data on approximately 4 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 (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	39,460,400	43,501,000	4,040,600	0
Aid To Localities	18,600,000	26,000,000	7,400,000	0
Capital Projects	0	0	0	0
Total	<u>58,060,400</u>	<u>69,501,000</u>	<u>11,440,600</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2000-01	2001-02	FTE Change
	Estimated FTEs 03/31/01	Estimated FTEs 03/31/02	
Policy and Organizational Support Services			
General Fund	203	203	0
Special Revenue Funds - Other	47	47	0
Regional Operations			
General Fund	122	122	0
Special Revenue Funds - Other	83	83	0
School District Income Verification			
General Fund	5	5	0
Total	<u>460</u>	<u>460</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	23,158,400	26,841,000	3,682,600
Special Revenue Funds - Other	16,302,000	16,660,000	358,000
Total	<u>39,460,400</u>	<u>43,501,000</u>	<u>4,040,600</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(1,527,000)		
Special Revenue Funds - Other	(807,000)		
Appropriated 2000-01	<u>37,126,400</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Policy and Organizational Support Services			
General Fund	16,481,200	20,164,000	3,682,800
Special Revenue Funds - Other	4,438,900	4,482,000	43,100
Regional Operations			
General Fund	6,430,900	6,431,000	100
Special Revenue Funds - Other	11,863,100	12,178,000	314,900
School District Income Verification			
General Fund	246,300	246,000	(300)
Total	<u>39,460,400</u>	<u>43,501,000</u>	<u>4,040,600</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Policy and Organizational Support Services	9,363,000	(1,067,600)	9,363,000	(1,067,600)
Regional Operations	6,342,300	100	6,342,300	100
School District Income Verification	195,000	0	195,000	0
Total	<u>15,900,300</u>	<u>(1,067,500)</u>	<u>15,900,300</u>	<u>(1,067,500)</u>

## REAL PROPERTY SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Policy and Organizational Support Services	10,801,000	4,750,400	253,100	400
Regional Operations	88,700	0	70,160	0
School District Income Verification	51,000	(300)	0	0
Total	<u>10,940,700</u>	<u>4,750,100</u>	<u>323,260</u>	<u>400</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Policy and Organizational Support Services	368,200	0	1,234,600	0
Regional Operations	18,540	0	0	0
Total	<u>386,740</u>	<u>0</u>	<u>1,234,600</u>	<u>0</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Policy and Organizational Support Services	695,100	0	8,250,000	4,750,000
School District Income Verification	51,000	(300)	0	0
Total	<u>746,100</u>	<u>(300)</u>	<u>8,250,000</u>	<u>4,750,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Policy and Organizational Support Services	4,482,000	43,100	2,903,500	(100)
Regional Operations	12,178,000	314,900	4,474,000	100
Total	<u>16,660,000</u>	<u>358,000</u>	<u>7,377,500</u>	<u>0</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Policy and Organizational Support Services	1,578,500	43,200	0	0
Regional Operations	6,454,000	64,800	1,250,000	250,000
Total	<u>8,032,500</u>	<u>108,000</u>	<u>1,250,000</u>	<u>250,000</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	18,600,000	26,000,000	7,400,000
Total	<u>18,600,000</u>	<u>26,000,000</u>	<u>7,400,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Policy and Organizational Support Services			
General Fund	18,600,000	26,000,000	7,400,000
Total	<u>18,600,000</u>	<u>26,000,000</u>	<u>7,400,000</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 post secondary 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 35,000 full-time equivalent positions consisting of 21,900 positions that are supported through a combination of State tax dollars and tuition revenues and 13,100 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 2001-02 Executive Budget recommends over \$3.8 billion to support the operations of the State University's campuses, central administration and University-wide programs. In addition to over \$1.2 billion in support from the General Fund (\$1.1 billion for operations and \$110 million for certain fringe benefit costs), the University's budget includes nearly \$2.6 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 2001-02 academic year is \$1.784 billion, representing a net year-to-year increase of \$41.8 million. This net amount reflects a \$55.2 million increase which supports collective bargaining requirements, inflation, full-time faculty and other priority increases identified by the Trustees. The campuses also have the ability to supplement their operating budget funds from tuition revenues generated by student enrollment growth.

The Budget anticipates no increase in existing undergraduate resident tuition rates. The Budget also will propose 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 2001-02, federal appropriations totaling nearly \$139 million will support the Pell grant program and various other student financial aid programs, while fiduciary fund appropriations totaling \$58 million support low-interest loans to needy students and the expenditure of earnings on SUNY endowment funds.

### **SUNY HOSPITALS**

The SUNY hospitals, like other teaching hospitals across the nation, have experienced financial pressures caused, in large part, by reductions in Medicare payments and the growth of managed care. The fiscal challenges facing the SUNY hospitals have been further exacerbated by their inability to respond quickly to changing marketplace demands due to their State agency status. In this past year, a nationally recognized health care consulting firm completed its assessment of the financial condition of SUNY's teaching hospitals and recommended a series of actions to ensure the continued fiscal viability of these three hospitals. In response to the consultant's recommendations, the SUNY hospitals have developed financially-driven strategic plans for achieving self-sufficiency over a five-year period. These plans include an array of actions to achieve operational savings, and specific strategic investments to generate additional revenues.

The 2001-02 Budget recommends restructuring the appropriation structure for the SUNY hospitals to display more accurately their operating costs and revenues. All hospitals' spending will be appropriated in one account with the hospitals being responsible for directly paying their fringe benefit and debt service costs. By structuring the hospital appropriations in this manner, the SUNY hospitals will be directly accountable for operating within their available revenues, including a fixed State subsidy amount.

The SUNY hospitals will be provided a State subsidy of approximately \$92 million — an increase of \$51 million to recognize costs attributable to their State agency status. The State will also provide \$15 million as its share of a multi-year effort by the SUNY hospitals and the State to address the accumulated hospital deficit.

With the enactment of Chapter 363 of the Laws of 1998, the SUNY hospitals were given additional tools — the 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 and enhance their revenues. This legislation represented a step forward in providing operational flexibility for the SUNY hospitals. However, even greater flexibility is needed to assure that the SUNY hospitals are able to achieve self-sufficiency. Accordingly, legislation accompanying this budget proposes specific flexibility measures to promote improved hospital cost-efficiency. In addition, SUNY will be developing approaches for providing the hospitals with enhanced access to capital financing.

**COMMUNITY COLLEGES**

SUNY community colleges have three primary funding sources — State aid, support from local sponsors and tuition revenue. Recommended State aid of \$325 million includes an increase of \$5.8 million to fully fund the \$125 per full-time student base aid enhancement provided for the 2000-01 academic year as well as an increase of \$3.5 million to reflect enrollment growth at the community colleges.

The overall year-to-year funding is a net increase of \$1.4 million when factoring in the proposed elimination of the Fashion Institute of Technology (FIT) chargeback reimbursement program (\$3.1 million) and legislative adds (\$5.0 million). Components of State aid include: basic operating aid (\$315 million), rental aid (\$4.9 million), child care (\$1.1 million), workforce training (\$1.0 million) and reimbursement to counties outside New York City for remaining 1999-2000 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 \$3.9 million in continued State support for this program.

**CAPITAL**

The 2001-02 Executive Budget recommendations represent the fourth year of the Governor's Capital Investment Program that will provide over \$2 billion for facility and infrastructure improvements at SUNY State-operated and community college campuses, consistent with needs and priorities established by the University. In addition, the Executive Budget includes \$185 million in new appropriation authority for the first year of a new multi-year capital investment program for SUNY's Residence Hall Program. This new capital investment — which is entirely supported by dormitory room rents — will enable SUNY campuses to continue with needed dormitory repairs and renovations, as well as the retrofitting of older dormitories with integrated fire/smoke detection and alarm systems consistent with recommendations of the Governor's Task Force on Campus Fire Safety.

Overall capital recommendations for State-operated and community colleges total nearly \$501 million, including nearly \$429 million in bonded projects and \$72 million in hard dollar capital funding for academic and other facilities. Within overall bonded funding, \$394 million is provided for State-operated campuses, consisting of \$239 million for educational facilities and SUNY hospitals and \$155 million for residence hall projects. Recommended capital spending will address critical health, safety and preservation needs, as well as the construction and renovation of facilities necessary to meet the educational mission of the University.

Community college capital projects are funded through State aid and direct sponsor support. Recommendations for 2001-02 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 5,600 degree programs from research universities, community colleges, medical schools and colleges of technology among its 64 campuses. The State University

## STATE UNIVERSITY

enrolls over 40 percent of college-bound students graduating from New York State high schools. More than 373,000 full-time and part-time SUNY students — 192,800 at State-operated campuses and 180,300 in community colleges — are pursuing studies ranging from one-year certificate programs to a doctorate.

More than ever before, the University is focusing its attention on the pursuit of educational excellence and academic achievement. SUNY has recently completed a comprehensive review of the academic missions and goals of each of its 64 institutions, from community colleges to university centers. This effort has established individual goals for campuses in terms of enrollment, student mix, retention and graduation rates, research, and other key indicators of institutional vitality and success. The University implemented a new general education curriculum in the Fall of 2000, and is continuing its efforts to facilitate student transfer from SUNY community colleges to baccalaureate level institutions.

The University is also working to raise the profile and volume of the scholarly research conducted by its faculty, and is more aggressively — and successfully — seeking federal and other external support for research.

The State University has also embarked upon significant initiatives in the area of technology that will place it at the forefront of higher educational institutions across the nation. For example, *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. Additionally, the SUNY Learning Network, a national leader in online learning, will offer 1,500 courses via the Internet this year and more than 30 degree programs completely online. In 2000-01, over 8,800 students have taken coursework through this innovative network.

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 have 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 college-bound students, the State University continues to elevate its ranking among the nation's finest public universities.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	3,682,055,000	3,860,063,000	178,008,000	92,200,000
Aid To Localities	328,061,000	328,485,000	424,000	0
Capital Projects	0	185,000,000	185,000,000	2,067,149,000
Total	<u>4,010,116,000</u>	<u>4,373,548,000</u>	<u>363,432,000</u>	<u>2,159,349,000</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,194,139,000	1,231,198,000	37,059,000
Special Revenue Funds - Federal	136,150,000	138,650,000	2,500,000
Special Revenue Funds - Other	2,295,643,000	2,426,415,000	130,772,000
Internal Service Funds	5,000,000	6,000,000	1,000,000
Fiduciary Funds	<u>51,123,000</u>	<u>57,800,000</u>	<u>6,677,000</u>
Total	<u>3,682,055,000</u>	<u>3,860,063,000</u>	<u>178,008,000</u>

Adjustments:

Recommended Deficiency			
State University of New York			
Special Revenue Funds - Other	(96,800,000)		
Transfer(s) From			
General State Charges			
General Fund	(81,285,000)		
Special Pay Bill			
General Fund	(44,542,000)		
Special Revenue Funds - Other	(20,956,000)		
Expendable Trust Funds	(23,000)		
Agency Trust Funds	(4,687,000)		
State University of New York			
General Fund	(24,911,000)		
Special Revenue Funds - Other	(116,200,000)		
Transfer(s) To			
State University of New York			
General Fund	116,200,000		
Special Revenue Funds - Other	<u>24,911,000</u>		
Appropriated 2000-01	<u>3,433,762,000</u>		

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	328,061,000	328,485,000	424,000
Total	<u>328,061,000</u>	<u>328,485,000</u>	<u>424,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Colleges			
General Fund	323,253,400	324,622,000	1,368,600
County Cooperative Extension Program - Cornell University			
General Fund	3,862,600	3,863,000	400
Community Projects			
General Fund	<u>945,000</u>	<u>0</u>	<u>(945,000)</u>
Total	<u>328,061,000</u>	<u>328,485,000</u>	<u>424,000</u>

# STATE UNIVERSITY

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Senior Universities				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	128,211,000
Capital Projects Fund - Advances	0	0	0	1,435,442,000
Program Changes - Expansion and Improvements				
Capital Projects Fund - Advances	0	0	0	0
State University Capital Projects Fund				
State University Capital Projects Fund	0	0	0	120,287,000
State University Residence Hall Rehabilitation Fund				
State University Residence Hall Rehabilitation Fund	0	185,000,000	185,000,000	81,484,000
Subtotal	<u>0</u>	<u>185,000,000</u>	<u>185,000,000</u>	<u>1,765,424,000</u>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	26,898,000
Capital Projects Fund - Advances	0	0	0	255,161,000
State University Residence Hall Rehabilitation Fund				
Capital Projects Fund - Advances	0	0	0	0
New Facilities				
Capital Projects Fund - Advances	0	0	0	19,666,000
Subtotal	<u>0</u>	<u>0</u>	<u>0</u>	<u>301,725,000</u>
<b>Total</b>	<u><u>0</u></u>	<u><u>185,000,000</u></u>	<u><u>185,000,000</u></u>	<u><u>2,067,149,000</u></u>

# **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 for 2001-02 is maintained at 113 positions. 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 2001-02 Executive Budget recommendation of \$10,900,000, an increase of \$900,000, will enable the Fund to continue the implementation of SUNY's 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. The recommended appropriation levels and bonding authority are sufficient to allow the University to implement the comprehensive multi-year construction program that addresses both the current and future capital needs of the University.

As of March 31, 2000, the Fund has completed more than 4,200 academic, dormitory and dining hall capital projects with a replacement value exceeding \$12.2 billion. During the 2000-01 fiscal year, the Fund initiated the design of 197 projects for a total value of \$129 million and began construction of 142 projects at an estimated cost of \$249 million.

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.
- Preparation of the State University's annual capital budget request and facility program.
- Development and maintenance of energy conservation and telecommunications programs.



## STATE UNIVERSITY CONSTRUCTION

- 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 other programs.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2000-01	Appropriations Recommended 2001-02	Change	Reappropriations Recommended 2001-02
State Operations	10,826,000	10,900,000	74,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	10,826,000	10,900,000	74,000	0

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
Special Revenue Funds - Other	10,826,000	10,900,000	74,000
Total	10,826,000	10,900,000	74,000

Adjustments:

Transfer(s) From	
Special Pay Bill	
Special Revenue Funds - Other	(826,000)
Appropriated 2000-01	10,000,000

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Administration			
Special Revenue Funds - Other	10,826,000	10,900,000	74,000
Total	10,826,000	10,900,000	74,000

# **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 districts, 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 a Deputy Inspector General, a Chief Investigator, staff attorney, fraud investigators 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 2001-02, which is consistent with SFY 2000-01 staffing levels.

## **BUDGET HIGHLIGHTS**

The SFY 2001-02 General Fund support for the Office of Welfare Inspector General is \$651,000. This represents an increase of \$70,000 compared with SFY 2000-01 levels. The increase is largely due to the annualization of costs associated with moving to a new location in New York City. Approximately 63 percent of the Office's operations are supported by the General Fund and the remaining 37 percent are supported by funds the agency receives from the Federal government for fraud investigations related to welfare, Food Stamps and Medicaid.

## **PROGRAM HIGHLIGHTS**

The Office of Welfare Inspector General is pursuing an aggressive anti-fraud campaign supported, in part, by provisions of the State Welfare Reform Act of 1997 which provided more effective tools to combat welfare fraud.

In 2000, 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 investigations of internal corruption within social services districts and welfare contractors. The Office works with the Department of Law to strengthen welfare fraud prosecution

## **WELFARE INSPECTOR GENERAL**

and also acts directly through its prosecutions 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 (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	951,000	1,021,000	70,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>951,000</u>	<u>1,021,000</u>	<u>70,000</u>	<u>0</u>

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

#### **Full-Time Equivalent Positions (FTE)**

<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Welfare Inspector General, Office of the General Fund	11	11	0
Total	<u>11</u>	<u>11</u>	<u>0</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	581,000	651,000	70,000
Special Revenue Funds - Other	<u>370,000</u>	<u>370,000</u>	<u>0</u>
Total	<u>951,000</u>	<u>1,021,000</u>	<u>70,000</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	<u>(59,000)</u>		
Appropriated 2000-01	<u>892,000</u>		

### **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Welfare Inspector General, Office of the General Fund	581,000	651,000	70,000
Special Revenue Funds - Other	<u>370,000</u>	<u>370,000</u>	<u>0</u>
Total	<u>951,000</u>	<u>1,021,000</u>	<u>70,000</u>

# WELFARE INSPECTOR GENERAL

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	788,000	41,000	788,000	41,000
Total	<u>788,000</u>	<u>41,000</u>	<u>788,000</u>	<u>41,000</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	233,000	29,000	60,000	0
Total	<u>233,000</u>	<u>29,000</u>	<u>60,000</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	14,000	0	157,000	29,000
Total	<u>14,000</u>	<u>0</u>	<u>157,000</u>	<u>29,000</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	2,000	0
Total	<u>2,000</u>	<u>0</u>



***HEALTH,  
MENTAL HYGIENE  
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 2001-02, the APA will have a workforce of 64 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Agency's fiscal year 2001-02 operating costs will be funded with State tax dollars and Federal grant moneys. The Executive Budget recommends funding of \$4,345,000 in General Fund support for the Agency's operations and the continuation of \$300,000 in Federal funds for the New York State Scenic Byways Program project to enhance the Route 73 corridor. The Agency's 2001-02 capital infrastructure needs will be addressed by a \$1,500,000 capital appropriation to be suballocated from the Department of Environmental Conservation to address health and safety and building access needs at APA's administrative headquarters in Raybrook. 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	4,315,700	4,295,000	(20,700)	764,000
Aid To Localities	50,000	50,000	0	0
Capital Projects	0	0	0	0
Total	<u>4,365,700</u>	<u>4,345,000</u>	<u>(20,700)</u>	<u>764,000</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	64	64	0
Total	<u>64</u>	<u>64</u>	<u>0</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	4,015,700	4,295,000	279,300
Special Revenue Funds - Federal	300,000	0	(300,000)
Total	<u>4,315,700</u>	<u>4,295,000</u>	<u>(20,700)</u>

Adjustments:	
Transfer(s) From	
Special Pay Bill	
General Fund	(270,000)
Appropriated 2000-01	<u>4,045,700</u>

# ADIRONDACK PARK AGENCY

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	4,015,700	4,295,000	279,300
Special Revenue Funds - Federal	300,000	0	(300,000)
Total	<u>4,315,700</u>	<u>4,295,000</u>	<u>(20,700)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	3,733,000	259,300	3,589,800	259,300
Total	<u>3,733,000</u>	<u>259,300</u>	<u>3,589,800</u>	<u>259,300</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	139,500	0	3,700	0
Total	<u>139,500</u>	<u>0</u>	<u>3,700</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	562,000	20,000	83,500	0
Total	<u>562,000</u>	<u>20,000</u>	<u>83,500</u>	<u>0</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	44,500	0	409,900	20,000
Total	<u>44,500</u>	<u>0</u>	<u>409,900</u>	<u>20,000</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration	24,100	0
Total	<u>24,100</u>	<u>0</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	(300,000)	0	(300,000)
Total	<u>0</u>	<u>(300,000)</u>	<u>0</u>	<u>(300,000)</u>

# ADIRONDACK PARK AGENCY

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	50,000	50,000	0
Total	<u>50,000</u>	<u>50,000</u>	<u>0</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	50,000	50,000	0
Total	<u>50,000</u>	<u>50,000</u>	<u>0</u>

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

## ***MISSION***

The primary mission of the Office of Advocate for Persons with Disabilities (APD) is to promote the inclusion of persons with disabilities in all aspects of community life. The agency ensures that persons with disabilities are afforded the opportunity to exercise the full range of the rights and responsibilities accorded to all residents of New York State. In addition, APD plays an active role in developing innovative opportunities and supports that respond to the needs of New Yorkers with disabilities.

## ***ORGANIZATION AND STAFFING***

Headed by the State Advocate who is appointed by the Governor, the Agency is headquartered in Albany. APD will have a workforce of 19 positions for 2001-02. 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 2001-02 All Funds Executive Budget recommendation of \$1,590,000 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.

## ***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) and a website. It is anticipated that more than 65,000 individuals will utilize these services in 2001-02.

The agency's Federally funded Technology Related-Assistance for Individuals with Disabilities (TRAID) Project supports a statewide system that 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 thirteen Regional TRAIID Centers at fifteen sites, which are funded collaboratively with the Department of Health. During 2000, these Regional TRAIID Centers provided awareness training, device demonstrations, information, education, and referrals to over 19,500 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). Training activities for 2001-02 will continue to focus on accessibility requirements for local code enforcement personnel, architects, and engineers, in addition to customizing technical assistance for individuals, employers, and State agencies.

# ADVOCATE FOR PERSONS WITH DISABILITIES

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## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	1,721,000	1,590,000	(131,000)	600,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>1,721,000</u>	<u>1,590,000</u>	<u>(131,000)</u>	<u>600,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Advocate for the Disabled			
General Fund	15	14	(1)
Special Revenue Funds - Federal	4	4	0
Expendable Trust Funds	1	1	0
Total	<u>20</u>	<u>19</u>	<u>(1)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,135,000	1,030,000	(105,000)
Special Revenue Funds - Federal	479,000	460,000	(19,000)
Enterprise Funds	25,000	25,000	0
Fiduciary Funds	82,000	75,000	(7,000)
Total	<u>1,721,000</u>	<u>1,590,000</u>	<u>(131,000)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(70,000)
Special Revenue Funds - Federal	(19,000)
Expendable Trust Funds	(5,000)
Appropriated 2000-01	<u>1,627,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Advocate for the Disabled			
General Fund	1,135,000	1,030,000	(105,000)
Special Revenue Funds - Federal	479,000	460,000	(19,000)
Enterprise Funds	25,000	25,000	0
Expendable Trust Funds	82,000	75,000	(7,000)
Total	<u>1,721,000</u>	<u>1,590,000</u>	<u>(131,000)</u>

# ADVOCATE FOR PERSONS WITH DISABILITIES

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Advocate for the Disabled	920,000	(45,000)	914,000	(45,000)
Total	<u>920,000</u>	<u>(45,000)</u>	<u>914,000</u>	<u>(45,000)</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>
Advocate for the Disabled	6,000	0
Total	<u>6,000</u>	<u>0</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Advocate for the Disabled	110,000	(60,000)	18,000	0
Total	<u>110,000</u>	<u>(60,000)</u>	<u>18,000</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Advocate for the Disabled	23,000	0	66,900	(10,000)
Total	<u>23,000</u>	<u>0</u>	<u>66,900</u>	<u>(10,000)</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Advocate for the Disabled	2,100	0	0	(50,000)
Total	<u>2,100</u>	<u>0</u>	<u>0</u>	<u>(50,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<b>Program</b>	<b>Total</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Advocate for the Disabled	560,000	(26,000)	560,000	(26,000)
Total	<u>560,000</u>	<u>(26,000)</u>	<u>560,000</u>	<u>(26,000)</u>



# **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 157 employees during FY 2001-02: 145 funded within the agency, and an additional 12 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 2001-02 Executive Budget recommends nearly \$179 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 \$384 million, excluding the value of volunteer labor which has been estimated at upwards of \$35 million.

For the second year, these recommendations expand services under the Community Services for the Elderly (CSE) program, bringing the total amount of State support for this program to over \$17 million — an increase of \$1.5 million over SFY 2000-01. Serving nearly 78,000 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 services, transportation, minor renovations or the purchase of equipment for congregate facilities, 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 nearly 25 million congregate and home-delivered meals as well as 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 \$40 million in appropriation authority from Federal grants in support of congregate and home-delivered meals and another \$17 million to support the purchase of food. The State counterpart to these Federal programs — the Supplemental Nutrition Assistance Program (SNAP) — provides another \$17 million.

### **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 9,000 people are served by this program.

The Long-Term Care Ombudsman Program (LTCOP) supports the advocacy in 52 counties of more than 700 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 of 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  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	14,862,000	13,946,000	(916,000)	6,238,000
Aid To Localities	174,833,102	167,562,000	(7,271,102)	84,250,000
Capital Projects	0	0	0	0
Total	<u>189,695,102</u>	<u>181,508,000</u>	<u>(8,187,102)</u>	<u>90,488,000</u>

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

**Full-Time Equivalent Positions (FTE)**

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	25	25	0
Special Revenue Funds - Federal	50	50	0
Community Services			
General Fund	24	24	0
Special Revenue Funds - Federal	58	58	0
Total	<u>157</u>	<u>157</u>	<u>0</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	2,922,000	3,096,000	174,000
Special Revenue Funds - Federal	10,787,000	10,150,000	(637,000)
Enterprise Funds	200,000	200,000	0
Fiduciary Funds	953,000	500,000	(453,000)
Total	<u>14,862,000</u>	<u>13,946,000</u>	<u>(916,000)</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(219,000)		
Special Revenue Funds - Federal	(588,000)		
Appropriated 2000-01	<u>14,055,000</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	1,302,000	1,602,000	300,000
Special Revenue Funds - Federal	2,810,000	2,700,000	(110,000)
Enterprise Funds	200,000	200,000	0
Community Services			
General Fund	1,620,000	1,494,000	(126,000)
Special Revenue Funds - Federal	7,977,000	7,450,000	(527,000)
Expendable Trust Funds	953,000	500,000	(453,000)
Total	<u>14,862,000</u>	<u>13,946,000</u>	<u>(916,000)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	1,137,000	20,000	1,135,000	20,000
Community Services	1,324,000	(104,000)	1,315,000	(104,000)
Total	<u>2,461,000</u>	<u>(84,000)</u>	<u>2,450,000</u>	<u>(84,000)</u>

<u>Program</u>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	0	2,000	0
Community Services	3,000	0	6,000	0
Total	<u>3,000</u>	<u>0</u>	<u>8,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	465,000	280,000	20,000	2,000
Community Services	170,000	(22,000)	23,000	0
Total	<u>635,000</u>	<u>258,000</u>	<u>43,000</u>	<u>2,000</u>

<u>Program</u>	<b>Travel</b>		<b>Contractual Services</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	36,000	2,000	397,000	270,000
Community Services	30,000	(22,000)	114,000	0
Total	<u>66,000</u>	<u>(20,000)</u>	<u>511,000</u>	<u>270,000</u>

<u>Program</u>	<b>Equipment</b>	
	<u>Amount</u>	<u>Change</u>
Administration	12,000	6,000
Community Services	3,000	0
Total	<u>15,000</u>	<u>6,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<b>Total</b>		<b>Personal Service</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	2,900,000	(110,000)	2,500,000	73,000
Community Services	7,950,000	(980,000)	5,200,000	(926,000)
Total	<u>10,850,000</u>	<u>(1,090,000)</u>	<u>7,700,000</u>	<u>(853,000)</u>

<u>Program</u>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	200,000	(183,000)	200,000	0
Community Services	2,250,000	399,000	500,000	(453,000)
Total	<u>2,450,000</u>	<u>216,000</u>	<u>700,000</u>	<u>(453,000)</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	76,133,102	63,962,000	(12,171,102)
Special Revenue Funds - Federal	95,600,000	101,600,000	6,000,000
Fiduciary Funds	3,100,000	2,000,000	(1,100,000)
Total	<u>174,833,102</u>	<u>167,562,000</u>	<u>(7,271,102)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Services			
General Fund	66,162,000	63,962,000	(2,200,000)
Special Revenue Funds - Federal	95,600,000	101,600,000	6,000,000
Fiduciary Funds	3,100,000	2,000,000	(1,100,000)
Community Projects			
General Fund	9,971,102	0	(9,971,102)
Total	<u>174,833,102</u>	<u>167,562,000</u>	<u>(7,271,102)</u>



# ***DEPARTMENT OF AGRICULTURE AND MARKETS***

## ***MISSION***

The Department of Agriculture and Markets is charged with fostering a competitive and safe New York 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 595 positions for fiscal year 2001-02. The Agency is headquartered in Albany and maintains four regional offices located in Buffalo, Syracuse, Rochester and Brooklyn. Approximately 28 percent of the Department of Agriculture and Markets' operating programs are funded by tax dollars in the General Fund and the remaining 72 percent are financed by fees and Federal grants.

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

The Executive Budget recommends funding of more than \$112.8 million for the Department of Agriculture and Markets in 2001-02. The cost of operating the Department will be supported from a combination of funding sources:

- Tax dollars from the General Fund will provide \$25.0 million in 2001-02, or 28 percent of the Department's operating expenses.
- Fee revenues will produce \$50.5 million and support 58 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 \$12.2 million finances the remaining 14 percent of the Department's operations.

This Budget recommends \$1.4 million in new funding to implement legislation enacted in 2000-01 requiring expanded inspections of retail food stores and the licensing and regulation of pet dealers throughout the State. Continued funding of \$1.2 million will support the Department's efforts in the New York City region to locate and eradicate the Asian Longhorned Beetle, a pest which is deadly to hardwood trees. Recommendations also continue \$4.4 million for 11 migrant child care centers, including operating costs of a new child care center for children of migrant farm workers to be located in the eastern end of Long Island. As in 2000-01, the Department will receive a \$2.5 million suballocation from the Office of Children and Family Services' Federal funding to expand these child care activities.

Nearly \$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 \$2.0 million for a capital special revenue fund to continue support for development of private partnerships at the State Fair. Funding from the 1996 Clean Water/Clean Air Bond Act and the Environmental Protection Fund is also provided for Soil and Water Conservation Districts, non-point source pollution control and farmland preservation programs.

## **AGRICULTURE AND MARKETS**

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The Executive Budget recommends \$12.5 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 \$1.3 million in continued resources to support agricultural economic development and farmland viability program activities. In addition, an increase of \$2.0 million in Federal appropriation authority will allow the Department to apply for funding to expand senior citizens' participation in Federal nutrition 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 \$2.0 million is recommended to allow the Fair to expand private partnerships and make capital improvements at the Fairgrounds.

# AGRICULTURE AND MARKETS

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	78,322,100	87,789,200	9,467,100	21,809,900
Aid To Localities	37,008,500	22,450,200	(14,558,300)	17,210,000
Capital Projects	3,100,000	2,600,000	(500,000)	4,812,000
Total	<u>118,430,600</u>	<u>112,839,400</u>	<u>(5,591,200)</u>	<u>43,831,900</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	35	35	0
Agricultural Business Services			
General Fund	113	110	(3)
Special Revenue Funds - Federal	3	3	0
Special Revenue Funds - Other	42	42	0
Expendable Trust Funds	9	9	0
Clean Water/Clean Air Administration Program			
Capital Projects Funds - Other	8	0	(8)
Consumer Food Services			
General Fund	212	236	24
Special Revenue Funds - Federal	21	21	0
Special Revenue Funds - Other	63	63	0
Environment & Recreation			
Capital Projects Funds - Other	0	18	18
State Fair			
Enterprise Funds	<u>58</u>	<u>58</u>	<u>0</u>
Total	<u>564</u>	<u>595</u>	<u>31</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	24,181,200	25,046,300	865,100
Special Revenue Funds - Federal	9,692,000	12,192,000	2,500,000
Special Revenue Funds - Other	26,469,900	30,419,900	3,950,000
Enterprise Funds	16,271,900	18,384,200	2,112,300
Fiduciary Funds	<u>1,707,100</u>	<u>1,746,800</u>	<u>39,700</u>
Total	<u>78,322,100</u>	<u>87,789,200</u>	<u>9,467,100</u>

### Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(1,375,000)
Special Revenue Funds - Federal	(95,000)
Special Revenue Funds - Other	(513,000)
Enterprise Funds	(47,000)
Expendable Trust Funds	<u>(35,000)</u>
Appropriated 2000-01	<u>76,257,100</u>



# AGRICULTURE AND MARKETS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	4,016,300	3,803,800	(212,500)
Agricultural Business Services			
General Fund	8,965,500	9,252,300	286,800
Special Revenue Funds - Federal	7,257,000	9,257,000	2,000,000
Special Revenue Funds - Other	17,215,000	21,211,600	3,996,600
Fiduciary Funds	1,707,100	1,746,800	39,700
Consumer Food Services			
General Fund	11,199,400	11,990,200	790,800
Special Revenue Funds - Federal	2,435,000	2,935,000	500,000
Special Revenue Funds - Other	9,254,900	9,208,300	(46,600)
State Fair			
Enterprise Funds	16,271,900	18,384,200	2,112,300
Total	<u>78,322,100</u>	<u>87,789,200</u>	<u>9,467,100</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	2,021,100	(12,500)	1,911,300	(14,300)
Agricultural Business Services	5,930,100	612,400	5,151,800	596,900
Consumer Food Services	10,345,600	669,800	9,969,300	710,700
Total	<u>18,296,800</u>	<u>1,269,700</u>	<u>17,032,400</u>	<u>1,293,300</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	100,100	1,900	9,700	(100)
Agricultural Business Services	657,300	13,700	121,000	1,800
Consumer Food Services	111,900	2,000	264,400	(42,900)
Total	<u>869,300</u>	<u>17,600</u>	<u>395,100</u>	<u>(41,200)</u>

# AGRICULTURE AND MARKETS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	1,782,700	(200,000)	29,100	(700)
Agricultural Business Services	3,322,200	(325,600)	234,900	62,300
Consumer Food Services	1,644,600	121,000	166,200	10,500
Total	<u>6,749,500</u>	<u>(404,600)</u>	<u>430,200</u>	<u>72,100</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	30,600	(700)	1,723,000	(198,600)
Agricultural Business Services	476,800	71,000	2,253,100	341,100
Consumer Food Services	805,200	(80,000)	379,000	28,700
Total	<u>1,312,600</u>	<u>(9,700)</u>	<u>4,355,100</u>	<u>171,200</u>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Agricultural Business Services	357,400	50,000	0	(850,000)
Consumer Food Services	294,200	161,800	0	0
Total	<u>651,600</u>	<u>211,800</u>	<u>0</u>	<u>(850,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Agricultural Business Services	32,215,400	6,036,300	3,202,700	(144,300)
Consumer Food Services	12,143,300	453,400	4,843,100	(105,300)
State Fair	18,384,200	2,112,300	5,268,600	619,400
Total	<u>62,742,900</u>	<u>8,602,000</u>	<u>13,314,400</u>	<u>369,800</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Agricultural Business Services	29,012,700	6,180,600	0	0
Consumer Food Services	7,300,200	658,700	0	(100,000)
State Fair	13,115,600	1,492,900	0	0
Total	<u>49,428,500</u>	<u>8,332,200</u>	<u>0</u>	<u>(100,000)</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	19,008,500	12,450,200	(6,558,300)
Special Revenue Funds - Federal	18,000,000	10,000,000	(8,000,000)
Total	<u>37,008,500</u>	<u>22,450,200</u>	<u>(14,558,300)</u>

# AGRICULTURE AND MARKETS

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## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Agricultural Business Services			
General Fund	15,417,500	12,450,200	(2,967,300)
Special Revenue Funds - Federal	18,000,000	10,000,000	(8,000,000)
Community Projects			
General Fund	<u>3,591,000</u>	<u>0</u>	<u>(3,591,000)</u>
Total	<u>37,008,500</u>	<u>22,450,200</u>	<u>(14,558,300)</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	0	0	0	390,000
State Fair				
Capital Projects Fund	600,000	600,000	0	2,922,000
Misc. Capital Projects	2,000,000	2,000,000	0	1,500,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund	<u>500,000</u>	<u>0</u>	<u>(500,000)</u>	<u>0</u>
Total	<u>3,100,000</u>	<u>2,600,000</u>	<u>(500,000)</u>	<u>4,812,000</u>

# ***DEVELOPMENTAL DISABILITIES PLANNING COUNCIL***

## ***MISSION***

The New York State Developmental Disabilities Planning Council is fully funded under the recently reauthorized Federal Developmental Disabilities Assistance and Bill of Rights Act. The Act, originally signed into law in 1975, allows the Council 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 35 members, who have been appointed by the Governor to three-year staggered terms. Federal law requires that at least 60 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 2001-02.

## ***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 2001-02 recommendation of \$4.3 million in Federal funds represents a slight decrease from 2000-01 and is based on the level of anticipated Federal funding. The decrease reflects a technical adjustment related to collective bargaining payments in 2000-01. 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 applies its resources to work in association with persons with developmental disabilities, parents, service providers, advocacy groups and local and state government agencies to advocate for an enhanced system of community services, individualized supports and assistance that facilitates self-determination, independence, community inclusion and productivity.

# DEVELOPMENTAL DISABILITIES PLANNING COUNCIL

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	4,336,000	4,300,000	(36,000)	5,392,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>4,336,000</u>	<u>4,300,000</u>	<u>(36,000)</u>	<u>5,392,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Developmental Disabilities Planning			
Special Revenue Funds - Federal	18	18	0
Total	<u>18</u>	<u>18</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Federal	4,336,000	4,300,000	(36,000)
Total	4,336,000	<u>4,300,000</u>	<u>(36,000)</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Federal	(86,000)		
Appropriated 2000-01	<u>4,250,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Developmental Disabilities Planning			
Special Revenue Funds - Federal	4,336,000	4,300,000	(36,000)
Total	<u>4,336,000</u>	<u>4,300,000</u>	<u>(36,000)</u>

# **DEVELOPMENTAL DISABILITIES PLANNING COUNCIL**

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Developmental Disabilities Planning	4,300,000	(36,000)	900,000	46,000
Total	4,300,000	(36,000)	900,000	46,000
<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Developmental Disabilities Planning	564,000	(40,000)	2,836,000	(42,000)
Total	564,000	(40,000)	2,836,000	(42,000)



# ***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 3,743 in fiscal year 2001-02. Approximately 38 percent of these positions are paid by State tax dollars from the General Fund; 46 percent are supported by State fees and other revenues and the remaining 16 percent are financed by Federal grants.

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

The 2000-01 Executive Budget recommends funding of almost \$1.06 billion for the Department of Environmental Conservation, including \$114 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 27 percent of the Department of Environmental Conservation's operations in 2001-02. Fees and license revenues will support 50 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 23 percent of the Department's budget.

The Environmental Protection Fund (EPF), established in 1993, will provide dedicated resources of \$150 million, a \$25 million increase over 2000-01 levels, to support environmental programs, including open space protection, farmland preservation, recycling programs, non-point source pollution control projects, municipal park and waterfront revitalization projects, and the restoration and preservation of historic barns. The Fund is supported by revenues from the sale/lease of State property (\$3 million), the real estate transfer tax (\$132 million), revenues from the sale of oil and gas leases on State lands (\$5 million) and other revenues (\$10 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), Solid Waste Projects (\$175 million), Air Quality Projects (\$230 million), and Environmental Restoration Projects (\$200 million).



## **ENVIRONMENTAL CONSERVATION**

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The 2001-02 Executive Budget advances amendments to the Environmental Restoration component which provide municipalities with financial incentives and liability protection to more aggressively clean up brownfields and return them to productive use.

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 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 2001-02 Executive Budget provides almost \$1.06 billion to support the Department's critical environmental, resource management and recreation programs. Included is:

- \$219.6 million from the Clean Water/Clean Air Bond Act for priority projects to restore brownfields, improve our air and water resources and support local recycling efforts. With the \$50 million included in the Department of Health and the \$1.3 billion available from appropriations made from 1996-97 through 2000-01 over \$1.5 billion will be provided for Bond Act projects through 2001-02.
- \$150 million in new funding from the Environmental Protection Fund (EPF) to provide resources to address such high priority programs as open space preservation, continued implementation of the Hudson River Estuary Management Plan, stewardship projects at State parks and lands, development of the Hudson River Park, Onondaga Lake remediation, and the restoration and preservation of historic barns. Other projects funded by the EPF in 2001-02 will include: 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 operation of the Pesticide Sales and Use Database as well as breast cancer/environmental risks studies at Cornell University; and the Albany Pine Bush Commission, biodiversity stewardship, and Long Island Pine Barrens/South Shore Estuary Reserve planning.

Recommendations also include:

- \$138 million to support the refinanced Superfund program to continue the clean up of inactive hazardous waste sites and municipal landfill closures after the exhaustion of the 1986 Environmental Quality Bond Act funding. The new program will also provide, for the first time, funding to address hazardous substance sites. Recommendations also include \$376.4 million in reappropriated funds from the 1986 Environmental Quality Bond Act to continue work already underway for existing Superfund sites.
- \$5.0 million to implement the New York City Watershed Agreement. These funds will support State enforcement and monitoring efforts in the Watershed and the provision of technical assistance to participating Watershed communities.
- \$178.6 million in new State and Federal funds for the State Revolving Fund low-interest loan program to build and rehabilitate municipal sewage treatment facilities.
- \$42.9 million to support the programs of the Conservation Fund. In 2001-02 an increase in licensing fees will be required to meet continuing program needs.
- \$30.7 million in new funding for basic capital infrastructure projects to ensure health, safety and compliance with State and Federal laws and environmental

- requirements, including \$4.5 million for flood control feasibility studies for Lindenhurst/Babylon shores and the Ramapo/Mahwah, Ausable, Sawmill, Bouquet and Upper Delaware rivers.
- \$2.4 million in new revenues from proposed pesticide fee increases which will support oversight, pesticide applicator examination and training, non-toxic alternatives to mosquito control and other West Nile prevention measures, and expanded integrated pest management programs.
  - \$500,000 in new resources to support the continued planning for the Henry Hudson Rivers Institute for estuarine and riverine studies.
  - \$30.7 million in non-General Fund support for the State's Clean Air programs. New programs were begun in 1997-98 to control pollution from automobiles and to enhance permits for major stationary sources of air pollution and in 1999-2000, to control air pollution from heavy duty vehicles.
  - \$3.3 million in taxpayer funds to partially reimburse local governments for property tax revenue losses due to forest property tax exemption.
  - \$411 million to support the operations of the Department, including a workforce of 3,743.

### ***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 \$33 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 and 250,000 acres of conservation easements. 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 and also performs technical and environmental reviews of new and existing mined lands.

The Department also operates 52 campgrounds and 25 day-use areas within the Adirondack and Catskill parks, as well as the Belleayre Mountain Ski Center. These

## ***ENVIRONMENTAL CONSERVATION***

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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/REMEDIATION***

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.

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 2000-01, the new Heavy Duty Inspection and Maintenance Program was fully implemented and is supported by registration fees.

In addition, DEC will also initiate several other actions to aggressively address serious air pollution problems. New regulations are being 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 has also finalized regulations to adopt the new 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 actions, responsible parties have committed 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 remediate 902 toxic waste sites. Bond Act funds will be sufficient to support 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, tax credits of up to \$41 million to encourage the

## **ENVIRONMENTAL CONSERVATION**

redevelopment of abandoned industrial sites statewide, as well as other targeted tax credits to promote the development and reuse of restored but dormant brownfield sites in Upstate New York. 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 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 (dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	393,758,800	411,005,000	17,246,200	184,451,700
Aid To Localities	11,242,418	4,813,300	(6,429,118)	5,292,500
Capital Projects	600,774,000	643,898,000	43,124,000	4,130,591,000
Total	<u>1,005,775,218</u>	<u>1,059,716,300</u>	<u>53,941,082</u>	<u>4,320,335,200</u>

# ENVIRONMENTAL CONSERVATION

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

Full-Time Equivalent Positions (FTE)			
Program	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration			
General Fund	120	118	(2)
Special Revenue Funds - Federal	183	183	0
Special Revenue Funds - Other	16	16	0
Air and Water Quality Management			
General Fund	155	179	24
Special Revenue Funds - Federal	208	208	0
Special Revenue Funds - Other	390	391	1
Clean Water/Clean Air Administration Program			
Capital Projects Funds - Other	95	40	(55)
Environmental Enforcement			
General Fund	225	203	(22)
Special Revenue Funds - Other	255	270	15
Environment & Recreation			
Capital Projects Funds - Other	0	19	19
Fish, Wildlife and Marine Resources			
General Fund	95	89	(6)
Special Revenue Funds - Federal	91	91	0
Special Revenue Funds - Other	292	292	0
Forest and Land Resources			
General Fund	269	256	(13)
Special Revenue Funds - Federal	14	14	0
Special Revenue Funds - Other	117	117	0
Operations			
General Fund	387	386	(1)
Special Revenue Funds - Other	66	66	0
Rehabilitation and Improvement			
Capital Projects Funds - Other	54	54	0
Solid and Hazardous Waste Management			
General Fund	188	173	(15)
Special Revenue Funds - Federal	82	82	0
Special Revenue Funds - Other	444	464	20
Capital Projects Funds - Federal	32	32	0
Total	<u>3,778</u>	<u>3,743</u>	<u>(35)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	102,681,600	109,040,600	6,359,000
Special Revenue Funds - Federal	79,729,400	94,822,400	15,093,000
Special Revenue Funds - Other	211,317,800	207,107,000	(4,210,800)
Internal Service Funds	30,000	35,000	5,000
Total	<u>393,758,800</u>	<u>411,005,000</u>	<u>17,246,200</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(6,807,000)		
Special Revenue Funds - Other	(9,856,000)		
Transfer(s) To			
Environmental Facilities Corporation			
Special Revenue Funds - Other	52,800		
Appropriated 2000-01	<u>377,148,600</u>		

## ENVIRONMENTAL CONSERVATION

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	7,982,400	8,552,000	569,600
Special Revenue Funds - Federal	11,598,000	12,731,700	1,133,700
Special Revenue Funds - Other	2,189,600	2,291,900	102,300
Internal Service Funds	30,000	35,000	5,000
Air and Water Quality Management			
General Fund	11,097,500	12,541,200	1,443,700
Special Revenue Funds - Federal	26,484,000	30,235,400	3,751,400
Special Revenue Funds - Other	65,637,300	68,105,500	2,468,200
Air Resources			
Special Revenue Funds - Federal	10,279,400	9,091,000	(1,188,400)
Construction Management			
Special Revenue Funds - Federal	4,434,800	4,018,600	(416,200)
Environmental Enforcement			
General Fund	20,354,300	19,740,700	(613,600)
Special Revenue Funds - Other	28,004,400	29,074,400	1,070,000
Fish, Wildlife and Marine Resources			
General Fund	7,857,500	8,886,500	1,029,000
Special Revenue Funds - Federal	16,796,100	19,427,700	2,631,600
Special Revenue Funds - Other	28,317,600	28,823,700	506,100
Forest and Land Resources			
General Fund	15,656,700	15,831,100	174,400
Special Revenue Funds - Federal	3,816,500	12,890,200	9,073,700
Special Revenue Funds - Other	18,048,200	18,924,200	876,000
Operations			
General Fund	28,906,100	32,620,000	3,713,900
Special Revenue Funds - Other	12,438,200	11,782,400	(655,800)
Solid and Hazardous Waste Management			
General Fund	10,827,100	10,869,100	42,000
Special Revenue Funds - Federal	6,320,600	6,427,800	107,200
Special Revenue Funds - Other	56,682,500	48,104,900	(8,577,600)
Total	<u>393,758,800</u>	<u>411,005,000</u>	<u>17,246,200</u>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	6,906,800	289,200	6,371,100	270,700
Air and Water Quality Management	11,480,600	1,422,900	11,366,600	1,418,700
Environmental Enforcement	13,074,300	(1,514,400)	10,509,400	(1,337,600)
Fish, Wildlife and Marine Resources	4,657,700	(121,100)	4,430,300	(130,200)
Forest and Land Resources	14,356,700	109,000	12,774,500	46,200
Operations	17,233,100	25,700	16,074,600	(14,400)
Solid and Hazardous Waste Management	10,590,700	440,300	10,380,900	432,300
Total	78,299,900	651,600	71,907,400	685,700

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	498,700	16,800	37,000	1,700
Air and Water Quality Management	75,900	2,600	38,100	1,600
Environmental Enforcement	0	0	2,564,900	(176,800)
Fish, Wildlife and Marine Resources	197,200	7,900	30,200	1,200
Forest and Land Resources	595,000	20,100	987,200	42,700
Operations	1,063,000	35,900	95,500	4,200
Solid and Hazardous Waste Management	106,700	3,600	103,100	4,400
Total	2,536,500	86,900	3,856,000	(121,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Nonpersonal Service		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,645,200	280,400	334,900	30,400
Air and Water Quality Management	1,060,600	20,800	380,000	19,400
Environmental Enforcement	6,666,400	900,800	403,400	38,500
Fish, Wildlife and Marine Resources	4,228,800	1,150,100	750,500	57,400
Forest and Land Resources	1,474,400	65,400	982,600	62,900
Operations	15,386,900	3,688,200	1,804,300	164,800
Solid and Hazardous Waste Management	278,400	(398,300)	49,500	1,700
Total	30,740,700	5,707,400	4,705,200	375,100

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	36,800	0	1,255,400	250,000
Air and Water Quality Management	83,700	0	437,800	1,400
Environmental Enforcement	486,800	450,000	208,100	900
Fish, Wildlife and Marine Resources	16,600	0	3,136,200	1,217,700
Forest and Land Resources	71,400	0	318,800	2,500
Operations	1,446,300	668,900	11,466,600	2,854,500
Solid and Hazardous Waste Management	20,000	0	207,300	0
Total	2,161,600	1,118,900	17,030,200	4,327,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	18,100	0	0	0
Air and Water Quality Management	159,100	0	0	0
Environmental Enforcement	20,500	0	5,547,600	411,400
Fish, Wildlife and Marine Resources	75,500	0	250,000	(125,000)
Forest and Land Resources	101,600	0	0	0
Operations	669,700	0	0	0
Solid and Hazardous Waste Management	1,600	0	0	(400,000)
Total	1,046,100	0	5,797,600	(113,600)

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	15,058,600	1,241,000	9,576,500	840,400
Air and Water Quality Management	98,340,900	6,219,600	33,602,500	2,405,700
Air Resources	9,091,000	(1,188,400)	5,084,000	184,000
Construction Management	4,018,600	(416,200)	2,596,000	162,000
Environmental Enforcement	29,074,400	1,070,000	17,367,300	233,600
Fish, Wildlife and Marine Resources	48,251,400	3,137,700	20,987,000	(163,400)
Forest and Land Resources	31,814,400	9,949,700	13,017,300	437,100
Operations	11,782,400	(655,800)	2,757,400	83,900
Solid and Hazardous Waste Management	54,532,700	(8,470,400)	18,500,800	(5,151,700)
Total	<u>301,964,400</u>	<u>10,887,200</u>	<u>123,488,800</u>	<u>(968,400)</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	5,482,100	400,600	0	0
Air and Water Quality Management	38,135,400	3,803,900	26,603,000	10,000
Air Resources	4,007,000	(1,372,400)	0	0
Construction Management	1,422,600	(578,200)	0	0
Environmental Enforcement	11,207,100	836,400	500,000	0
Fish, Wildlife and Marine Resources	24,128,400	3,328,600	3,136,000	(27,500)
Forest and Land Resources	17,797,100	9,632,600	1,000,000	(120,000)
Operations	9,000,000	(741,700)	25,000	2,000
Solid and Hazardous Waste Management	10,977,600	(1,822,200)	25,054,300	(1,496,500)
Total	<u>122,157,300</u>	<u>13,487,600</u>	<u>56,318,300</u>	<u>(1,632,000)</u>

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	10,442,418	4,813,300	(5,629,118)
Special Revenue Funds - Other	800,000	0	(800,000)
Total	<u>11,242,418</u>	<u>4,813,300</u>	<u>(6,429,118)</u>

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Administration			
General Fund	2,908,800	6,300	(2,902,500)
Air and Water Quality Management			
General Fund	1,157,000	1,057,000	(100,000)
Special Revenue Funds - Other	300,000	0	(300,000)
Fish, Wildlife and Marine Resources			
Special Revenue Funds - Other	500,000	0	(500,000)
Forest and Land Resources			
General Fund	0	3,300,000	3,300,000
Solid and Hazardous Waste Management			
General Fund	1,600,000	450,000	(1,150,000)
Community Projects			
General Fund	4,776,618	0	(4,776,618)
Total	<u>11,242,418</u>	<u>4,813,300</u>	<u>(6,429,118)</u>



# **ENVIRONMENTAL CONSERVATION**

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## **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
Design and Construction Supervision				
Capital Projects Fund	0	0	0	14,000
Marine Resources				
Capital Projects Fund	0	0	0	124,000
Federal Capital Projects Fund	3,850,000	1,450,000	(2,400,000)	6,861,000
Air Resources - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	16,874,000
Environmental Quality Bond Act Fund				
Environmental Quality Bond Act Fund - 1986	0	0	0	396,427,000
State Air Quality Projects				
Capital Projects Fund - EQBA (Bondable)	0	0	0	1,112,000
Air Quality Projects				
Clean Air Fund	0	0	0	176,000
Water Resources - PWBA				
Capital Projects Fund - PWBA (Bondable)	0	0	0	33,886,000
Solid Waste Management				
Capital Projects Fund	4,025,000	675,000	(3,350,000)	3,250,000
Capital Projects Fund - Advances	0	0	0	2,442,000
Federal Capital Projects Fund	0	0	0	61,247,000
Environmental Protection and Enhancements				
Environmental Protection Fund	10,000,000	0	(10,000,000)	27,378,000
Environment and Recreation				
Environmental Protection Fund	125,000,000	150,000,000	25,000,000	351,835,000
Fish and Wildlife				
Capital Projects Fund	1,200,000	200,000	(1,000,000)	2,408,000
Federal Capital Projects Fund	2,000,000	1,600,000	(400,000)	6,533,000
Hudson River Habitat Restor. Fund	0	0	0	351,000
Lands and Forests				
Capital Projects Fund	1,250,000	2,782,000	1,532,000	16,255,000
Forest Preserve Expansion Fund	0	0	0	142,000
Water Resources - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	9,734,000
Air Resources				
Capital Projects Fund	500,000	0	(500,000)	3,395,000
Clean Air Fund	3,000,000	3,000,000	0	6,100,000
Administration				
Capital Projects Fund	500,000	500,000	0	1,348,000
Federal Capital Projects Fund	0	0	0	175,000
Enterprise Fund	0	0	0	175,000
Lands and Forests - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	622,000
Environmental Quality Protection Bond Fund				
Environmental Quality Protection Bond Fund	0	0	0	74,926,000
Clean Water/Clean Air Bond Fund				
Clean Water - Clean Air Bond Fund	0	0	0	1,254,259,000
Pure Waters Bond Fund				
Pure Waters Bond Fund	0	0	0	33,911,000
Recreation				
Capital Projects Fund	150,000	350,000	200,000	1,294,000
Solid Waste Management - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	37,545,000
Operations				
Capital Projects Fund	10,900,000	17,460,000	6,560,000	23,039,000
Financial Security Fund	0	0	0	1,972,000
Natural Resource Damages Fund	0	0	0	10,486,000
Water Resources				
Capital Projects Fund	52,183,000	38,542,000	(13,641,000)	128,705,000
Capital Projects Fund - Advances	1,275,000	1,305,000	30,000	17,698,000
Federal Capital Projects Fund	216,914,000	148,860,000	(68,054,000)	373,909,000
Air Quality - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	26,000,000	12,000,000	(14,000,000)	87,327,000

## ENVIRONMENTAL CONSERVATION

### CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Clean Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	109,500,000	87,582,000	(21,918,000)	482,666,000
Solid Waste - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	16,500,000	45,000,000	28,500,000	85,832,000
Environmental Restoration - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	10,000,000	25,000,000	15,000,000	91,444,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund	6,027,000	2,592,000	(3,435,000)	6,027,000
Solid and Hazardous Waste Management - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)	0	0	0	376,402,000
Lands and Forests - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)	0	0	0	8,000
Solid and Hazardous Waste Management				
Capital Projects Fund	0	0	0	1,891,000
Capital Projects Fund - Advances	0	0	0	92,386,000
Remedial Program Transfer Fund	0	105,000,000	105,000,000	0
Total	<u>600,774,000</u>	<u>643,898,000</u>	<u>43,124,000</u>	<u>4,130,591,000</u>



# **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, drinking 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. This program, administered jointly with the Department of Environmental Conservation, provides reduced-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, which provides reduced-interest rate loans and grants for community and private water systems to finance safe drinking water projects. 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 110, including 12 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 2001-02, a total of \$8,253,200 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.

## ***ENVIRONMENTAL FACILITIES***

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### ***PROGRAM HIGHLIGHTS***

The Environmental Facilities Corporation currently administers six major programs: the two State Revolving Funds, the Industrial Finance Program, Technical Advisory Services, the Clean Water/Clean Air Bond Act's small business environmental compliance assistance programs, and the Pipeline for Jobs Program.

#### ***CLEAN WATER STATE REVOLVING 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 or upgrade water pollution control facilities. Since 1989, the program has received Federal and State appropriations totaling \$1.87 billion and \$374 million, respectively. The State Revolving Fund has made loans totaling \$5.3 billion to 341 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 FUND PROGRAM***

In 1996, Congress enacted Federal legislation authorizing the Drinking Water State Revolving Fund program. This program, modeled after the Clean Water State Revolving Fund program, provides reduced 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 \$465.5 million and grants totaling \$69.5 million to 121 recipients across the State. Federal funding provided for the Drinking Water State Revolving Fund requires a 20 percent State match. Since 1996, the program has been supported by \$299.5 million in Federal awards, requiring a State match of \$59.9 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 \$957 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 management and water supply and wastewater management facilities. Loans under the program are financed from the proceeds of special obligation revenue 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 such issues as air pollution control; multi-media waste management; inactive hazardous waste site remediation and compliance; water and waste water management; and resource recovery and recycling. This program is funded by fees paid by Corporation clients who contract for these services.

**FINANCIAL ASSISTANCE TO BUSINESS**

The 1996 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 new capital equipment necessary to achieve environmental compliance. 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. Recommendations include \$6.25 million in new appropriations and \$14.5 million in reappropriations for this program.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	7,646,600	8,253,200	606,600	0
Aid To Localities	0	0	0	0
Capital Projects	292,000	6,542,000	6,250,000	14,500,000
Total	<u>7,938,600</u>	<u>14,795,200</u>	<u>6,856,600</u>	<u>14,500,000</u>

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

Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
Special Revenue Funds - Other	92	92	0
Clean Water/Clean Air Administration Program			
Capital Projects Funds - Other	6	6	0
Total	<u>98</u>	<u>98</u>	<u>0</u>

# ENVIRONMENTAL FACILITIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	7,646,600	8,253,200	606,600
Total	7,646,600	8,253,200	606,600

Adjustments:

Transfer(s) From			
Environmental Conservation, Department of			
Special Revenue Funds - Other	(52,800)		
Special Pay Bill			
Special Revenue Funds - Other	(450,000)		
Appropriated 2000-01	7,143,800		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other	7,646,600	8,253,200	606,600
Total	7,646,600	8,253,200	606,600

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	8,253,200	606,600	5,199,900	152,600
Total	8,253,200	606,600	5,199,900	152,600

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Administration	3,053,300	454,000
Total	3,053,300	454,000

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Pipeline for Jobs Program				
Capital Projects Fund	0	6,250,000	6,250,000	14,500,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund	292,000	292,000	0	0
Total	292,000	6,542,000	6,250,000	14,500,000

# **DEPARTMENT OF HEALTH**

## **MISSION**

The Department of Health ensures 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, who is appointed by the Governor, the Department of Health meets its responsibilities through the Office of Medicaid Management, the Office of Managed 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 that are 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 2001-02, construction is expected to be completed on a fourth veterans' nursing home located in Montrose, with an expected opening date in the first half of 2001. 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 2001-02, the Department of Health will have a workforce of approximately 6,250 positions, with almost 25 percent of those positions employed in the Department's health care facilities. Since 1995-96, the number of non-institutional positions has decreased by approximately 375, reflecting new program initiatives such as the safe drinking water program, newborn screening and the West Nile virus response, offset by the impact of attrition, early retirements, and management efficiencies.

- Approximately 19 percent of these positions are paid exclusively by the General Fund;
- 11 percent are directly supported by fees;
- 53 percent are supported by third party, private patient care and Federal reimbursement; and,
- The remaining 17 percent are directly funded by Federal grants.

## **MEDICAID**

Total Medicaid spending in New York will be approximately \$32.5 billion next year. The 2001-02 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 over \$2 billion in 2001-02. Hospitals will continue to rely on the landmark Health Care Reform Act (HCRA), originally enacted in 1996, as the basis for their funding. HCRA 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) 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.

The 2001-02 budget recommends initiatives to achieve State and local savings through strategies to maximize Federal revenues including additional hospital Intergovernmental Transfers, Upper Payment Limit payments, and pursuing Federal reimbursement for hospital services that were previously provided to State inmates.

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

Medicaid costs, which have been controlled in recent years, are beginning to rise at a rate which places an undue burden on State and local governments. New York pays far more than any other state on Medicaid long term care services — nursing home and community-based care — approximately \$3.5 billion in 2001-02. Accordingly, a series of initiatives is proposed to rein in these spiraling costs, including: eliminating inflationary payment increases for nursing homes; eliminating an unnecessary supplemental payment to facilities that have more than 300 beds; eliminating the return on equity payments to proprietary homes, an ineffective incentive given the significant dollars owners of these homes have withdrawn from the system; and, updating the Medicaid nursing home rate methodology to eliminate the existing subsidy State taxpayers provide to nursing homes that serve more costly Medicare and other-payer recipients. This component of the reimbursement methodology is no longer necessary because recent changes in Federal reimbursement policy now fully cover the nursing home's cost of serving these non-Medicaid recipients. Even after these actions, New York will still spend far more on long term care services than any other state.

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 offering 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 New York's long term care insurance market.

### ***Managed Care***

The 2001-02 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, one every four months, beginning in the last quarter of fiscal year 2000-01. The remainder of the State will also phase in at four-month intervals subject to Federal approval.

Managed Care enrollment is projected to reach approximately 796,000 by the end of 2000-01 and 1.1 million by the end of 2001-02. 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 assures that the neediest people receive high quality, accessible health care. Legislation passed in 2000 extends the mandatory Medicaid managed care program until December 31, 2003 and the authorization for the State to certify special managed care plans to provide comprehensive services to individuals infected with the HIV virus. These Special Needs Plans will begin operation in 2001-02. 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 and contracting with providers of Medicaid services. 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 obtained management and development services for a Replacement Medicaid System (RMS) that will replace both MMIS and the Electronic Medicaid Eligibility Verification System (EMEVS) with an integrated claims processing system. RMS will provide updated technologies 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.

Moreover, an independent Pharmacy and Therapeutics Committee will be established to help ensure the safe, cost effective and appropriate use of pharmaceuticals in the Medicaid program, as well as in the Elderly Pharmaceutical Insurance Coverage (EPIC) and AIDS Drug Assistance programs. The 2001-02 Budget also adds 25 new audit staff within the Department of Health to bolster the State's anti-fraud efforts.

### ***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 to 530,000. Under Governor Pataki, the program has expanded to include comprehensive health benefits, Medicaid coverage for 15 to 19 year olds and, increased eligibility to 250 percent of the Federal Poverty Level. The 2001-02 budget proposes extending the Child Health Plus program to June 30, 2003.

When eligible Federal funds are combined with State Health Care Reform Act (HCRA) moneys, the Child Health Plus programs will provide comprehensive coverage to virtually all eligible children in the State.

### **OTHER PUBLIC HEALTH PROGRAMS**

Excluding Medicaid program costs, General Fund appropriations finance 52 percent of the Department of Health's budget in 2001-02.

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 15 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 33 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.

This overall recommendation ensures that public health priorities are preserved. As such, the 2001-02 Budget:

- Adds new support totaling \$5.8 million for recently enacted legislation such as the Health Information and Quality Improvement Act — also known as Physician Profiling, and the Syringe Access Demonstration program.
- Adds \$5 million to implement the Newborn Hearing Program and continues 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.
- Provides \$3.7 million in State funding to support the immunization of underinsured children with a new pneumonia vaccine recommended by the Federal government for children under 59 months of age.
- Increases long term care surveillance field staff to the highest level in the Department's history to provide more on-site inspections and investigative capacity for this function.
- Includes \$90 million for the Roswell Park Cancer Institute Corporation, \$60 million from HCRA and \$30 million from the General Fund.
- Sustains the State's commitment to fighting the AIDS epidemic by continuing statewide spending at more than \$2.2 billion, including \$107.2 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.
- Provides \$360 million in support for the Elderly Pharmaceutical Insurance Coverage program (EPIC) to ensure that more than 200,000 senior citizens receive crucial prescription insurance.
- Includes approximately \$216.8 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, as well as West Nile Virus — an emerging public health concern. The West Nile Virus caused an increase in spending of 13 percent to fund counties' activities in the areas of epidemiology, surveillance and laboratory testing to address this outbreak.
- Continues support of \$44.5 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.
- Promotes program efficiencies and Medicaid revenue maximization in the \$155 million Early Intervention program serving infants and toddlers under the age of three who have developmental delays.
- Continues funding of \$14 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.
- Enhances the Department's oversight of drinking water program operations and grants to support local safe drinking water activities by providing \$11 million, an increase of \$5 million from current year spending.

## **PROGRAM HIGHLIGHTS**

### **MEDICAID**

Originally established in 1965 by the Federal government as a health insurance program for the poor, New York's Medicaid program costs totaled \$30.8 billion in 2000-01, and provides coverage to approximately 3.1 million New Yorkers. Cost containment and revenue maximization initiatives have resulted in the State's 2000-01 Medicaid spending being held to nearly 1994-95 levels. 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 total 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 Health Care Reform Act of 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, including Family Health Plus and Healthy New York.
- 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 and 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.

## **HEALTH**

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- 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.
- The Health Information and Quality Improvement Act was enacted in 2000 to ensure that all New Yorkers have the information they need to make informed health care decisions. The bill requires New York to develop a database, which will be accessible to the public, containing profiles of all health care professionals and to create a Patient Safety Center to develop strategies and establish best practices to maximize patient safety and reduce medical errors.

In addition, the 2001-02 Executive Budget advances legislation to expand Medicaid eligibility to both cover the cost of treatment for low income women diagnosed with breast and cervical cancer through the Center for Disease Control's national screening program, and to provide low-income, working disabled individuals with access to comprehensive quality health care.

### **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. The Wadsworth Center and DOH's Center for Community Health have played key roles in managing the State's response to, and containment of, West Nile disease, which was first identified in New York in 1999.

### **A COMMITMENT TO AIDS RESEARCH AND PREVENTION**

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 \$2.2 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  
(dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	3,834,303,600	3,975,558,000	141,254,400	4,887,766,200
Aid To Localities	25,203,942,493	27,585,333,000	2,381,390,507	17,086,396,700
Capital Projects	<u>120,077,000</u>	<u>115,259,000</u>	<u>(4,818,000)</u>	<u>208,352,000</u>
Total	<u>29,158,323,093</u>	<u>31,676,150,000</u>	<u>2,517,826,907</u>	<u>22,182,514,900</u>

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

<b>Program</b>	<b>Full-Time Equivalent Positions (FTE)</b>		
	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Administration and Executive Direction			
General Fund	148	126	(22)
Special Revenue Funds - Federal	144	144	0
Special Revenue Funds - Other	228	268	40
AIDS Institute			
General Fund	198	194	(4)
Special Revenue Funds - Other	20	20	0
Child Health Insurance			
Special Revenue Funds - Other	42	42	0
Community Health			
General Fund	90	82	(8)
Special Revenue Funds - Federal	569	569	0
Office of Continuing Care			
General Fund	396	406	10
Special Revenue Funds - Other	2	2	0
Elderly Pharmaceutical Insurance Coverage			
General Fund	28	28	0
Environmental Health			
General Fund	135	131	(4)
Special Revenue Funds - Federal	117	117	0
Special Revenue Funds - Other	175	175	0
Health Care Financing			
General Fund	74	74	0
Special Revenue Funds - Other	55	55	0
Health Care Standards and Surveillance			
General Fund	302	302	0
Special Revenue Funds - Other	234	234	0
Health Services			
Enterprise Funds	12	12	0
Institution Management			
Special Revenue Funds - Other	1,569	1,569	0
Laboratories and Research			
General Fund	409	409	0
Special Revenue Funds - Federal	97	97	0
Special Revenue Funds - Other	152	152	0
Managed Care			
General Fund	152	152	0
Special Revenue Funds - Other	3	3	0
Medicaid Audit and Fraud Prevention			
General Fund	226	239	13
Special Revenue Funds - Federal	231	243	12
Special Revenue Funds - Other	27	27	0
Office of Medicaid Management			
General Fund	382	382	0
Special Revenue Funds - Other	5	5	0
<b>Total</b>	<b>6,222</b>	<b>6,259</b>	<b>37</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	206,406,800	227,995,000	21,588,200
Special Revenue Funds - Federal	3,275,044,400	3,392,061,000	117,016,600
Special Revenue Funds - Other	350,117,400	351,527,000	1,409,600
Enterprise Funds	10,000	10,000	0
Fiduciary Funds	<u>2,725,000</u>	<u>3,965,000</u>	<u>1,240,000</u>
Total	3,834,303,600	<u>3,975,558,000</u>	<u>141,254,400</u>
Adjustments:			
Transfer(s) From			
Health, Department of			
General Fund (Aid To Localities)	(3,000,000)		
Special Revenue Funds - Other	(5,651,800)		
Special Pay Bill			
General Fund	(12,601,000)		
Special Revenue Funds - Federal	(4,662,000)		
Special Revenue Funds - Other	(10,974,000)		
Transfer(s) To			
Helen Hayes Hospital			
Special Revenue Funds - Other	2,897,100		
New York City Veterans Home			
Special Revenue Funds - Other	1,078,800		
New York State Home for Veterans and Their Dependents			
Special Revenue Funds - Other	1,124,800		
Western New York Veterans Home			
Special Revenue Funds - Other	<u>551,100</u>		
Appropriated 2000-01	<u>3,803,066,600</u>		



**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration and Executive Direction			
General Fund	18,758,400	17,291,000	(1,467,400)
Special Revenue Funds - Federal	14,464,000	12,839,000	(1,625,000)
Special Revenue Funds - Other	24,877,600	29,917,000	5,039,400
AIDS Institute			
General Fund	16,838,700	16,851,000	12,300
Special Revenue Funds - Other	2,062,200	2,136,000	73,800
Child Health Insurance			
Special Revenue Funds - Federal	13,400,000	30,280,000	16,880,000
Special Revenue Funds - Other	11,251,600	11,680,000	428,400
Community Health			
General Fund	9,442,700	9,797,000	354,300
Special Revenue Funds - Federal	103,759,700	98,268,000	(5,491,700)
Special Revenue Funds - Other	5,596,800	5,554,000	(42,800)
Fiduciary Funds	0	1,000,000	1,000,000
Office of Continuing Care			
General Fund	22,477,400	23,902,000	1,424,600
Special Revenue Funds - Federal	12,778,000	61,000	(12,717,000)
Special Revenue Funds - Other	3,632,700	5,626,000	1,993,300
Fiduciary Funds	400,000	40,000	(360,000)
Elderly Pharmaceutical Insurance Coverage			
General Fund	12,320,600	11,039,000	(1,281,600)
Environmental Health			
General Fund	9,797,000	10,204,000	407,000
Special Revenue Funds - Federal	13,255,300	11,105,000	(2,150,300)
Special Revenue Funds - Other	13,819,200	14,290,000	470,800
Health Care Financing			
General Fund	5,934,800	5,575,000	(359,800)
Special Revenue Funds - Other	5,782,700	6,145,000	362,300
Health Care Standards and Surveillance			
General Fund	26,876,000	30,319,000	3,443,000
Special Revenue Funds - Other	42,022,300	43,372,000	1,349,700
Institution Management			
Special Revenue Funds - Other	111,707,000	102,860,000	(8,847,000)
Enterprise Funds	10,000	10,000	0
Fiduciary Funds	325,000	325,000	0
Laboratories and Research			
General Fund	35,604,800	35,867,000	262,200
Special Revenue Funds - Federal	7,962,200	7,932,000	(30,200)
Special Revenue Funds - Other	28,777,300	29,359,000	581,700
Fiduciary Funds	2,000,000	2,600,000	600,000
Maintenance Undistributed			
General Fund	(79,338,000)	(78,338,000)	1,000,000
Special Revenue Funds - Other	78,338,000	78,338,000	0
Managed Care			
General Fund	14,098,300	13,234,000	(864,300)
Medicaid Audit and Fraud Prevention			
General Fund	18,303,700	18,977,000	673,300
Special Revenue Funds - Federal	34,563,500	36,566,000	2,002,500
Special Revenue Funds - Other	14,500,000	14,500,000	0
Office of Medicaid Management			
General Fund	46,616,400	52,511,000	5,894,600
Special Revenue Funds - Federal	3,007,350,700	3,127,500,000	120,149,300
Special Revenue Funds - Other	7,750,000	7,750,000	0
Medicaid Management Information System			
General Fund	48,676,000	60,766,000	12,090,000
Special Revenue Funds - Federal	67,511,000	67,510,000	(1,000)
Total	<u>3,834,303,600</u>	<u>3,975,558,000</u>	<u>141,254,400</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	7,891,000	(502,200)	7,663,000	(502,200)
AIDS Institute	10,389,000	(237,900)	10,374,000	(237,900)
Community Health	4,667,000	227,200	4,581,400	220,400
Office of Continuing Care	21,877,000	1,199,600	21,677,000	999,600
Elderly Pharmaceutical Insurance Coverage	1,539,000	421,400	1,534,000	417,400
Environmental Health	8,122,000	1,761,200	7,924,200	1,760,200
Health Care Financing	4,707,000	(359,500)	4,675,000	(359,500)
Health Care Standards and Surveillance	16,706,000	976,700	16,536,000	976,700
Laboratories and Research	21,121,000	(353,700)	20,799,500	(353,700)
Managed Care	8,533,000	(889,300)	8,533,000	(889,300)
Medicaid Audit and Fraud Prevention	14,293,000	672,900	14,293,000	769,900
Office of Medicaid Management	21,353,000	(1,572,000)	21,133,000	(1,572,000)
<b>Total</b>	<b>141,198,000</b>	<b>1,344,400</b>	<b>139,723,100</b>	<b>1,229,600</b>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	125,000	0	103,000	0
AIDS Institute	0	0	15,000	0
Community Health	65,000	5,000	20,600	1,800
Office of Continuing Care	100,000	100,000	100,000	100,000
Elderly Pharmaceutical Insurance Coverage	0	0	5,000	4,000
Environmental Health	186,300	0	11,500	1,000
Health Care Financing	0	0	32,000	0
Health Care Standards and Surveillance	20,000	0	150,000	0
Laboratories and Research	64,200	0	257,300	0
Managed Care	0	0	0	0
Medicaid Audit and Fraud Prevention	0	(48,500)	0	(48,500)
Office of Medicaid Management	70,000	0	150,000	0
<b>Total</b>	<b>630,500</b>	<b>56,500</b>	<b>844,400</b>	<b>58,300</b>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	9,400,000	(965,200)	740,000	0
AIDS Institute	6,462,000	250,200	1,500,900	0
Community Health	5,130,000	127,100	1,473,900	354,100
Office of Continuing Care	2,025,000	225,000	108,200	0
Elderly Pharmaceutical Insurance Coverage	9,500,000	(1,703,000)	22,000	3,400
Environmental Health	2,082,000	(1,354,200)	158,600	25,000
Health Care Financing	868,000	(300)	12,000	(200)
Health Care Standards and Surveillance	13,613,000	2,466,300	241,300	199,900
Laboratories and Research	14,746,000	615,900	3,209,900	62,200
Managed Care	4,701,000	25,000	0	(122,100)
Medicaid Audit and Fraud Prevention	4,684,000	400	85,300	0
Office of Medicaid Management	31,158,000	7,466,600	269,000	177,680
Medicaid Management Information System	60,766,000	12,090,000	0	0
<b>Total</b>	<b>165,135,000</b>	<b>19,243,800</b>	<b>7,821,100</b>	<b>699,980</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	262,200	0	8,346,800	3,234,800
AIDS Institute	310,700	200	3,709,500	0
Community Health	139,500	(27,000)	3,478,200	(200,000)
Office of Continuing Care	766,900	0	1,102,400	725,000
Elderly Pharmaceutical Insurance Coverage	30,000	20,300	9,372,000	3,771,200
Environmental Health	414,900	40,500	1,367,900	45,300
Health Care Financing	38,300	(100)	807,000	3,000
Health Care Standards and Surveillance	480,400	100,000	7,265,800	500,000
Laboratories and Research	76,000	0	6,105,600	553,700
Managed Care	0	(292,000)	4,701,000	839,600
Medicaid Audit and Fraud Prevention	180,000	0	2,743,200	100,400
Office of Medicaid Management	256,000	(64,800)	3,622,000	(137,480)
Medicaid Management Information System	0	0	60,766,000	12,090,000
<b>Total</b>	<b>2,954,900</b>	<b>(222,900)</b>	<b>113,387,400</b>	<b>21,525,520</b>

<b>Program</b>	<b>Equipment</b>		<b>General State Charges</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	51,000	0	0	0
AIDS Institute	240,900	0	0	0
Community Health	38,400	0	0	0
Office of Continuing Care	47,500	0	0	0
Elderly Pharmaceutical Insurance Coverage	5,000	1,500	0	0
Environmental Health	140,600	35,000	0	0
Health Care Financing	10,700	(3,000)	0	0
Health Care Standards and Surveillance	159,500	12,100	0	(811,700)
Laboratories and Research	354,500	0	0	0
Managed Care	0	(400,500)	0	0
Medicaid Audit and Fraud Prevention	526,500	(100,000)	0	0
Office of Medicaid Management	260,000	191,200	0	0
<b>Total</b>	<b>1,834,600</b>	<b>(263,700)</b>	<b>0</b>	<b>(811,700)</b>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	0	(4,200,000)
AIDS Institute	700,000	250,000
Office of Continuing Care	0	(500,000)
Elderly Pharmaceutical Insurance Coverage	71,000	(5,499,400)
Environmental Health	0	(1,500,000)
Health Care Standards and Surveillance	5,466,000	2,466,000
Laboratories and Research	5,000,000	0
Medicaid Audit and Fraud Prevention	1,149,000	0
Office of Medicaid Management	26,751,000	7,300,000
<b>Total</b>	<b>39,137,000</b>	<b>(1,683,400)</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	42,756,000	3,414,400	16,326,000	1,928,600
AIDS Institute	2,136,000	73,800	842,000	9,100
Child Health Insurance	41,960,000	17,308,400	2,336,000	(54,700)
Community Health	104,822,000	(4,534,500)	0	(27,200)
Office of Continuing Care	5,727,000	(11,083,700)	133,000	(2,500)
Environmental Health	25,395,000	(1,679,500)	4,769,000	274,900
Health Care Financing	6,145,000	362,300	3,671,000	439,000
Health Care Standards and Surveillance	43,372,000	1,349,700	12,522,000	(341,400)
Institution Management	91,028,000	(18,514,000)	0	0
Laboratories and Research	39,891,000	1,151,500	9,415,000	225,600
Medicaid Audit and Fraud Prevention	51,066,000	2,002,500	0	0
Office of Medicaid Management	3,135,250,000	120,149,300	0	0
Medicaid Management Information System	67,510,000	(1,000)	0	0
<b>Total</b>	<b>3,657,058,000</b>	<b>109,999,200</b>	<b>50,014,000</b>	<b>2,451,400</b>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Executive Direction	11,938,000	1,457,800	14,492,000	28,000
AIDS Institute	1,294,000	64,700	0	0
Child Health Insurance	9,344,000	483,100	30,280,000	16,880,000
Community Health	100,000	(16,200)	104,722,000	(4,491,100)
Office of Continuing Care	3,393,000	(104,200)	2,201,000	(10,977,000)
Environmental Health	9,371,000	195,900	11,255,000	(2,150,300)
Health Care Financing	2,474,000	423,300	0	(500,000)
Health Care Standards and Surveillance	12,260,000	660,300	18,590,000	1,030,800
Institution Management	0	0	91,028,000	(18,514,000)
Laboratories and Research	11,444,000	356,100	19,032,000	569,800
Medicaid Audit and Fraud Prevention	10,000,000	0	41,066,000	2,002,500
Office of Medicaid Management	0	0	3,135,250,000	120,149,300
Medicaid Management Information System	0	0	67,510,000	(1,000)
<b>Total</b>	<b>71,618,000</b>	<b>3,520,800</b>	<b>3,535,426,000</b>	<b>104,027,000</b>

# HEALTH

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	6,320,167,893	6,820,080,000	499,912,107
Special Revenue Funds - Federal	16,559,793,500	18,113,784,000	1,553,990,500
Special Revenue Funds - Other	1,673,981,100	1,801,469,000	127,487,900
Fiduciary Funds	<u>650,000,000</u>	<u>850,000,000</u>	<u>200,000,000</u>
Total	25,203,942,493	<u>27,585,333,000</u>	<u>2,381,390,507</u>
Adjustments:			
Transfer(s) To			
Health, Department of			
General Fund (State Operations)		<u>3,000,000</u>	
Appropriated 2000-01		<u>25,206,942,493</u>	

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration and Executive Direction			
General Fund	869,300	869,000	(300)
AIDS Institute			
General Fund	61,556,700	53,656,000	(7,900,700)
Special Revenue Funds - Other	34,595,000	34,597,000	2,000
Child Health Insurance			
Special Revenue Funds - Federal	291,600,000	726,720,000	435,120,000
Special Revenue Funds - Other	240,000,000	280,320,000	40,320,000
Community Health			
General Fund	393,356,500	461,588,000	68,231,500
Special Revenue Funds - Federal	584,097,900	569,686,000	(14,411,900)
Special Revenue Funds - Other	36,578,100	36,614,000	35,900
Office of Continuing Care			
General Fund	11,342,200	7,342,000	(4,000,200)
Special Revenue Funds - Federal	0	315,000	315,000
Elderly Pharmaceutical Insurance Coverage			
General Fund	252,200,000	360,400,000	108,200,000
Environmental Health			
General Fund	1,500,000	6,000,000	4,500,000
Special Revenue Funds - Federal	2,810,800	2,208,000	(602,800)
Special Revenue Funds - Other	200,000	200,000	0
Health Care Standards and Surveillance			
General Fund	10,284,900	9,535,000	(749,900)
Institution Management			
General Fund	0	30,000,000	30,000,000
Laboratories and Research			
General Fund	1,071,000	1,071,000	0
Special Revenue Funds - Federal	2,134,800	2,105,000	(29,800)
Maintenance Undistributed			
General Fund	(209,608,000)	(272,338,000)	(62,730,000)
Special Revenue Funds - Other	209,608,000	272,338,000	62,730,000
Medical Assistance			
General Fund	5,694,300,000	6,083,400,000	389,100,000
Special Revenue Funds - Federal	15,300,500,000	16,424,000,000	1,123,500,000
Special Revenue Funds - Other	1,153,000,000	1,177,400,000	24,400,000
Fiduciary Funds	650,000,000	850,000,000	200,000,000
Medical Assistance Administration			
General Fund	87,750,000	78,557,000	(9,193,000)
Special Revenue Funds - Federal	378,650,000	388,750,000	10,100,000
Community Projects			
General Fund	15,545,293	0	(15,545,293)
Total	<u>25,203,942,493</u>	<u>27,585,333,000</u>	<u>2,381,390,507</u>

# HEALTH

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**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	0	0	0	1,503,000
Rehabilitation And Improvements				
Capital Projects Fund	0	0	0	2,461,000
Laboratories and Research				
Capital Projects Fund	4,000,000	4,000,000	0	8,852,000
Maintenance and Improvements of Existing Institutions				
Capital Projects Fund	7,600,000	7,600,000	0	15,013,000
New Institution Construction				
Capital Projects Fund - Advances	0	0	0	26,500,000
Department of Health Facilities Capital Improvemt Fund	0	0	0	7,932,000
Water Resources				
Federal Capital Projects Fund	48,477,000	53,659,000	5,182,000	136,091,000
Safe Drinking Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	<u>60,000,000</u>	<u>50,000,000</u>	<u>(10,000,000)</u>	<u>10,000,000</u>
Total	<u>120,077,000</u>	<u>115,259,000</u>	<u>(4,818,000)</u>	<u>208,352,000</u>

# HUDSON RIVER PARK TRUST

## MISSION

The Hudson River Park Trust (HRPT) is a public benefit corporation established in 1998 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 2001-02, 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 \$40 million in new appropriations, in concert with \$76 million in reappropriations, will fund all Trust capital costs in 2001-02 associated with the planning, design and construction of Park projects. Specifically, 2001-02 Budget recommendations provide \$20 million for Park development from the Environmental Protection Fund within the budget for the Department of Environmental Conservation, and a State-funded advance appropriation of \$20 million, which will be repaid by New York City as part of its share of the Park's initial development costs. All Trust administrative activities, including operating costs, are paid directly from a portion of the commercial lease payments and other revenues generated by businesses and activities conducted on the Park property. These receipts are deposited directly to the Trust.

## PROGRAM HIGHLIGHTS

During 2001-02, the Trust will continue to refine the framework and scope of the Hudson River Park, work with the Project Manager to complete both design and construction segments of the park, develop detailed cost estimates, explore alternative sources of funding and continue to oversee capital projects to build the Park.

<b>ALL FUNDS APPROPRIATIONS (dollars)</b>				
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	0	0	0	0
Aid To Localities	0	0	0	0
Capital Projects	65,000,000	20,000,000	(45,000,000)	52,000,000
Total	<u>65,000,000</u>	<u>20,000,000</u>	<u>(45,000,000)</u>	<u>52,000,000</u>



# **HUDSON RIVER PARK TRUST**

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**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b><u>Comprehensive Construction Program</u></b>	<b><u>Available 2000-01</u></b>	<b><u>Recommended 2001-02</u></b>	<b><u>Change</u></b>	<b><u>Reappropriations 2001-02</u></b>
Regional Development				
Capital Projects Fund - Advances	52,000,000	20,000,000	(32,000,000)	52,000,000
Hudson River Park Fund	13,000,000	0	(13,000,000)	0
Total	<u>65,000,000</u>	<u>20,000,000</u>	<u>(45,000,000)</u>	<u>52,000,000</u>

# 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).

The Division will have a workforce of 200 employees during SFY 2001-02: 35 for administration of the Division and 165 to investigate, determine probable cause, and hear individual cases, of discrimination. Funding is also provided to support 6 per diem administrative law judges not reflected in the 200 salaried staff.

## BUDGET AND PROGRAM HIGHLIGHTS

In the last four years, the Division has made solid progress toward reducing its backlog of cases. Open cases totaled 10,750 at the close of the 1999-2000 fiscal year, down from 16,880, since 1995.

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 2001-02 Executive Budget recommends the addition of 9 positions and a budget initiative of \$1 million.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	15,023,000	16,129,000	1,106,000	2,800,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>15,023,000</u>	<u>16,129,000</u>	<u>1,106,000</u>	<u>2,800,000</u>

# HUMAN RIGHTS

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

Program	Full-Time Equivalent Positions (FTE)		
	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration			
General Fund	43	45	2
Legal Enforcement			
General Fund	25	27	2
Regional Affairs			
General Fund	90	95	5
Special Revenue Funds - Federal	33	33	0
Total	<u>191</u>	<u>200</u>	<u>9</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	11,992,000	13,139,000	1,147,000
Special Revenue Funds - Federal	2,941,000	2,900,000	(41,000)
Special Revenue Funds - Other	70,000	70,000	0
Fiduciary Funds	20,000	20,000	0
Total	<u>15,023,000</u>	<u>16,129,000</u>	<u>1,106,000</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(696,000)		
Special Revenue Funds - Federal	(141,000)		
Appropriated 2000-01	<u>14,186,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Administration			
General Fund	5,311,000	6,028,000	717,000
Special Revenue Funds - Other	70,000	70,000	0
Fiduciary Funds	20,000	20,000	0
Legal Enforcement			
General Fund	1,254,000	1,423,000	169,000
Regional Affairs			
General Fund	5,427,000	5,688,000	261,000
Special Revenue Funds - Federal	<u>2,941,000</u>	<u>2,900,000</u>	<u>(41,000)</u>
Total	<u>15,023,000</u>	<u>16,129,000</u>	<u>1,106,000</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	2,886,000	166,000	2,662,000	166,000
Legal Enforcement	1,318,000	157,000	1,317,000	157,000
Regional Affairs	5,228,000	246,000	5,226,000	246,000
Total	<u>9,432,000</u>	<u>569,000</u>	<u>9,205,000</u>	<u>569,000</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	222,000	0	2,000	0
Legal Enforcement	0	0	1,000	0
Regional Affairs	0	0	2,000	0
Total	<u>222,000</u>	<u>0</u>	<u>5,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,142,000	551,000	10,000	1,000
Legal Enforcement	105,000	12,000	7,000	0
Regional Affairs	460,000	15,000	12,000	1,000
Total	<u>3,707,000</u>	<u>578,000</u>	<u>29,000</u>	<u>2,000</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	36,000	5,000	3,060,000	542,000
Legal Enforcement	28,000	0	64,000	12,000
Regional Affairs	30,000	1,000	358,000	12,000
Total	<u>94,000</u>	<u>6,000</u>	<u>3,482,000</u>	<u>566,000</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	36,000	3,000
Legal Enforcement	6,000	0
Regional Affairs	60,000	1,000
Total	<u>102,000</u>	<u>4,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	90,000	0	90,000	0
Regional Affairs	2,900,000	(41,000)	2,900,000	(41,000)
Total	<u>2,990,000</u>	<u>(41,000)</u>	<u>2,990,000</u>	<u>(41,000)</u>



# DEPARTMENT OF MENTAL HYGIENE

The Department of Mental Hygiene operates through three independent agencies: the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, and the Office of Alcoholism and Substance Abuse Services. All three agencies provide services directly to their clients through State operated facilities, and receive reimbursement for these services, primarily Medicaid. However, these patient revenues are pledged first to the payment of debt service on outstanding Mental Hygiene bonds.

This appropriation from the Patient Income Account may be distributed to any of the three agencies in order to access additional revenues made available due to a decreased set-aside for debt service. The 2001-02 Executive Budget anticipates debt service payment changes as a result of the defeasance of Mental Hygiene bonds during 2000-01 with Debt Reduction Reserve Fund monies.

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	0	17,200,000	17,200,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>0</u>	<u>17,200,000</u>	<u>17,200,000</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	0	17,200,000	17,200,000
Total	<u>0</u>	<u>17,200,000</u>	<u>17,200,000</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 2001-02, OASAS will have a workforce of 1,001, of which 55 percent provide clinical treatment services through the ATCs. This represents a year-to-year reduction of 27 positions — of which the final seven will occur in 2001-02 — accomplished through the restructuring of central oversight functions. No staffing reductions will be made in the ATCs.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2001-02 Executive Budget recommends \$495 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 2001-02.

In comparison to the prior year, total OASAS appropriations decrease by nearly \$10 million. Nearly half of this reduction is attributable to a non-recurring 2000-01 capital increase of \$5 million to develop 100 new beds offering specialized treatment to adolescents and women with children. This funding is continued as a reappropriation. The remaining decrease reflects the maximization of Federal reimbursement, more efficient operations, and the elimination of other non-recurring costs.

The recommended funding level is sufficient to ensure the continuation of all existing services, including:

- full operation of all 13 ATCs;
- all necessary operating funds in support of planned residential bed expansions begun in both 1997-98 and 2000-01;
- preservation of the full 2 percent cost of living increase granted in 2000-01; and,
- sufficient capital funding to meet and maintain health and safety standards in both the State and voluntary facilities.



## **ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

In addition, the 2001-02 Executive Budget continues the consolidation of the OASAS system — uniting the separate alcoholism and substance abuse systems into a single chemical dependence system.

### **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 (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	72,587,000	70,432,000	(2,155,000)	0
Aid To Localities	397,304,781	394,497,000	(2,807,781)	57,821,000
Capital Projects	35,186,000	30,940,000	(4,246,000)	132,172,000
Total	505,077,781	495,869,000	(9,208,781)	189,993,000

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

##### **Full-Time Equivalent Positions (FTE)**

<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Executive Direction			
General Fund	352	345	(7)
Special Revenue Funds - Federal	75	75	0
Special Revenue Funds - Other	12	12	0
Capital-Administration			
Capital Projects Funds - Other	8	8	0
Institutional Services			
General Fund	551	551	0
Prevention and Program Support			
Special Revenue Funds - Federal	10	10	0
Total	1,008	1,001	(7)

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	49,444,000	46,941,000	(2,503,000)
Special Revenue Funds - Federal	5,922,000	5,663,000	(259,000)
Special Revenue Funds - Other	17,221,000	17,828,000	607,000
Total	<u>72,587,000</u>	<u>70,432,000</u>	<u>(2,155,000)</u>

Adjustments:

Transfer(s) From			
Alcoholism and Substance Abuse Services, Office of			
Special Revenue Funds - Federal (Aid To Localities)	(1,233,000)		
Special Pay Bill			
General Fund	(4,201,000)		
Special Revenue Funds - Federal	(316,000)		
Special Revenue Funds - Other	(43,000)		
Appropriated 2000-01	<u>66,794,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Executive Direction			
General Fund	23,430,000	20,128,000	(3,302,000)
Special Revenue Funds - Federal	5,922,000	5,663,000	(259,000)
Special Revenue Funds - Other	7,871,000	8,828,000	957,000
Institutional Services			
General Fund	26,014,000	26,813,000	799,000
Special Revenue Funds - Other	9,350,000	9,000,000	(350,000)
Total	<u>72,587,000</u>	<u>70,432,000</u>	<u>(2,155,000)</u>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Executive Direction	20,982,000	(1,503,000)	20,802,000	(1,503,000)
Institutional Services	27,746,000	(334,000)	27,001,000	(334,000)
Total	<u>48,728,000</u>	<u>(1,837,000)</u>	<u>47,803,000</u>	<u>(1,837,000)</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Executive Direction	112,000	0	68,000	0
Institutional Services	404,000	0	341,000	0
Total	<u>516,000</u>	<u>0</u>	<u>409,000</u>	<u>0</u>

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Nonpersonal Service		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Direction	6,846,000	(799,000)	579,000	0
Institutional Services	8,067,000	783,000	3,682,000	291,000
Total	14,913,000	(16,000)	4,261,000	291,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Direction	641,000	(150,000)	5,602,000	(649,000)
Institutional Services	251,000	0	3,748,000	492,000
Total	892,000	(150,000)	9,350,000	(157,000)

Program	Equipment	
	Amount	Change
Executive Direction	24,000	0
Institutional Services	386,000	0
Total	410,000	0

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Executive Direction	6,791,000	(302,000)	3,389,000	600,000
Total	6,791,000	(302,000)	3,389,000	600,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction	1,904,000	(859,000)	1,498,000	(43,000)
Total	1,904,000	(859,000)	1,498,000	(43,000)

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	257,136,781	254,730,000	(2,406,781)
Special Revenue Funds - Federal	132,168,000	131,767,000	(401,000)
Special Revenue Funds - Other	8,000,000	8,000,000	0
Total	397,304,781	394,497,000	(2,807,781)

Adjustments:	
Transfer(s) To	
Alcoholism and Substance Abuse Services, Office of	
Special Revenue Funds - Federal (State Operations)	1,233,000
Appropriated 2000-01	398,537,781

## **ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

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

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Treatment Services Program			
General Fund	205,476,000	204,611,000	(865,000)
Special Revenue Funds - Federal	89,451,000	88,993,000	(458,000)
Prevention and Program Support			
General Fund	50,119,000	50,119,000	0
Special Revenue Funds - Federal	42,717,000	42,774,000	57,000
Special Revenue Funds - Other	8,000,000	8,000,000	0
Community Projects			
General Fund	1,541,781	0	(1,541,781)
Total	<u>397,304,781</u>	<u>394,497,000</u>	<u>(2,807,781)</u>

### **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	1,500,000	1,250,000	(250,000)	3,500,000
Mental Hygiene Capital Improvement Fund	2,966,000	2,250,000	(716,000)	8,182,000
Administration				
Capital Projects Fund	519,000	902,000	383,000	0
Mental Hygiene Capital Improvement Fund	279,000	0	(279,000)	0
Non-Bondable Projects				
Capital Projects Fund	752,000	750,000	(2,000)	752,000
Community Alcoholism and Substance Abuse Facilities				
Capital Projects Fund	2,750,000	3,288,000	538,000	20,315,000
Mental Hygiene Capital Improvement Fund	24,100,000	20,000,000	(4,100,000)	82,239,000
Institutional Services Program				
Capital Projects Fund	383,000	500,000	117,000	3,668,000
Mental Hygiene Capital Improvement Fund	1,937,000	2,000,000	63,000	13,516,000
Total	<u>35,186,000</u>	<u>30,940,000</u>	<u>(4,246,000)</u>	<u>132,172,000</u>



# **OFFICE OF MENTAL HEALTH**

## **MISSION**

The Office of Mental Health's (OMH) mission is to promote hope and recovery for people with psychiatric disabilities. It is responsible for planning and operating an integrated system of mental health care that serves 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 community programs certified and funded by the State, but operated by local governments, and not-for-profit and profit-making providers. OMH regulates and licenses approximately 2,500 programs across the State. 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 28 facilities across the State, including 17 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 2001-02 Executive Budget provides \$2.16 billion in total authorized spending for the Office of Mental Health from General Fund, Federal and third-party resources, an increase of \$112.3 million, compared to 2000-01. General Fund support to the agency increases by \$140.2 million from the prior year.

Budget recommendations for the Office of Mental Health will strengthen community mental health care and accountability and provide the highest quality inpatient care for people requiring such services.

Over the past six years, the Office of Mental Health has acted to strengthen community services while achieving greater efficiencies in the operation of its inpatient programs. Using the resources provided in recent Budgets — such as State Aid to Localities, Medicaid reimbursement, major capital financing initiatives for community housing, Assisted Outpatient Treatment, the Enhanced Community Services Program and the Community Mental Health Reinvestment Act — the Office of Mental Health has reshaped the balance of funding provided to psychiatric centers and community operations. The agency has closed unneeded State-operated inpatient beds as well as four psychiatric centers; it has consolidated adult inpatient care from three campuses onto one campus on Long Island; and it has fundamentally restructured State-operated outpatient services. Simultaneously, it has significantly expanded community housing opportunities and, through Kendra's Law and other actions, has initiated major expansions of case management and other community services and oversight of individuals with mental illness. Approximately 70 percent of State funding and Medicaid dollars are now spent on community mental health care.

The recommended Budget for 2001-02 provides full funding for all multi-year initiatives underway, including expansions under the Enhanced Community Services Program; Kendra's Law, including its psychiatric medication grant program; the New York/New York II agreement and other housing development; and the Community Mental Health Reinvestment Act.

## **MENTAL HEALTH**

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### **COMMUNITY REINVESTMENT**

The financing provisions of the current Community Mental Health Reinvestment Act expire at the end of September, 2001. Accordingly, with \$3.3 million in part-year funding, the 2001-02 Executive Budget completes the implementation of this program by providing an increase of \$6.6 million in annualized Reinvestment authorization to expand community-based recovery and rehabilitation services. This brings the total amount provided for program expansion since the inception of Community Reinvestment to \$212 million on a full annual basis.

Community Reinvestment was designed in the early 1990s as a way to better balance the resources allocated to State-operated facilities and to community-based services. With dramatic changes in the psychiatric center and community-based systems, and with the state facilities nearing their long-term census projections, the expiration of the financing formula provides a new opportunity to meet current needs by refocusing our commitments. Among the highest of priorities is to strengthen the State's extensive system of community services and housing by supporting its basic infrastructure and workforce.

Toward this end, the 2001-02 Executive Budget recommends enactment of a new Community Mental Health Support and Workforce Reinvestment Act, which will fund multi-year Cost of Living Adjustment (COLA) increases for local programs and a 10 percent Medicaid fee increase for outpatient programs licensed under Article 31 of the Mental Hygiene Law. The new Act will utilize savings from the consolidation and closure or re-location of facilities, and the closure of inpatient beds no longer needed to meet community needs.

Staffing and other management efficiencies, along with significant capital construction savings, are anticipated through the consolidation, closure and re-location of facilities. The Community Mental Health Support and Workforce Reinvestment Act includes the authorization for the following psychiatric centers to be consolidated, closed, or re-located:

- Western New York Children's Psychiatric Center will re-locate to the Buffalo Psychiatric Center campus on April 1, 2002;
- Hutchings Psychiatric Center will be consolidated with Mohawk Valley Psychiatric Center and will close on January 1, 2003;
- Sagamore Children's Psychiatric Center will re-locate to the Pilgrim Psychiatric Center campus on January 1, 2003;
- Rockland Children's Psychiatric Center will re-locate with Rockland Psychiatric Center on January 1, 2003;
- Kirby Forensic Psychiatric Center will re-locate to the Manhattan Psychiatric Center on July 1, 2003;
- Queens Children's Psychiatric Center will re-locate to Creedmoor Psychiatric Center on October 1, 2003; and
- Middletown Psychiatric Center will be consolidated with Rockland Psychiatric Center and will close on January 1, 2004.

Once complete, the annualized savings generated by these actions will provide more than \$64 million in funding to strengthen the community-based system. The Community Mental Health Support and Workforce Reinvestment Act also provides that, until full implementation of the facility consolidations and re-locations are complete, the General Fund will match a percentage of the savings generated. In total, the actions authorized in the legislation will support a 10 percent Medicaid fee increase for mental health clinics, day treatment services and other licensed Article 31 outpatient programs, and an annual 2.5 percent COLA to community-based services and housing programs in each of the next three years.

The proposed legislation also authorizes the development of as many as 104 State-operated adult transitional housing beds and 40 State-operated children's crisis residence beds on the grounds of State psychiatric centers which will assist adults and children to recover from mental illness.

**ADULT PSYCHIATRIC CENTER BED CLOSURES**

During 2000-01, the State placed a moratorium on further adult psychiatric center bed closures to ensure that any client who appropriately requires inpatient care provided by these facilities would not have to wait for a placement. Experience in the current year has shown that although admissions, treatment and discharge policies have not changed, the need for inpatient beds continues to decrease. Although State-operated adult facilities were fully funded and staffed at prior year levels, individual patients were discharged to community programs whenever clinically appropriate.

As the community system expands through the Enhanced Community Services Program, New York/New York II, Kendra's Law and other State Aid programs, the Office of Mental Health continues to project the need for fewer inpatient beds. The 2001-02 Executive Budget reflects savings from the closure of 240 beds across the State, and has reinvested the savings in Aid to Localities under the provisions of both the current Community Mental Health Reinvestment Act and the newly proposed Community Mental Health Support and Workforce Reinvestment Act. The Office of Mental Health's long-range projection of statewide inpatient bed need over the next two years shows a similar surplus, and accordingly, the agency expects to close an additional 485 beds. The closure of excess bed capacity generates savings which supports the new Community Mental Health Support and Workforce Reinvestment Act. Overall, the agency will close most of its anticipated excess capacity, but will keep open an average of approximately 150 additional beds beyond its projection of bed needs from 2001-02 through 2003-04.

**ASSISTED OUTPATIENT TREATMENT**

A General Fund appropriation of \$32 million is included for the Assisted Outpatient Treatment program ("Kendra's Law") enacted in 1999-2000. The program provides 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. The appropriations support case management and other services aimed at keeping the clients in a treatment program, including psychiatric medication as required. The appropriations also provide psychiatric medication to individuals being discharged from State psychiatric centers, community hospitals, prisons and jails while their Medicaid eligibility is being determined.

**ENHANCED COMMUNITY SERVICES**

Increased appropriations of \$29.9 million are provided to the Enhanced Community Services Program proposed by Governor Pataki last year. The program is supported by Health Care Reform Act (HCRA) revenues and provides \$125 million in additional spending for a wide variety of services designed to strengthen the community mental health service system for children and adults. The program significantly expands case management, housing, family support, family-based treatment, home and community-based waiver, and mobile crisis team services. Moreover, the Enhanced Community Services Program will result in more effective systems for managing resources to best serve the clients by establishing new Single Points of Entry at the local level. This will improve the assignment of case management and housing opportunities to the most needy clients.

**COMMUNITY HOUSING AND OTHER SERVICES**

The 2001-02 Budget supports a community housing system of over 26,400 beds by the end of the fiscal year. It provides operational and capital funding for local programs



## **MENTAL HEALTH**

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to maintain the existing residential system and continue the development of community beds previously authorized through New York/New York II and other housing initiatives. Including the new residential beds in the Governor's Enhanced Community Services Program, and those now in various stages of development, this Budget provides operational funding for about 2,700 new community beds which are expected to open by the end of 2001-02. Another 2,100 are in other stages of development.

The Governor's Budget also includes \$5.2 million to increase the stipends paid to community providers for the operation of Supported Housing beds. This action will strengthen the program for about 5,100 beds currently operating, by increasing the stipend to the levels authorized under the Enhanced Community Services Program. In addition, an increase of about \$2 million is recommended to strengthen both the Family Based Treatment program and the Children's Community Residences program.

### **OTHER ACTIONS**

The Governor's Budget saves \$6.7 million by eliminating 150 funded vacancies that were previously temporarily assigned to various psychiatric centers to support programs during periods of significant census decreases. This stand-by authorization is no longer required as only modest census decline is anticipated in the coming years. Also, the State psychiatric center system will maintain additional staffing beyond projected needs to ensure timely access to State inpatient beds. The Budget also reflects savings of \$3.6 million from efficiencies realized from the automation of manual medical records and revenue billing processes.

OMH's Capital Budget includes new appropriations of \$174.7 million for preservation and maintenance of inpatient and community facilities. Capital spending from new appropriations and re-appropriations will support facility projects that will increase health and safety, preserve and maintain the physical plant consistent with the Office of Mental Health's facility maintenance program and comply with accreditation standards. This year's new appropriations include approximately \$57 million in funding to implement the psychiatric center consolidations and re-locations authorized under the new Community Mental Health Support and Workforce Reinvestment Act. These actions, however, will avoid an estimated \$168 million in capital costs required for these facilities at their current locations. In addition, the capital appropriations include funds to develop the new adult transitional housing beds and children's crisis beds also authorized in the proposed Community Mental Health Support and Workforce Reinvestment Act. Capital spending is also provided for local programs to maintain the existing residential system and to continue development of community beds previously authorized.

### **PROGRAM HIGHLIGHTS**

New York State will continue to rank number one in the nation 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 that serve adults, children, and forensic populations. State-operated psychiatric centers provide inpatient services to approximately 9,700 adults and children who are admitted annually, while over 37,000 individuals are served through various outpatient and support programs.
- While inpatients 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, which include 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 neurological sciences, 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; 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 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.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	1,139,380,000	1,148,262,000	8,882,000	929,000
Aid To Localities	776,514,650	839,317,000	62,802,350	31,157,000
Capital Projects	134,120,000	174,735,000	40,615,000	548,061,000
Total	<u>2,050,014,650</u>	<u>2,162,314,000</u>	<u>112,299,350</u>	<u>580,147,000</u>

# MENTAL HEALTH

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

Program	Full-Time Equivalent Positions (FTE)		
	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration and Finance			
General Fund	589	579	(10)
Special Revenue Funds - Federal	11	11	0
Enterprise Funds	20	20	0
Internal Service Funds	24	24	0
Adult Services			
General Fund	13,159	12,813	(346)
Capital Planning			
Capital Projects Funds - Other	41	41	0
Children and Youth Services			
General Fund	1,955	1,953	(2)
Forensic Services			
General Fund	1,878	1,881	3
Maintenance Undistributed			
Special Revenue Funds - Other	338	397	59
Research			
General Fund	497	497	0
Special Revenue Funds - Other	27	27	0
Total	<u>18,539</u>	<u>18,243</u>	<u>(296)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	611,749,000	731,413,000	119,664,000
Special Revenue Funds - Federal	929,000	1,258,000	329,000
Special Revenue Funds - Other	516,239,000	404,772,000	(111,467,000)
Enterprise Funds	7,842,000	8,015,000	173,000
Internal Service Funds	2,051,000	2,234,000	183,000
Fiduciary Funds	570,000	570,000	0
Total	<u>1,139,380,000</u>	<u>1,148,262,000</u>	<u>8,882,000</u>
Adjustments:			
Transfer(s) From			
Mental Health, Office of			
General Fund (Aid To Localities)	(1,197,000)		
Special Pay Bill			
General Fund	(74,015,000)		
Enterprise Funds	(29,000)		
Internal Service Funds	(84,000)		
Appropriated 2000-01	<u>1,064,055,000</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration and Finance			
General Fund	57,460,000	57,213,000	(247,000)
Special Revenue Funds - Federal	929,000	1,258,000	329,000
Special Revenue Funds - Other	0	1,300,000	1,300,000
Enterprise Funds	7,842,000	8,015,000	173,000
Internal Service Funds	2,051,000	2,234,000	183,000
Fiduciary Funds	570,000	570,000	0
Adult Services			
General Fund	788,013,000	785,998,000	(2,015,000)
Children and Youth Services			
General Fund	115,353,000	115,645,000	292,000
Enhanced Community Services			
General Fund	15,948,000	19,600,000	3,652,000
Forensic Services			
General Fund	105,163,000	109,846,000	4,683,000
Maintenance Undistributed			
General Fund	(510,488,000)	(397,700,000)	112,788,000
Special Revenue Funds - Other	510,488,000	397,700,000	(112,788,000)
Research			
General Fund	40,300,000	40,811,000	511,000
Special Revenue Funds - Other	5,751,000	5,772,000	21,000
Total	<u>1,139,380,000</u>	<u>1,148,262,000</u>	<u>8,882,000</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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 and Finance	38,135,000	2,455,000	37,179,000	2,776,000
Adult Services	649,197,000	(8,843,000)	601,473,000	(6,479,000)
Children and Youth Services	102,108,000	291,000	95,402,000	290,000
Forensic Services	99,470,000	4,345,000	92,637,000	3,312,000
Research	35,735,000	333,000	35,167,000	338,000
Total	<u>924,645,000</u>	<u>(1,419,000)</u>	<u>861,858,000</u>	<u>237,000</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration and Finance	718,000	(260,000)	238,000	(61,000)
Adult Services	14,116,000	(1,529,000)	33,608,000	(835,000)
Children and Youth Services	3,165,000	1,000	3,541,000	0
Forensic Services	3,035,000	377,000	3,798,000	656,000
Research	81,000	1,000	487,000	(6,000)
Total	<u>21,115,000</u>	<u>(1,410,000)</u>	<u>41,672,000</u>	<u>(246,000)</u>

# MENTAL HEALTH

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Finance	19,078,000	(2,702,000)	809,000	(15,000)
Adult Services	136,801,000	6,828,000	68,280,000	4,853,000
Children and Youth Services	13,537,000	1,000	5,681,000	1,000
Enhanced Community Services	19,600,000	3,652,000	0	0
Forensic Services	10,376,000	338,000	6,106,000	168,000
Research	5,076,000	178,000	2,128,000	74,000
Total	<u>204,468,000</u>	<u>8,295,000</u>	<u>83,004,000</u>	<u>5,081,000</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Finance	1,271,000	(22,000)	15,225,000	(2,634,000)
Adult Services	2,913,000	86,000	59,892,000	1,811,000
Children and Youth Services	495,000	(1,000)	6,835,000	1,000
Forensic Services	605,000	7,000	3,471,000	156,000
Research	74,000	3,000	2,765,000	97,000
Total	<u>5,358,000</u>	<u>73,000</u>	<u>88,188,000</u>	<u>(569,000)</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Finance	1,773,000	(31,000)	0	0
Adult Services	2,551,000	78,000	3,165,000	0
Children and Youth Services	526,000	0	0	0
Enhanced Community Services	0	0	19,600,000	3,652,000
Forensic Services	194,000	7,000	0	0
Research	109,000	4,000	0	0
Total	<u>5,153,000</u>	<u>58,000</u>	<u>22,765,000</u>	<u>3,652,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Finance	13,377,000	1,985,000	4,165,000	505,000
Research	5,772,000	21,000	1,836,000	(549,000)
Total	<u>19,149,000</u>	<u>2,006,000</u>	<u>6,001,000</u>	<u>(44,000)</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Finance	7,912,000	180,000	1,300,000	1,300,000
Research	3,936,000	570,000	0	0
Total	<u>11,848,000</u>	<u>750,000</u>	<u>1,300,000</u>	<u>1,300,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	706,313,650	733,109,000	26,795,350
Special Revenue Funds - Federal	27,126,000	31,673,000	4,547,000
Special Revenue Funds - Other	43,075,000	74,535,000	31,460,000
Total	<u>776,514,650</u>	<u>839,317,000</u>	<u>62,802,350</u>
Adjustments:			
Transfer(s) To			
Mental Health, Office of			
General Fund (State Operations)	1,197,000		
Appropriated 2000-01	<u>777,711,650</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Adult Services			
General Fund	444,014,000	447,029,000	3,015,000
Special Revenue Funds - Federal	21,617,000	24,695,000	3,078,000
Special Revenue Funds - Other	2,475,000	7,735,000	5,260,000
Children and Youth Services			
General Fund	92,400,000	96,090,000	3,690,000
Special Revenue Funds - Federal	5,509,000	6,978,000	1,469,000
Enhanced Community Services			
General Fund	40,600,000	66,800,000	26,200,000
Maintenance Undistributed			
General Fund	(40,600,000)	(66,800,000)	(26,200,000)
Special Revenue Funds - Other	40,600,000	66,800,000	26,200,000
Reinvestment			
General Fund	167,422,000	189,990,000	22,568,000
Community Projects			
General Fund	2,477,650	0	(2,477,650)
Total	<u>776,514,650</u>	<u>839,317,000</u>	<u>62,802,350</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	1,750,000	1,750,000	0	1,700,000
Mental Hygiene Capital Improvement Fund	9,000,000	7,500,000	(1,500,000)	16,280,000
Executive Direction				
Capital Projects Fund	0	0	0	3,325,000
Mental Hygiene Capital Improvement Fund	3,300,000	3,300,000	0	3,300,000
Community Mental Health Facilities				
Capital Projects Fund	5,000,000	5,000,000	0	26,489,000
Mental Hygiene Capital Improvement Fund	5,412,000	5,424,000	12,000	153,841,000
Non-Bondable Projects				
Capital Projects Fund	11,000,000	3,000,000	(8,000,000)	8,000,000
Maintenance and Improvements of Existing Facilities				
Capital Projects Fund	26,238,000	27,969,000	1,731,000	29,937,000
Mental Hygiene Capital Improvement Fund	72,420,000	120,792,000	48,372,000	305,189,000
Total	<u>134,120,000</u>	<u>174,735,000</u>	<u>40,615,000</u>	<u>548,061,000</u>



# **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 have developmental disabilities. 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 (DDSO). Its Central Office oversees and supports operations of the district offices.

OMRDD will have a workforce of 22,181 for 2001-02, 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 2001-02, OMRDD will operate some 662 developmental center beds, along with 1,030 special unit beds. From 1995 to the end of the 2001-02 fiscal year, the State will have moved some 3,300 people into more appropriate community care and will have closed more than 1,900 unneeded institutional beds.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Total funding of \$2.4 billion supports a comprehensive system of care serving more than 120,000 persons with disabilities and their families. Over the last seven years, OMRDD's operating budget has grown by \$503 million, reflecting the Governor's ongoing commitment to serving the needs of persons with developmental disabilities. In 2001-02, OMRDD's mission is supported by the following recommendations:

- OMRDD's Institutional Services Program will receive total funding of \$360.7 million, to support residential care and habilitative services for people in developmental centers. In addition, another \$71.4 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 nearly \$1.9 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 \$92.8 million support the maintenance of existing institutions, community residential and day program sites as well as the development and renovation of residential and day programming sites and other expanded bed capacity.

This budget reflects a \$143 million increase over 2000-01 funding, primarily attributable to growth 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



## **MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

in both the State and non-profit sectors. As a result, General Fund support for OMRDD's operations increases by \$24.9 million, in part reflecting one-time General Fund spending for collective bargaining payments in 2000-01. The Executive Budget recommendations preserve essential direct care and maintain the quality of services for consumers in both non-profit and OMRDD-operated programs.

The 2001-02 Executive Budget incorporates third-year funding of \$105 million for the Governor's nationally-acclaimed five-year initiative known as New York State-Creating Alternatives in Residential Environments and Services (NYS-CARES). This initiative will virtually eliminate the OMRDD adult residential waiting list for persons with developmental disabilities in New York State who are seeking a home in the community. The 2001-02 Budget supports the development of nearly 1,000 additional beds, 600 case management opportunities, and 190 day service opportunities. Over five years, New York State will invest \$314 million in State and Federal funds to provide services to 8,100 individuals requiring out-of-home residential placements.

In support of existing services, a Medicaid trend factor of 3.52 percent will be provided to Intermediate Care Facilities (ICF) and most Home and Community Based Services (HCBS) Waiver programs, providing more than \$20 million in additional State funding to non-profit community-based providers for residential and other services. All new residential programs developed under NYS-CARES will receive this trend. Further, in recognition of the impact of higher fuel costs on day treatment programs, special funding has been set aside to allow service providers to apply for additional reimbursement to ensure consumers receive appropriate transportation services.

The Budget provides funding sufficient for a base salary increase for 38,000 direct care and support 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 \$4.3 million in special General Fund support for a \$500 base wage and benefit increase, while trended programs will be encouraged to invest similarly in direct care from the 3.52 percent trend factor. In addition, OMRDD will be pursuing an e-commerce approach towards publicizing the availability of direct care and support positions in New York State. This approach will promote those job opportunities and is designed to enhance recruitment for direct care and support personnel.

The State's commitment to continued expansion of non-profit community services is reflected in funding for development of 1,050 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 1,550 new supported employment placements, with a new emphasis on providing more severely disabled persons the opportunity to work. In 2001-02, OMRDD will continue to restructure its system to provide services in the most appropriate, least restrictive settings.

During 2001-02, the effort to place individuals residing in the developmental centers into more appropriate community settings will continue. An additional 179 individuals will leave institutions for care in their own communities during 2001-02 and new admissions will be limited to emergency situations of persons with special needs and to persons entering special treatment units. Projections are that by the end of next fiscal year, there will be fewer than 1,700 people living in institutional settings, of whom more than 60 percent will live in specialized settings. OMRDD remains committed to deinstitutionalization for all consumers who can be appropriately cared for in community settings.

In addition, the safety and welfare of the public, as well as those served by OMRDD, continues to be a priority of the Governor. Therefore, the 2001-02 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

## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

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courts at sentencing, while others are identified from within the OMRDD system as requiring more intensive interventions. These placements ensure that these individuals will not be a danger to themselves or others.

Sixty beds will be added in these enriched units, which are known as 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. Including Intensive Treatment beds which opened in 2000-01, OMRDD will have a total of 235 beds at this level of care by the end of 2001-02. In addition, these Budget recommendations also support 60 new beds at the secure Valley Ridge Center for Intensive Treatment in Chenango County, which is under construction and scheduled to open in January 2002.

In 2001-02, OMRDD will also serve 40 new consumers dually diagnosed with both developmental disabilities and with mental illness, but where their primary diagnosis is mental retardation/developmental disability. Many of these individuals will transfer from the Office of Mental Health's care to OMRDD, where they will receive more appropriate care.

In addition to this expansion of specialized settings, OMRDD will open 24 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. The Budget recommendations also fund continued development of 100 State-operated community residential opportunities for the NYS-CARES program.

Consistent with the Governor's emphasis on restructuring government to provide higher quality services more efficiently, including the innovative use of technology, OMRDD will undertake a number of actions to streamline administrative operations in 2001-02. The Office will centralize certain routine human resources and payroll functions, reducing the workload on its district offices, by implementing new automated systems. Through partnerships with voluntary not-for-profit providers and other agencies, education and training services will be delivered to both the public and private sectors on a regional basis, including using the Internet for distance learning. Voluntary provider payments for services — such as room and board supplements — which parallel Medicaid services will be automated, reducing clerical processing workload.

In addition, Article VII legislation is proposed to consolidate the Taconic DDSO into other district office catchment areas, creating a unified administration for developmental disabilities services in the upper Hudson Valley. Since 1995, OMRDD will have streamlined its district office structure from 19 DDSOs to 12 by the end of 2001-02, enabling the reduction of administrative costs while expanding services and oversight. Along with other efficiencies, such as purchasing and overtime best practices, these management actions will save OMRDD \$18 million annually when fully implemented in 2002-03.

Infrastructure throughout the State and not-for-profit systems will be maintained through new capital appropriations of \$93 million and reappropriations of \$111 million. Capital appropriations for institutional projects will focus on the need to reinvest resources into preserving and maintaining long-term facilities mostly for a core population of consumers who have severe behavioral treatment needs and/or have been involved with the criminal justice system. In 2001-02, OMRDD will develop new institutional capacity for these individuals by developing 60 new beds in Intensive Treatment Units across the state. The agency will also complete capital construction associated with other secure and special unit expansions begun in prior years, including opening the Valley Ridge Center for Intensive Treatment. Additionally, OMRDD will begin a significant new capital project at the Institute for Basic Research in Developmental Disabilities to replace old, outdated labs with 17 new labs to ensure ongoing compliance with health and safety requirements.

## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

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New appropriations for institutional projects increase by approximately \$17.5 million in 2001-02. Funding for capital renovations to support placements in special units and the laboratory project at the Institute for Basic Research are the major components of the year to year change.

State and voluntary-operated community capital appropriations increase by \$12.5 million. Capital projects in the community reflect a continued investment to maintain both State and voluntary not-for-profit community based sites, and to develop State-operated residential placements for adults in developmental centers and on the NYS-CARES waiting list. While a modest increase in bonded appropriations is included, in part to address funding needs for small inner-city providers which cannot obtain alternative financing, voluntary not-for-profit capital development needs for NYS-CARES and other program expansion initiatives will continue to be met primarily through the use of non-State revenue 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 8,100 new service opportunities in community programs during 2001-02. 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 more than 120,000 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 continues to place 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 35,000 persons with certified residential services;
- provides 63,000 persons with community day services; and,
- assists in the care of 72,000 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

## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

either the State or not-for-profit providers in the community. This budget supports more than 15,000 IRA beds and accompanying service coordination. Other community living arrangements include Community Residences and Family Care homes, which serve more than 9,000 people.

In addition to these community-based programs, OMRDD operates ten campuses across the State. Fewer than 1,700 people will be served in these settings by the end of 2001-02, of whom more than 60 percent 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
- 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 more than 64,000 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 more than 1,600 disabled individuals who live independently. In addition, almost 6,300 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 with developmental disabilities, who are 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 (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	1,116,464,000	1,140,152,000	23,688,000	44,000
Aid To Localities	1,074,046,684	1,163,599,000	89,552,316	641,000
Capital Projects	63,117,000	92,836,000	29,719,000	110,542,000
Total	<u>2,253,627,684</u>	<u>2,396,587,000</u>	<u>142,959,316</u>	<u>111,227,000</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

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

Full-Time Equivalent Positions (FTE)			
<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Central Coordination and Support			
General Fund	770	763	(7)
Special Revenue Funds - Other	18	0	(18)
Community Services			
General Fund	15,673	15,905	232
Institutional Services			
General Fund	5,253	5,291	38
Enterprise Funds	1	1	0
Research in Mental Retardation			
General Fund	222	222	0
Total	<u>21,937</u>	<u>22,182</u>	<u>245</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	202,337,000	153,296,000	(49,041,000)
Special Revenue Funds - Federal	80,000	80,000	0
Special Revenue Funds - Other	911,535,000	983,521,000	71,986,000
Enterprise Funds	1,957,000	2,350,000	393,000
Internal Service Funds	0	150,000	150,000
Fiduciary Funds	555,000	755,000	200,000
Total	<u>1,116,464,000</u>	<u>1,140,152,000</u>	<u>23,688,000</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(70,815,000)		
Special Revenue Funds - Other	(124,000)		
Enterprise Funds	(7,000)		
Appropriated 2000-01	<u>1,045,518,000</u>		

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Central Coordination and Support			
General Fund	54,278,000	54,333,000	55,000
Special Revenue Funds - Federal	80,000	80,000	0
Special Revenue Funds - Other	1,728,000	0	(1,728,000)
Internal Service Funds	0	150,000	150,000
Community Services			
General Fund	686,700,000	708,127,000	21,427,000
Institutional Services			
General Fund	354,167,000	357,605,000	3,438,000
Enterprise Funds	1,957,000	2,350,000	393,000
Fiduciary Funds	505,000	705,000	200,000
Maintenance Undistributed			
General Fund	(909,807,000)	(983,521,000)	(73,714,000)
Special Revenue Funds - Other	909,807,000	983,521,000	73,714,000
Research in Mental Retardation			
General Fund	16,932,000	16,752,000	(180,000)
Fiduciary Funds	50,000	50,000	0
Community Projects			
General Fund	67,000	0	(67,000)
Total	<u>1,116,464,000</u>	<u>1,140,152,000</u>	<u>23,688,000</u>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Central Coordination and Support	39,171,000	(137,000)	36,932,000	(146,000)
Community Services	603,254,000	16,277,000	587,091,000	15,209,000
Institutional Services	221,707,000	(5,236,000)	214,233,000	(5,059,000)
Research in Mental Retardation	14,894,000	63,000	14,472,000	63,000
Total	<u>879,026,000</u>	<u>10,967,000</u>	<u>852,728,000</u>	<u>10,067,000</u>
			<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Temporary Service (Nonannual Salaried)</u>		<u>Amount</u>	<u>Change</u>
	<u>Amount</u>	<u>Change</u>		
Central Coordination and Support	1,991,000	0	248,000	9,000
Community Services	4,765,000	281,000	11,398,000	787,000
Institutional Services	1,030,000	(25,000)	6,444,000	(152,000)
Research in Mental Retardation	260,000	0	162,000	0
Total	<u>8,046,000</u>	<u>256,000</u>	<u>18,252,000</u>	<u>644,000</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	15,162,000	192,000	556,000	22,000
Community Services	104,873,000	5,150,000	36,718,000	1,649,000
Institutional Services	135,898,000	8,674,000	20,091,000	1,992,000
Research in Mental Retardation	1,858,000	(243,000)	697,000	(91,000)
Community Projects	0	(67,000)	0	0
Total	<u>257,791,000</u>	<u>13,706,000</u>	<u>58,062,000</u>	<u>3,572,000</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	1,254,000	141,000	12,051,000	(20,000)
Community Services	5,860,000	263,000	51,344,000	2,745,000
Institutional Services	1,048,000	104,000	29,074,000	2,883,000
Research in Mental Retardation	55,000	(7,000)	845,000	(111,000)
Total	<u>8,217,000</u>	<u>501,000</u>	<u>93,314,000</u>	<u>5,497,000</u>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	1,301,000	49,000	0	0
Community Services	5,111,000	230,000	5,840,000	263,000
Institutional Services	2,017,000	200,000	83,668,000	3,495,000
Research in Mental Retardation	261,000	(34,000)	0	0
Community Projects	0	0	0	(67,000)
Total	<u>8,690,000</u>	<u>445,000</u>	<u>89,508,000</u>	<u>3,691,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	230,000	(1,578,000)	0	(1,126,000)
Institutional Services	3,055,000	593,000	274,000	(5,000)
Research in Mental Retardation	50,000	0	0	0
Total	<u>3,335,000</u>	<u>(985,000)</u>	<u>274,000</u>	<u>(1,131,000)</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Central Coordination and Support	0	(602,000)	230,000	150,000
Institutional Services	2,781,000	598,000	0	0
Research in Mental Retardation	50,000	0	0	0
Total	<u>2,831,000</u>	<u>(4,000)</u>	<u>230,000</u>	<u>150,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	626,058,684	699,955,000	73,896,316
Special Revenue Funds - Other	445,988,000	461,644,000	15,656,000
Fiduciary Funds	2,000,000	2,000,000	0
Total	<u>1,074,046,684</u>	<u>1,163,599,000</u>	<u>89,552,316</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Services			
General Fund	622,196,000	699,955,000	77,759,000
Special Revenue Funds - Other	445,988,000	461,644,000	15,656,000
Fiduciary Funds	2,000,000	2,000,000	0
Community Projects			
General Fund	3,862,684	0	(3,862,684)
Total	<u>1,074,046,684</u>	<u>1,163,599,000</u>	<u>89,552,316</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	2,000,000	2,000,000	0	0
Mental Hygiene Capital Improvement Fund	3,000,000	3,000,000	0	0
Non-Bondable Projects				
Capital Projects Fund	2,000,000	1,000,000	(1,000,000)	0
Voluntary-Operated Community Facilities				
Capital Projects Fund	8,383,000	9,782,000	1,399,000	8,383,000
Mental Hygiene Capital Improvement Fund	2,678,000	6,758,000	4,080,000	2,678,000
State-Operated Community Services Program				
Capital Projects Fund	10,200,000	15,096,000	4,896,000	9,608,000
Mental Hygiene Capital Improvement Fund	2,500,000	5,000,000	2,500,000	21,200,000
Institutional Services Program				
Capital Projects Fund	19,445,000	14,250,000	(5,195,000)	30,839,000
Mental Hygiene Capital Improvement Fund	12,911,000	35,450,000	22,539,000	37,834,000
Eaccre Gymnasium Fund	0	500,000	500,000	0
Total	<u>63,117,000</u>	<u>92,836,000</u>	<u>29,719,000</u>	<u>110,542,000</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 162 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 Niagara Falls State Park. Over 60 million people visit the State's parks and historic sites annually.

New York State's growing park system and its unparalleled recreation opportunities are an important factor in the State's tourism industry and economy. Services open to the public at State parks include developed beaches, golf courses, performing arts centers, swimming pools, marinas, 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 2001-02, the Office will have a workforce of 1,661. Extensive use of more than 5,000 temporary and seasonal employees will be used to supplement the permanent staff in the peak summer season.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2001-02 Executive Budget recommends nearly \$242 million for the Office's programs, including \$131.2 million in General Fund moneys and over \$48.8 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 \$1.5 million for operations at newly-acquired or expanded parks, including DeVeaux Woods, Eastern District Terminal, Camp Hero, and Schodack Island. The Budget also continues the \$10 million Heritage Trail program to identify, preserve and promote historically-significant places in New York State. Also included is \$500,000 in new resources to ensure recruitment and retention of entry-level seasonal staff, and \$500,000 to support increased energy costs incurred in the maintenance of the State's vast park system and in providing public safety for park patrons. The Budget also continues funding for the Empire State Games at the 2000-01 level, provides \$4.95 million for the Zoos, Botanical Gardens and Aquariums program, and funding for performing arts programming at Artpark will be \$475,000.

In 2001-02, the share of park operations financed with user fees will remain constant, while accommodating contractual salary increases. However, the General Fund continues to be the Office's primary source of support for its operating and local assistance budgets, providing 65 percent of its funding. The remaining 35 percent is provided by a variety of sources, including:

- User fees at the parks (30 percent);

## ***PARKS, RECREATION AND HISTORIC PRESERVATION***

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- 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 (2 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 8,320 campsites. The Office also maintains hundreds of miles of roads and trails, expansive utility systems, 106 dams and 604 bridges.

For 2001-02, appropriations of \$30.5 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 \$15.5 million in fiduciary funding for the Observation Tower project at Niagara Reservation State Park, Niagara Gorge Trail projects, 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). In 2001-02, the EPF will provide \$10 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. These efforts will continue in 2001-02 as the Office achieves efficiencies through the streamlining of administrative oversight, business office and engineering services which will be pooled on a regional basis among park clusters. 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 162 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
- 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.

# PARKS, RECREATION AND HISTORIC PRESERVATION

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	159,234,700	157,159,200	(2,075,500)	10,539,000
Aid To Localities	57,465,345	34,722,000	(22,743,345)	25,993,500
Capital Projects	38,483,000	49,682,000	11,199,000	88,584,000
Total	<u>255,183,045</u>	<u>241,563,200</u>	<u>(13,619,845)</u>	<u>125,116,500</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	72	90	18
Clean Water/Clean Air Administration Program			
Capital Projects Funds - Other	18	0	(18)
Historic Preservation			
General Fund	149	147	(2)
Special Revenue Funds - Federal	12	12	0
Special Revenue Funds - Other	1	1	0
Park Operations			
General Fund	1,188	1,177	(11)
Special Revenue Funds - Federal	10	10	0
Special Revenue Funds - Other	71	72	1
Expendable Trust Funds	3	3	0
Nonexpendable Trust Funds	1	1	0
Capital Projects Funds - Other	137	137	0
Recreation Services			
General Fund	11	11	0
Total	<u>1,673</u>	<u>1,661</u>	<u>(12)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	108,550,900	102,555,000	(5,995,900)
Special Revenue Funds - Federal	3,446,600	3,982,300	535,700
Special Revenue Funds - Other	43,531,000	46,879,400	3,348,400
Enterprise Funds	2,500,000	2,500,000	0
Fiduciary Funds	1,206,200	1,242,500	36,300
Total	<u>159,234,700</u>	<u>157,159,200</u>	<u>(2,075,500)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(7,360,000)
Special Revenue Funds - Federal	(88,000)
Special Revenue Funds - Other	(352,000)
Nonexpendable Trust Funds	(3,000)
Appropriated 2000-01	<u>151,431,700</u>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	5,393,700	6,563,000	1,169,300
Special Revenue Funds - Federal	75,000	395,000	320,000
Historic Preservation			
General Fund	19,931,900	9,944,600	(9,987,300)
Special Revenue Funds - Federal	996,300	1,423,300	427,000
Special Revenue Funds - Other	64,400	61,800	(2,600)
Fiduciary Funds	40,000	41,100	1,100
Park Operations			
General Fund	80,991,300	83,750,700	2,759,400
Special Revenue Funds - Federal	2,375,300	2,164,000	(211,300)
Special Revenue Funds - Other	43,466,600	46,817,600	3,351,000
Fiduciary Funds	1,166,200	1,201,400	35,200
Recreation Services			
General Fund	2,234,000	2,296,700	62,700
Enterprise Funds	2,500,000	2,500,000	0
Total	<u>159,234,700</u>	<u>157,159,200</u>	<u>(2,075,500)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	4,970,900	1,125,900	4,904,800	1,123,000
Historic Preservation	8,364,700	96,100	6,601,600	77,200
Park Operations	75,567,000	2,408,400	48,797,900	568,500
Recreation Services	635,000	17,300	532,100	10,600
Total	<u>89,537,600</u>	<u>3,647,700</u>	<u>60,836,400</u>	<u>1,779,300</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	24,700	(800)	41,400	3,700
Historic Preservation	1,681,900	11,600	81,200	7,300
Park Operations	25,092,500	1,690,100	1,676,600	149,800
Recreation Services	81,400	4,800	21,500	1,900
Total	<u>26,880,500</u>	<u>1,705,700</u>	<u>1,820,700</u>	<u>162,700</u>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Nonpersonal Service		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,592,100	43,400	115,100	3,100
Historic Preservation	1,579,900	(10,083,400)	386,700	(38,100)
Park Operations	8,183,700	351,000	858,500	28,200
Recreation Services	1,661,700	45,400	237,000	6,500
Total	13,017,400	(9,643,600)	1,597,300	(300)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	90,400	2,500	1,386,600	37,800
Historic Preservation	68,800	(46,800)	729,500	(28,800)
Park Operations	766,400	69,500	4,344,100	196,100
Recreation Services	116,000	3,200	1,294,900	35,300
Total	1,041,600	28,400	7,755,100	240,400

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Historic Preservation	194,900	5,300	200,000	(9,975,000)
Park Operations	669,700	57,200	1,545,000	0
Recreation Services	13,800	400	0	0
Total	878,400	62,900	1,745,000	(9,975,000)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	395,000	320,000	0	0
Historic Preservation	1,526,200	425,500	640,800	(34,700)
Park Operations	50,183,000	3,174,900	17,621,700	1,495,700
Recreation Services	2,500,000	0	0	0
Total	54,604,200	3,920,400	18,262,500	1,461,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	395,000	320,000	0	0
Historic Preservation	885,400	460,200	0	0
Park Operations	32,160,300	1,679,200	401,000	0
Recreation Services	2,500,000	0	0	0
Total	35,940,700	2,459,400	401,000	0

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	54,095,345	28,652,000	(25,443,345)
Special Revenue Funds - Federal	1,870,000	4,170,000	2,300,000
Special Revenue Funds - Other	1,500,000	1,900,000	400,000
Total	57,465,345	34,722,000	(22,743,345)

# PARKS, RECREATION AND HISTORIC PRESERVATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	2,200,000	2,200,000	0
Special Revenue Funds - Federal	200,000	0	(200,000)
Historic Preservation			
Special Revenue Funds - Federal	170,000	170,000	0
Natural Heritage Trust			
General Fund	15,200,500	26,452,000	11,251,500
Park Operations			
Special Revenue Funds - Federal	1,000,000	2,500,000	1,500,000
Special Revenue Funds - Other	1,500,000	1,900,000	400,000
Recreation Services			
Special Revenue Funds - Federal	500,000	1,500,000	1,000,000
Community Projects			
General Fund	36,694,845	0	(36,694,845)
Total	<u>57,465,345</u>	<u>34,722,000</u>	<u>(22,743,345)</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Parks EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)	0	0	0	17,176,000
Natural Heritage Trust				
Capital Projects Fund	0	0	0	300,000
Federal Capital Projects Fund				
Federal Capital Projects Fund	1,000,000	2,500,000	1,500,000	3,284,000
New Facilities				
State Parks Infrastructure Fund	1,250,000	850,000	(400,000)	2,175,000
Maintenance and Improvements of Existing Facilities				
Fiduciary funds - Misc Combined Expendble Trust Fund	6,000,000	15,450,000	9,450,000	6,000,000
Misc. Capital Projects	1,000,000	1,250,000	250,000	2,767,000
State Parks Infrastructure Fund	27,780,000	29,632,000	1,852,000	55,463,000
Park Lands EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	406,000
Outdoor Recreation Development Bond Fund				
Outdoor Recreation Development Bond Fund	0	0	0	230,000
Parks and Recreation Land Acquisition Bond Fund				
Parks and Recreation Land Acquisition Bond Fund	0	0	0	783,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund	1,453,000	0	(1,453,000)	0
Total	<u>38,483,000</u>	<u>49,682,000</u>	<u>11,199,000</u>	<u>88,584,000</u>

# **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**

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 2001-02, 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 96 percent of the total agency budget, is supported by the General Fund (28 percent), Federal grants (46 percent) and other funding, primarily receipts from the Medicaid program related to program oversight activities (26 percent).

The Aid to Localities appropriations, which comprise 4 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 program.

The Executive Budget recommendation of \$11.1 million is \$810,000 more than 2000-01. This includes \$750,000 in Federal appropriation added in anticipation of a new grant award for the Federal Ticket to Work and Work Incentives Improvement Act of 1999. Overall, the recommendation fully supports existing program and service levels.

## **PROGRAM HIGHLIGHTS**

### **OVERSIGHT OF SERVICE DELIVERY**

The Commission, through its Administration program, provides independent oversight and review of State- and voluntary-operated programs serving individuals with mental illness, developmental disabilities, and alcohol and substance abuse problems. Most importantly, it investigates complaints including allegations of patient abuse or mistreatment in facilities operated or licensed by these agencies.



# **QUALITY OF CARE FOR THE MENTALLY DISABLED**

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## **PROTECTION AND ADVOCACY**

Federal funding provides statewide protection and advocacy services for individuals with disabilities, using State staff and contracts with non-profit agencies, through the following 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. Additionally, the Commission anticipates a Federal grant to provide protection and advocacy services related to the Federal Ticket to Work and Work Incentives Improvement Act of 1999. These programs assist the Commission in strengthening the non-profit contract network which provides individuals with severe disabilities with protection and advocacy services under Federal law.

## **ADULT HOMES**

Residents of adult homes that are serving a large number of persons who have received services through the mental hygiene system enjoy advocacy services administered by the Commission through contracts with local not-for-profit organizations. These services, funded in part through a Quality Incentive Program grant from the Department of Health, focus on protecting and promoting residents' rights. The Commission has also developed a dedicated team, funded in its Administration program, to work collaboratively with the Department of Health to conduct investigations into the quality of care provided to individuals living in adult homes.

## **SURROGATE DECISION MAKING COMMITTEE**

The Surrogate Decision Making Committee (SDMC) program reviews recommendations for medical services on behalf of individuals receiving Mental Hygiene residential services with neither a legal guardian nor the ability to make decisions for themselves. SDMC utilizes volunteer teams comprised of medical, legal and health care professionals and advocates, working with local dispute resolution centers to accomplish reviews. Commission staff, in the Administration program, provide administrative support to SDMC. The Governor's 1998-99 budget supported a multi-year initiative to expand this service statewide. Expansion to the final two regions, Western New York and the Finger Lakes area, will be completed in 2001-02.

### **ALL FUNDS APPROPRIATIONS (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	9,785,000	10,595,000	810,000	5,649,000
Aid To Localities	468,000	468,000	0	0
Capital Projects	0	0	0	0
Total	<u>10,253,000</u>	<u>11,063,000</u>	<u>810,000</u>	<u>5,649,000</u>

# QUALITY OF CARE FOR THE MENTALLY DISABLED

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

Full-Time Equivalent Positions (FTE)			
Program	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration			
General Fund	41	39	(2)
Special Revenue Funds - Other	28	30	2
Client Assistance			
Special Revenue Funds - Federal	2	2	0
Protection and Advocacy for the Developmentally Disabled			
Special Revenue Funds - Federal	11	11	0
Protection and Advocacy for the Mentally Ill			
Special Revenue Funds - Federal	9	9	0
Protection and Advocacy IR			
Special Revenue Funds - Federal	2	2	0
Total	93	93	0

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	3,134,000	2,987,000	(147,000)
Special Revenue Funds - Federal	4,147,000	4,894,000	747,000
Special Revenue Funds - Other	2,484,000	2,694,000	210,000
Enterprise Funds	20,000	20,000	0
Total	9,785,000	10,595,000	810,000
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(201,000)		
Special Revenue Funds - Federal	(125,000)		
Special Revenue Funds - Other	(158,000)		
Appropriated 2000-01	9,301,000		

# QUALITY OF CARE FOR THE MENTALLY DISABLED

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,134,000	2,987,000	(147,000)
Special Revenue Funds - Other	2,484,000	2,694,000	210,000
Enterprise Funds	20,000	20,000	0
Client Assistance			
Special Revenue Funds - Federal	642,000	646,000	4,000
Protection and Advocacy for the Developmentally Disabled			
Special Revenue Funds - Federal	1,569,000	1,546,000	(23,000)
Protection and Advocacy for the Mentally Ill			
Special Revenue Funds - Federal	1,233,000	1,230,000	(3,000)
Protection and Advocacy IR			
Special Revenue Funds - Federal	653,000	662,000	9,000
Technology Related Protection and Advocacy			
Special Revenue Funds - Federal	50,000	60,000	10,000
Ticket to Work and Work Incentive Improvement Protection and Advocacy			
Special Revenue Funds - Federal	0	750,000	750,000
Total	<u>9,785,000</u>	<u>10,595,000</u>	<u>810,000</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	2,336,000	(121,000)	2,322,000	(123,000)
Total	<u>2,336,000</u>	<u>(121,000)</u>	<u>2,322,000</u>	<u>(123,000)</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Administration	14,000	2,000
Total	<u>14,000</u>	<u>2,000</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	651,000	(26,000)	41,100	0
Total	<u>651,000</u>	<u>(26,000)</u>	<u>41,100</u>	<u>0</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	121,200	0	437,600	(19,000)
Total	<u>121,200</u>	<u>0</u>	<u>437,600</u>	<u>(19,000)</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration	51,100	(7,000)
Total	<u>51,100</u>	<u>(7,000)</u>

# QUALITY OF CARE FOR THE MENTALLY DISABLED

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	2,714,000	210,000	1,710,000	126,000
Client Assistance	646,000	4,000	108,000	3,300
Protection and Advocacy for the Developmentally Disabled	1,546,000	(23,000)	613,000	32,500
Protection and Advocacy for the Mentally III	1,230,000	(3,000)	468,000	(3,400)
Protection and Advocacy IR	662,000	9,000	112,000	21,800
Technology Related Protection and Advocacy	60,000	10,000	0	0
Ticket to Work and Work Incentive Improvement Protection and Advocacy	750,000	750,000	0	0
<b>Total</b>	<b>7,608,000</b>	<b>957,000</b>	<b>3,011,000</b>	<b>180,200</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	1,004,000	84,000	0	0
Client Assistance	538,000	700	0	0
Protection and Advocacy for the Developmentally Disabled	933,000	(55,500)	0	0
Protection and Advocacy for the Mentally III	762,000	400	0	0
Protection and Advocacy IR	550,000	(12,800)	0	0
Technology Related Protection and Advocacy	60,000	10,000	0	0
Ticket to Work and Work Incentive Improvement Protection and Advocacy	0	0	750,000	750,000
<b>Total</b>	<b>3,847,000</b>	<b>26,800</b>	<b>750,000</b>	<b>750,000</b>

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	95,000	95,000	0
Special Revenue Funds - Other	373,000	373,000	0
<b>Total</b>	<b>468,000</b>	<b>468,000</b>	<b>0</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Adult Homes			
General Fund	95,000	95,000	0
Surrogate Decision Making			
Special Revenue Funds - Other	373,000	373,000	0
<b>Total</b>	<b>468,000</b>	<b>468,000</b>	<b>0</b>



***TRANSPORTATION  
AND ECONOMIC  
DEVELOPMENT***



# ***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 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 273 in 2001-02. The Department's central office is in Albany, with ten regional offices located in Albany, Buffalo, Rochester, Syracuse, Utica, Binghamton, Fishkill, Watertown, Plainview and New York City, and satellite offices in Plattsburgh, Ogdensburg and Elmira.

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

State tax dollars from the General Fund will finance 90 percent, or \$50.7 million, of the Department of Economic Development's \$56.1 million Budget in 2001-02. 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 2001-02 Budget provides:

- \$1.7 million for the Empire State Technology Employment Incentive Program;
- \$11 million for "I ♥ NY" tourism advertising;
- \$5.8 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;
- \$3.3 million for local administration of Empire Zones, which includes funding for new Zones that will be designated in 2001;
- \$1.9 million to attract international trade to New York State, and increase export sales to foreign countries.



## ***ECONOMIC DEVELOPMENT***

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### ***PROGRAM HIGHLIGHTS***

#### ***TECHNOLOGY EMPLOYMENT INCENTIVE PROGRAM***

This 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 provide employees in targeted industries with cash incentives.

#### ***MARKETING AND ADVERTISING***

This program promotes New York State as a premier tourist destination and business location. Major activities include the "I ♥ 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 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. The International Trade program will be enhanced — including the use of the latest e-commerce technology — in 2001-02 to further increase foreign investment in New York State and export sales by New York State businesses.

#### ***EMPIRE ZONES***

The Empire 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 Empire Zones statewide that were selected on a competitive basis. Zones are located in the following communities: Albany, Amsterdam, Auburn, Binghamton, Brookhaven, 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 Air Force Base, Sunset Park/Red Hook/Southwest Brooklyn, Syracuse, Tioga County, Troy, Utica, Watertown, Watervliet Arsenal, and Yonkers. In addition, new Zones will be established in 2001.

### ***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 2001-02, \$200 million is available for this program.

### ***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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	41,236,800	44,139,900	2,903,100	6,208,000
Aid To Localities	24,553,450	11,974,000	(12,579,450)	21,164,000
Capital Projects	0	0	0	0
Total	<u>65,790,250</u>	<u>56,113,900</u>	<u>(9,676,350)</u>	<u>27,372,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	50	50	0
Special Revenue Funds - Other	8	8	0
Clean Air			
Special Revenue Funds - Other	5	5	0
Economic Development			
General Fund	144	144	0
Special Revenue Funds - Other	4	4	0
Marketing and Advertising Program			
General Fund	41	61	20
Special Revenue Funds - Other	1	1	0
Total	<u>253</u>	<u>273</u>	<u>20</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	35,515,900	38,730,000	3,214,100
Special Revenue Funds - Federal	1,000,000	1,000,000	0
Special Revenue Funds - Other	4,720,900	4,409,900	(311,000)
Total	<u>41,236,800</u>	<u>44,139,900</u>	<u>2,903,100</u>

### Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(1,097,000)
Special Revenue Funds - Other	(61,000)
Appropriated 2000-01	<u>40,078,800</u>

## ECONOMIC DEVELOPMENT

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,211,000	3,360,000	149,000
Special Revenue Funds - Other	1,752,080	1,739,900	(12,180)
Clean Air			
Special Revenue Funds - Other	519,000	500,000	(19,000)
Economic Development			
General Fund	13,901,800	15,000,000	1,098,200
Special Revenue Funds - Federal	1,000,000	1,000,000	0
Special Revenue Funds - Other	1,435,540	1,170,000	(265,540)
Marketing and Advertising Program			
General Fund	18,403,100	20,370,000	1,966,900
Special Revenue Funds - Other	<u>1,014,280</u>	<u>1,000,000</u>	<u>(14,280)</u>
Total	<u>41,236,800</u>	<u>44,139,900</u>	<u>2,903,100</u>

### STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	2,336,000	69,000	2,307,800	69,000
Economic Development	8,836,000	271,000	8,805,000	271,000
Marketing and Advertising Program	<u>3,323,000</u>	<u>1,421,100</u>	<u>3,308,500</u>	<u>1,421,100</u>
Total	<u>14,495,000</u>	<u>1,761,100</u>	<u>14,421,300</u>	<u>1,761,100</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Administration	28,200	0
Economic Development	31,000	0
Marketing and Advertising Program	<u>14,500</u>	<u>0</u>
Total	<u>73,700</u>	<u>0</u>

# ECONOMIC DEVELOPMENT

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	1,024,000	80,000	119,600	9,600
Economic Development	6,164,000	827,200	144,810	9,810
Marketing and Advertising Program	17,047,000	545,800	59,432	28,432
Total	<u>24,235,000</u>	<u>1,453,000</u>	<u>323,842</u>	<u>47,842</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	45,200	3,200	812,200	63,200
Economic Development	317,160	26,160	3,561,950	277,950
Marketing and Advertising Program	74,940	35,540	1,396,828	646,828
Total	<u>437,300</u>	<u>64,900</u>	<u>5,770,978</u>	<u>987,978</u>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	47,000	4,000	0	0
Economic Development	168,080	13,080	1,972,000	500,200
Marketing and Advertising Program	800	0	15,515,000	(165,000)
Total	<u>215,880</u>	<u>17,080</u>	<u>17,487,000</u>	<u>335,200</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	1,739,900	(12,180)	487,100	(8,990)
Clean Air	500,000	(19,000)	195,000	(14,000)
Economic Development	2,170,000	(265,540)	130,000	(11,470)
Marketing and Advertising Program	1,000,000	(14,280)	70,000	(10,540)
Total	<u>5,409,900</u>	<u>(311,000)</u>	<u>882,100</u>	<u>(45,000)</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	1,252,800	(3,190)	0	0
Clean Air	305,000	(5,000)	0	0
Economic Development	1,970,000	(254,070)	70,000	0
Marketing and Advertising Program	930,000	(3,740)	0	0
Total	<u>4,457,800</u>	<u>(266,000)</u>	<u>70,000</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	24,553,450	11,974,000	(12,579,450)
Total	<u>24,553,450</u>	<u>11,974,000</u>	<u>(12,579,450)</u>

## ***ECONOMIC DEVELOPMENT***

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**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Economic Development			
General Fund	9,349,000	5,797,000	(3,552,000)
Marketing and Advertising Program			
General Fund	7,901,600	6,177,000	(1,724,600)
Community Projects			
General Fund	7,302,850	0	(7,302,850)
Total	<u>24,553,450</u>	<u>11,974,000</u>	<u>(12,579,450)</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 2001-02. 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***

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## ***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 2001-02.
- The Executive Budget will provide \$243.6 million in support for economic development initiatives, including: biotechnology and high technology projects; 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 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 (dollars)

Category	Available 2000-01	Appropriations Recommended 2001-02	Change	Reappropriations Recommended 2001-02
State Operations	0	0	0	0
Aid To Localities	165,858,100	143,604,100	(22,254,000)	169,131,000
Capital Projects	65,000,000	100,000,000	35,000,000	409,000,000
Total	<u>230,858,100</u>	<u>243,604,100</u>	<u>12,746,000</u>	<u>578,131,000</u>

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	165,858,100	143,604,100	(22,254,000)
Total	<u>165,858,100</u>	<u>143,604,100</u>	<u>(22,254,000)</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Economic Development			
General Fund	142,833,000	143,600,000	767,000
Payments to Municipalities			
General Fund	4,100	4,100	0
Community Projects			
General Fund	23,021,000	0	(23,021,000)
Total	<u>165,858,100</u>	<u>143,604,100</u>	<u>(22,254,000)</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Comprehensive Construction Program	Available 2000-01	Recommended 2001-02	Change	Reappropriations 2001-02
Regional Development				
Community Enhancement Facilities Assistance Fund	0	0	0	344,000,000
Economic Development				
Capital Projects Fund	65,000,000	100,000,000	35,000,000	65,000,000
Total	<u>65,000,000</u>	<u>100,000,000</u>	<u>35,000,000</u>	<u>409,000,000</u>



# **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. These programs 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 2001-02 Budget recommends approximately \$14.7 million in appropriations for the Authority's energy, research and development programs and \$15.25 million for ongoing work at West Valley. The Authority will also continue to administer the Federal Petroleum Overcharge Recovery Program.

<b>ALL FUNDS APPROPRIATIONS (dollars)</b>				
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	16,156,000	16,556,000	400,000	0
Aid To Localities	2,200,000	0	(2,200,000)	0
Capital Projects	14,017,000	15,367,000	1,350,000	0
Total	32,373,000	31,923,000	(450,000)	0

# **ENERGY RESEARCH AND DEVELOPMENT**

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## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Federal	1,500,000	1,900,000	400,000
Special Revenue Funds - Other	14,656,000	14,656,000	0
Total	<u>16,156,000</u>	<u>16,556,000</u>	<u>400,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Planning and Operation			
Special Revenue Funds - Federal	1,500,000	1,900,000	400,000
Research, Development and Demonstration			
Special Revenue Funds - Other	14,656,000	14,656,000	0
Total	<u>16,156,000</u>	<u>16,556,000</u>	<u>400,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Planning and Operation	1,900,000	400,000	1,900,000	400,000
Research, Development and Demonstration	14,656,000	0	14,656,000	0
Total	<u>16,556,000</u>	<u>400,000</u>	<u>16,556,000</u>	<u>400,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	2,200,000	0	(2,200,000)
Total	<u>2,200,000</u>	<u>0</u>	<u>(2,200,000)</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Projects			
General Fund	2,200,000	0	(2,200,000)
Total	<u>2,200,000</u>	<u>0</u>	<u>(2,200,000)</u>

# **ENERGY RESEARCH AND DEVELOPMENT**

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
Western New York Nuclear Service Center Program Capital Projects Fund	13,900,000	15,250,000	1,350,000	0
Clean Water - Clean Air Implementation Clean Water Clean Air Implementation Fund	<u>117,000</u>	<u>117,000</u>	<u>0</u>	<u>0</u>
Total	<u><u>14,017,000</u></u>	<u><u>15,367,000</u></u>	<u><u>1,350,000</u></u>	<u><u>0</u></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 \$341 million. The 2001-02 Budget will:

- Continue the Governor's Low-Income Housing Tax Credit Program with an additional \$2 million in support, resulting in nearly \$20 million in new funding for affordable housing over the next ten years;
- Provide over \$100 million in housing capital funds, including \$7 million for the nationally recognized Homes for Working Families Program;
- Provide over \$9 million to administer the development of low-income housing and \$16 million to supervise the operation of publicly assisted housing, including the State-financed Mitchell-Lama portfolio; and



## ***HOUSING AND COMMUNITY RENEWAL***

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- 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.

### ***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.

#### ***SMALL CITIES***

Statute enacted with the 2000-01 Budget created the Governor's Office for Small Cities within the New York State Housing Trust Fund, a public benefit corporation, to administer approximately \$58 million in annual block grant funds from the U.S. Department of Housing and Urban Development. The Small Cities program supports projects in communities with populations of less than 50,000 or non-urban counties with populations of less than 200,000 for housing rehabilitation, job creation or retention, infrastructure repair or replacement, micro-enterprise programs and homeownership assistance.

#### ***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:

- 226 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 93,000 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 1,000 low-income apartment projects partially financed by State or Federal capital funds.

In addition to its regulatory functions, the Housing Program directly administers approximately 3,800 Federal Section 8 program vouchers, that provide rental assistance to low-income tenants in New York State.

#### ***RENT ADMINISTRATION***

The Omnibus Housing Act of 1983 mandated the consolidation of all rent regulation under the Division of Housing and Community Renewal in order to ensure that the State's rent laws are administered in a manner that recognizes the concerns of both landlords and tenants. In 1999, the Division's Office of Rent Administration was selected as a Work Force Champion Team for its efforts in making the Rent Administration Program more

## **HOUSING AND COMMUNITY RENEWAL**

responsive to its customers. Overall, by continuing to streamline and improve operations, the State has reduced the pending non-cyclical rent caseload from 72,400 to 13,000 — an 82 percent reduction in pending cases since January 1995.

### **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 \$125 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 \$61 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 \$77 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.

#### **ALL FUNDS APPROPRIATIONS (dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	82,775,000	87,819,200	5,044,200	6,950,000
Aid To Localities	161,982,149	152,983,000	(8,999,149)	213,213,000
Capital Projects	121,200,000	100,200,000	(21,000,000)	513,375,000
Total	<u>365,957,149</u>	<u>341,002,200</u>	<u>(24,954,949)</u>	<u>733,538,000</u>

# **HOUSING AND COMMUNITY RENEWAL**

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

<b>Full-Time Equivalent Positions (FTE)</b>			
<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Administration			
General Fund	83	82	(1)
Community Development			
General Fund	68	67	(1)
Special Revenue Funds - Federal	48	48	0
Special Revenue Funds - Other	3	3	0
Housing			
General Fund	68	67	(1)
Special Revenue Funds - Federal	33	37	4
Special Revenue Funds - Other	74	83	9
Housing Information Systems			
General Fund	72	72	0
Lead-Based Paint Abatement Program			
Special Revenue Funds - Federal	2	2	0
New Facilities			
Capital Projects Funds - Federal	42	42	0
Rent Administration			
General Fund	130	130	0
Special Revenue Funds - Other	440	440	0
Total	<u>1,063</u>	<u>1,073</u>	<u>10</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	30,422,000	33,196,200	2,774,200
Special Revenue Funds - Federal	7,642,000	8,696,500	1,054,500
Special Revenue Funds - Other	44,711,000	45,926,500	1,215,500
Total	<u>82,775,000</u>	<u>87,819,200</u>	<u>5,044,200</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(2,083,000)		
Special Revenue Funds - Federal	(342,000)		
Special Revenue Funds - Other	(2,657,000)		
Appropriated 2000-01	<u>77,693,000</u>		

# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	11,494,000	11,801,000	307,000
Community Development			
General Fund	4,124,000	4,626,000	502,000
Special Revenue Funds - Federal	2,971,000	3,153,600	182,600
Special Revenue Funds - Other	1,458,158	1,470,100	11,942
Housing			
General Fund	3,577,000	3,614,000	37,000
Special Revenue Funds - Federal	4,671,000	5,542,900	871,900
Special Revenue Funds - Other	6,465,584	6,788,000	322,416
Housing Information Systems			
General Fund	6,561,000	8,440,300	1,879,300
Rent Administration			
General Fund	4,666,000	4,714,900	48,900
Special Revenue Funds - Other	34,837,258	35,568,400	731,142
Small Cities Community Development Block Grant			
Special Revenue Funds - Other	1,950,000	2,100,000	150,000
Total	<u>82,775,000</u>	<u>87,819,200</u>	<u>5,044,200</u>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	4,828,000	113,000	4,828,000	113,000
Community Development	4,027,000	101,000	4,001,000	101,000
Housing	3,464,000	34,000	3,457,000	34,000
Housing Information Systems	4,000,300	35,300	3,983,300	35,300
Rent Administration	28,803,000	1,937,000	28,803,000	1,937,000
Total	<u>45,122,300</u>	<u>2,220,300</u>	<u>45,072,300</u>	<u>2,220,300</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	0	0	0
Community Development	20,000	0	6,000	0
Housing	0	0	7,000	0
Housing Information Systems	0	0	17,000	0
Rent Administration	0	0	0	0
Total	<u>20,000</u>	<u>0</u>	<u>30,000</u>	<u>0</u>

# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Nonpersonal Service		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	6,973,000	194,000	206,000	0
Community Development	599,000	401,000	30,000	0
Housing	150,000	3,000	8,100	0
Housing Information Systems	4,440,000	1,844,000	164,000	0
Rent Administration	11,480,300	1,080,300	0	0
Total	<u>23,642,300</u>	<u>3,522,300</u>	<u>408,100</u>	<u>0</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	110,000	0	6,647,000	194,000
Community Development	135,000	0	34,000	1,000
Housing	41,000	0	100,900	3,000
Housing Information Systems	26,000	0	4,229,000	1,844,000
Total	<u>312,000</u>	<u>0</u>	<u>11,010,900</u>	<u>2,042,000</u>

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration	10,000	0	0	0
Housing Information Systems	21,000	0	0	0
Rent Administration	0	0	8,572,800	1,072,800
Total	<u>31,000</u>	<u>0</u>	<u>8,572,800</u>	<u>1,072,800</u>

Program	Maintenance Undistributed	
	Amount	Change
Community Development	400,000	400,000
Rent Administration	2,907,500	7,500
Total	<u>3,307,500</u>	<u>407,500</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Community Development	4,623,700	194,542	2,435,300	141,842
Housing	12,330,900	1,194,316	7,211,500	558,216
Rent Administration	34,918,400	724,642	23,846,000	253,242
Small Cities Community Development Block Grant	2,100,000	150,000	2,100,000	150,000
Total	<u>53,973,000</u>	<u>2,263,500</u>	<u>35,592,800</u>	<u>1,103,300</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Community Development	1,188,400	52,700	1,000,000	0
Housing	3,619,400	636,100	1,500,000	0
Rent Administration	11,072,400	471,400	0	0
Total	<u>15,880,200</u>	<u>1,160,200</u>	<u>2,500,000</u>	<u>0</u>

## HOUSING AND COMMUNITY RENEWAL

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	70,457,149	59,533,000	(10,924,149)
Special Revenue Funds - Federal	81,525,000	83,450,000	1,925,000
Fiduciary Funds	10,000,000	10,000,000	0
Total	<u>161,982,149</u>	<u>152,983,000</u>	<u>(8,999,149)</u>

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Housing Development Fund Program			
Fiduciary Funds	10,000,000	10,000,000	0
HUD Section 8 New Construction			
Special Revenue Funds - Federal	13,100,000	13,100,000	0
Low Income Weatherization			
Special Revenue Funds - Federal	10,425,000	12,350,000	1,925,000
Neighborhood Preservation			
General Fund	13,650,000	11,750,000	(1,900,000)
Periodic Subsidies - Local Areas			
General Fund	23,286,000	21,992,000	(1,294,000)
Public Housing Drug Elimination Program			
General Fund	450,000	0	(450,000)
Rural Homeownership Assistance Program			
General Fund	341,000	0	(341,000)
Rural Community Revitalization Program			
General Fund	495,000	0	(495,000)
Rural Preservation			
General Fund	5,589,000	4,860,000	(729,000)
Rural Rental Assistance			
General Fund	20,300,000	20,604,000	304,000
Small Cities Community Development			
Block Grant			
Special Revenue Funds - Federal	58,000,000	58,000,000	0
Urban Homeownership Assistance Program			
General Fund	455,000	0	(455,000)
Urban Renewal Periodic Subsidies			
General Fund	1,433,000	327,000	(1,106,000)
Community Projects			
General Fund	4,458,149	0	(4,458,149)
Total	<u>161,982,149</u>	<u>152,983,000</u>	<u>(8,999,149)</u>

# **HOUSING AND COMMUNITY RENEWAL**

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## **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
Affordable Housing Corporation				
Housing Program Fund	28,500,000	25,000,000	(3,500,000)	61,400,000
Housing Assistance Fund				
Housing Assistance Fund	0	0	0	11,333,000
Low Income Housing Trust Fund				
Housing Program Fund	29,000,000	25,000,000	(4,000,000)	124,725,000
Maintenance and Improvements of Existing Facilities				
Housing Program Fund	0	0	0	14,849,000
Housing Opportunity Program For Elderly				
Housing Program Fund	2,400,000	400,000	(2,000,000)	2,400,000
Housing Program Capital Improvement				
Capital Projects Fund	0	0	0	19,720,000
State Housing Bond Fund				
State Housing Bond Fund	0	0	0	7,344,000
New Facilities				
Capital Projects Fund	0	0	0	1,225,000
Federal Capital Projects Fund	0	0	0	40,687,000
Public Housing Modernization Program				
Housing Program Fund	14,300,000	12,800,000	(1,500,000)	76,900,000
Supported Housing Program				
Housing Program Fund	40,000,000	30,000,000	(10,000,000)	145,792,000
Homes for Working Families Program				
Housing Program Fund	7,000,000	7,000,000	0	7,000,000
Total	<u>121,200,000</u>	<u>100,200,000</u>	<u>(21,000,000)</u>	<u>513,375,000</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 headquarters is located 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 2000, the Housing Finance Agency will have provided over \$1.5 billion in loans for multi-family rental housing.

A 2001-02 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 over \$4 billion for over 88,000 units of multi-family housing. Between January 1, 1995 and the close of the Agency's fiscal year on October 31, 2000, the Agency provided \$1.59 billion in mortgage loans that created rental housing for nearly 9,000 families. During the Agency's 1999-2000 fiscal year, over 2,300 units were financed with mortgage loans totaling over \$560 million.



# HOUSING FINANCE

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	0	0	0	0
Aid To Localities	1,700,000	700,000	(1,000,000)	0
Capital Projects	0	0	0	0
Total	<u>1,700,000</u>	<u>700,000</u>	<u>(1,000,000)</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,700,000	700,000	(1,000,000)
Total	<u>1,700,000</u>	<u>700,000</u>	<u>(1,000,000)</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Capital Grant/Low Rent Lease			
General Fund	700,000	700,000	0
Small Owners Assistance Program			
General Fund	1,000,000	0	(1,000,000)
Total	<u>1,700,000</u>	<u>700,000</u>	<u>(1,000,000)</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 \$170 million in appropriations in 2001-02 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 more than \$7.1 billion of affordable financing for over 121,000 homes in New York. Between January 1, 1995 and the close of the Agency's fiscal year on October 31, 2000, the Agency purchased \$2.6 billion in single-family mortgages — helping more than 29,000 New Yorkers buy their first homes. During the Agency's 1999-2000 fiscal year, nearly 4,500 loans were financed for approximately \$400 million in mortgage loan volume.

The Mortgage Insurance Fund's portfolio of insured mortgages exceeds \$1.5 billion. In 1999-2000, mortgage insurance provided by the Agency totaled more than \$252 million.

# MORTGAGE AGENCY

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	76,800,000	76,800,000	0	0
Aid To Localities	95,981,000	93,791,100	(2,189,900)	0
Capital Projects	0	0	0	0
Total	<u>172,781,000</u>	<u>170,591,100</u>	<u>(2,189,900)</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	76,800,000	76,800,000	0
Total	<u>76,800,000</u>	<u>76,800,000</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues			
General Fund	61,800,000	61,800,000	0
SONYMA Mortgage Insurance Fund Restoration			
General Fund	15,000,000	15,000,000	0
Total	<u>76,800,000</u>	<u>76,800,000</u>	<u>0</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues	61,800,000	0	61,800,000	0
SONYMA Mortgage Insurance Fund Restoration	15,000,000	0	15,000,000	0
Total	<u>76,800,000</u>	<u>0</u>	<u>76,800,000</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	95,981,000	93,791,100	(2,189,900)
Total	<u>95,981,000</u>	<u>93,791,100</u>	<u>(2,189,900)</u>

# MORTGAGE AGENCY

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
SONYMA Mortgage Insurance Fund			
Restoration			
General Fund	95,981,000	93,791,100	(2,189,900)
Total	<u>95,981,000</u>	<u>93,791,100</u>	<u>(2,189,900)</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 2001-02, Lottery will have a workforce of 358. District sales representatives reflect approximately 35 percent of this total.

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

Lottery games have raised \$18 billion in revenues for education since the Lottery's inception in 1967. In 2000-01, the Division estimates gross sales of \$4.1 billion.

The Division's costs are supported entirely with Lottery sales revenues. The 2001-02 Executive Budget recommends \$115.4 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 approximately 14,300 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 cash games have contributed significantly to the growth of Lottery revenues. The Division will market up to 32 new Instant Cash games during 2001-02.

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 approximately 3,100 authorized establishments statewide, such as restaurants and bowling alleys.

In addition, in 2001-02, the Lottery Division will implement a new Retailer Sales Management Plan. This initiative, which includes the addition of 26 new Marketing Representative positions, will allow the Division to take a more active role in helping retailers market Lottery products. With the addition of these new positions, the Division will be able to increase retailer visits from the current range of two weeks to three months, to once every two weeks. This increased marketing effort, coupled with a new instant consignment program — which will allow retailers to pay only for inventory used — is designed to encourage all retailers to carry more products and increase lottery sales.

# LOTTERY

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	112,284,400	115,418,000	3,133,600	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>112,284,400</u>	<u>115,418,000</u>	<u>3,133,600</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration of the Lottery			
Special Revenue Funds - Other	332	358	26
Total	<u>332</u>	<u>358</u>	<u>26</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	112,284,400	115,418,000	3,133,600
Total	<u>112,284,400</u>	<u>115,418,000</u>	<u>3,133,600</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	(1,667,000)		
Appropriated 2000-01	<u>110,617,400</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration of the Lottery			
Special Revenue Funds - Other	112,284,400	115,418,000	3,133,600
Total	<u>112,284,400</u>	<u>115,418,000</u>	<u>3,133,600</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration of the Lottery	115,418,000	3,133,600	16,900,500	1,475,000
Total	115,418,000	3,133,600	16,900,500	1,475,000

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Administration of the Lottery	98,517,500	1,658,600
Total	98,517,500	1,658,600





# ***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 comprised of three independent entities: The Metropolitan Transportation Authority, MTA New York City Transit and MTA Bridges and Tunnels. The Metropolitan Transportation Authority has four subsidiaries: MTA Staten Island Rapid Transit, MTA Long Island Rail Road, MTA Long Island Bus and MTA Metro North Railroad. MTA New York City Transit, which operates the New York City subway and bus systems, has one subsidiary, MTA Manhattan and Bronx Surface Transit.

## ***ORGANIZATION AND STAFFING***

Each of the three independent entities mentioned above 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 \$1.4 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***

### ***MTA NEW YORK CITY TRANSIT AND MTA 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. MTA New York City Transit operates approximately 230 local and express bus routes throughout New York City. Complementing this service are additional bus routes in Nassau County provided by MTA Long Island Bus. MTA Long Island Rail Road and MTA Metro North Railroad, the two largest commuter rail systems in the nation, provides transportation for travelers entering New York City from outlying suburban areas in New York State and Connecticut. Approximately 2.3 billion passengers ride the subways, buses and commuter rail systems each year.

# **METROPOLITAN TRANSPORTATION**

## **MTA BRIDGES AND TUNNELS**

MTA Bridges and Tunnels, the largest toll system 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 MTA New York City Transit's and the commuter railroads' capital programs. In addition, MTA Bridges and Tunnels is required by law to transfer surplus revenues to MTA New York City Transit and the commuter railroads to support their operations.

## **OTHER SUBSIDIARIES**

The other subsidiaries — MTA Staten Island Rapid Transit, MTA Long Island Bus, and MTA Manhattan and Bronx Surface Transit — provide regional transportation services. MTA Staten Island Rapid Transit operates transit services on Staten Island. MTA Manhattan and Bronx Surface Transit, in conjunction with MTA New York City Transit, provides bus service within New York City, primarily to passengers traveling within a particular borough or as feeder service to the subway.

MTA Long Island Bus provides bus service to Nassau County, western Suffolk County and eastern Queens County, connecting these areas to MTA New York City Transit's subway stations. The Metropolitan Transportation Authority is responsible for the operation and general oversight of MTA Long Island Bus. Nassau County is financially responsible for MTA Long Island Bus' operating costs that are over and above those supported by fares and by Federal and State assistance.

### **ALL FUNDS APPROPRIATIONS (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	0	0	0	0
Aid To Localities	391,397,000	437,600,000	46,203,000	0
Capital Projects	320,000,000	0	(320,000,000)	36,000,000
Total	<u>711,397,000</u>	<u>437,600,000</u>	<u>(273,797,000)</u>	<u>36,000,000</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Special Revenue Funds - Other	391,397,000	437,600,000	46,203,000
Total	<u>391,397,000</u>	<u>437,600,000</u>	<u>46,203,000</u>

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

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Dedicated Tax			
Special Revenue Funds - Other	391,397,000	437,600,000	46,203,000
Total	<u>391,397,000</u>	<u>437,600,000</u>	<u>46,203,000</u>

# ***METROPOLITAN TRANSPORTATION***

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b><u>Comprehensive Construction Program</u></b>	<b><u>Available 2000-01</u></b>	<b><u>Recommended 2001-02</u></b>	<b><u>Change</u></b>	<b><u>Reappropriations 2001-02</u></b>
Mass Transportation and Rail Freight Metropolitan Transportation Authority Capital Projects Fund - Advances	0	0	0	36,000,000
Transportation 2000 Bondable Urban and Commuter Mass Transportation Bondable Capital Projects Fund-Transportation 2000 (Bondable)	<u>320,000,000</u>	<u>0</u>	<u>(320,000,000)</u>	<u>0</u>
Total	<b><u>320,000,000</u></b>	<b><u>0</u></b>	<b><u>(320,000,000)</u></b>	<b><u>36,000,000</u></b>



# **DEPARTMENT OF MOTOR VEHICLES**

## **MISSION**

The New York State Department of Motor Vehicles (DMV) promotes traffic safety, provides consumer protection and information services, and assists other government agencies achieve their missions. DMV collects fees and generates non-tax revenues to support these objectives.

## **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 3,384 for 2001-02 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 funded with Federal grants.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends approximately \$128 million in State tax dollars in 2001-02 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.

In 2000, the license renewal term for most motorists was expanded from five years to eight years. This Executive Budget would similarly extend the renewal term for the remaining 1.3 million drivers who hold commercial licenses.

In early 2001, the Department will begin to reissue the newly designed Empire State License Plate to the more than nine million registered vehicles. In conjunction with the license plate reissuance, the Executive Budget includes a recommendation to authorize a new series of custom license plates including more contemporary designs for the State's regional custom plate series. 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 help law enforcement identify fraudulent plates and uninsured drivers.

## **PROGRAM HIGHLIGHTS**

### **CUSTOMER SERVICE**

DMV issues driver's licenses and vehicle registrations, collects approximately \$955 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, and several other jurisdictions across the State. This allows local judges and criminal

## **MOTOR VEHICLES**

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.

Last year, DMV began accepting credit cards at all of its issuing offices. This change greatly enhances the Department's ability to provide services over the telephone and through its Internet website — which now receives more than one million visitors each year. As such, in 2001-02, DMV will expand opportunities for customers to utilize the telephone and Internet for services that previously required in-person office visits, such as registration renewals and scheduling road tests.

### **VEHICLE AND DRIVER SAFETY**

Governor Pataki's highway safety policies have resulted in reductions in fatalities and serious injuries on our roads. Contributing to this success have been enforcement and educational efforts by State, local and non-profit agencies, including a statewide crackdown to stop those who drink and drive or engage in aggressive driving on our highways, statewide initiatives to promote proper child safety seat usage, as well as the statewide Buckle Up NY enforcement campaign which has increased seatbelt usage to over 76 percent. These efforts have resulted in New York State's roadways being some of the safest in the nation.

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. In addition, the 2001-02 Executive Budget will enable DMV to enhance its efforts to prevent odometer fraud.

<b>ALL FUNDS APPROPRIATIONS (dollars)</b>				
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	213,913,600	220,219,100	6,305,500	15,105,500
Aid To Localities	12,800,000	10,920,000	(1,880,000)	10,400,000
Capital Projects	0	0	0	0
Total	<u>226,713,600</u>	<u>231,139,100</u>	<u>4,425,500</u>	<u>25,505,500</u>

## MOTOR VEHICLES

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

Full-Time Equivalent Positions (FTE)			
Program	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration			
General Fund	272	272	0
Administrative Adjudication			
Special Revenue Funds - Other	460	462	2
Clean Air			
Special Revenue Funds - Other	159	159	0
Compulsory Insurance			
Special Revenue Funds - Other	190	204	14
Governor's Traffic Safety Committee			
Special Revenue Funds - Federal	27	27	0
Operations			
General Fund	1,620	1,615	(5)
Transportation Safety			
General Fund	666	645	(21)
Total	3,394	3,384	(10)

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	124,752,500	127,942,400	3,189,900
Special Revenue Funds - Federal	9,941,400	7,967,300	(1,974,100)
Special Revenue Funds - Other	77,719,700	82,809,400	5,089,700
Internal Service Funds	1,500,000	1,500,000	0
Total	213,913,600	220,219,100	6,305,500
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(7,996,000)		
Special Revenue Funds - Federal	(78,000)		
Special Revenue Funds - Other	(3,304,000)		
Appropriated 2000-01	202,535,600		



# MOTOR VEHICLES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	32,593,100	32,873,000	279,900
Special Revenue Funds - Other	775,000	775,000	0
Administrative Adjudication			
Special Revenue Funds - Other	30,706,900	33,095,600	2,388,700
Clean Air			
Special Revenue Funds - Other	10,363,700	10,476,200	112,500
Compulsory Insurance			
Special Revenue Funds - Other	13,689,100	16,277,600	2,588,500
Governor's Traffic Safety Committee			
Special Revenue Funds - Federal	9,941,400	7,967,300	(1,974,100)
Operations			
General Fund	80,274,500	83,719,400	3,444,900
Internal Service Funds	1,500,000	1,500,000	0
Transportation Safety			
General Fund	11,884,900	11,350,000	(534,900)
Special Revenue Funds - Other	<u>22,185,000</u>	<u>22,185,000</u>	<u>0</u>
Total	<u>213,913,600</u>	<u>220,219,100</u>	<u>6,305,500</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	13,480,300	279,900	12,919,200	279,900
Operations	55,324,400	1,136,900	54,582,400	1,136,900
Transportation Safety	<u>25,181,000</u>	<u>(534,900)</u>	<u>24,812,100</u>	<u>(534,900)</u>
Total	<u>93,985,700</u>	<u>881,900</u>	<u>92,313,700</u>	<u>881,900</u>
<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	124,100	0	437,000	0
Operations	193,000	0	549,000	0
Transportation Safety	<u>39,500</u>	<u>0</u>	<u>329,400</u>	<u>0</u>
Total	<u>356,600</u>	<u>0</u>	<u>1,315,400</u>	<u>0</u>

# MOTOR VEHICLES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	19,392,700	0	306,000	0
Operations	28,395,000	2,308,000	488,000	0
Transportation Safety	(13,831,000)	0	910,000	0
Total	<u>33,956,700</u>	<u>2,308,000</u>	<u>1,704,000</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	119,000	0	18,740,700	0
Operations	25,000	0	27,477,000	2,308,000
Transportation Safety	1,041,000	0	5,379,000	0
Total	<u>1,185,000</u>	<u>0</u>	<u>51,596,700</u>	<u>2,308,000</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	227,000	0	0	0
Operations	405,000	0	0	0
Transportation Safety	39,000	0	(21,200,000)	0
Total	<u>671,000</u>	<u>0</u>	<u>(21,200,000)</u>	<u>0</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	775,000	0	0	0
Administrative Adjudication	33,095,600	2,388,700	17,744,000	500,600
Clean Air	10,476,200	112,500	6,278,500	75,000
Compulsory Insurance	16,277,600	2,588,500	7,177,000	928,100
Governor's Traffic Safety Committee	7,967,300	(1,974,100)	450,000	(19,000)
Operations	1,500,000	0	0	0
Transportation Safety	22,185,000	0	0	0
Total	<u>92,276,700</u>	<u>3,115,600</u>	<u>31,649,500</u>	<u>1,484,700</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	775,000	0	0	0
Administrative Adjudication	15,351,600	1,888,100	0	0
Clean Air	4,197,700	37,500	0	0
Compulsory Insurance	9,100,600	1,660,400	0	0
Governor's Traffic Safety Committee	217,300	(5,100)	7,300,000	(1,950,000)
Operations	0	0	1,500,000	0
Transportation Safety	985,000	0	21,200,000	0
Total	<u>30,627,200</u>	<u>3,580,900</u>	<u>30,000,000</u>	<u>(1,950,000)</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Special Revenue Funds - Federal	12,800,000	10,920,000	(1,880,000)
Total	<u>12,800,000</u>	<u>10,920,000</u>	<u>(1,880,000)</u>

# **MOTOR VEHICLES**

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**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Governor's Traffic Safety Committee			
Special Revenue Funds - Federal	<u>12,800,000</u>	<u>10,920,000</u>	<u>(1,880,000)</u>
Total	<u>12,800,000</u>	<u>10,920,000</u>	<u>(1,880,000)</u>

# ***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 2001-02, State tax dollars from the General Fund will finance 33.5 percent, or \$8 million, of the Authority's \$23.9 million operating budget. State funding supplements \$14.5 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 1999-2000, the Olympic facilities at Lake Placid received more than 478,000 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, the U.S. Ski Jumping 120 and 90 Meter Championships and the first-ever ESPN Great Outdoor Games 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.

# OLYMPIC REGIONAL DEVELOPMENT

## SKI FACILITIES

The Authority also manages the Gore and Whiteface mountain ski centers, two major downhill ski facilities that received more than 225,000 visitors in the 1999-2000 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	7,902,000	8,354,000	452,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>7,902,000</u>	<u>8,354,000</u>	<u>452,000</u>	<u>0</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	7,552,000	8,004,000	452,000
Special Revenue Funds - Other	150,000	150,000	0
Fiduciary Funds	<u>200,000</u>	<u>200,000</u>	<u>0</u>
Total	<u>7,902,000</u>	<u>8,354,000</u>	<u>452,000</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Operations			
General Fund	7,552,000	8,004,000	452,000
Special Revenue Funds - Other	150,000	150,000	0
Nonexpendable Trust Funds	<u>200,000</u>	<u>200,000</u>	<u>0</u>
Total	<u>7,902,000</u>	<u>8,354,000</u>	<u>452,000</u>

### STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations	8,004,000	452,000	7,904,000	352,000
Total	<u>8,004,000</u>	<u>452,000</u>	<u>7,904,000</u>	<u>352,000</u>

<u>Program</u>	<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>
Operations	100,000	100,000
Total	<u>100,000</u>	<u>100,000</u>

# OLYMPIC REGIONAL DEVELOPMENT

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**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Operations	350,000	0	200,000	0
Total	350,000	0	200,000	0
<b>Maintenance Undistributed</b>				
<b>Program</b>	<b>Amount</b>		<b>Change</b>	
Operations	150,000	0		
Total	150,000	0		



# ***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 which are not included elsewhere in the Executive Budget are discussed below:



## ***PUBLIC AUTHORITIES***

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### ***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. All capital improvements and operating expenses are funded by tolls and rentals of property and buildings. 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 7 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 generates 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. 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 currently owns and operates five major generating facilities,

five small hydroelectric facilities and a major transmission system. It has recently completed the sale of its two nuclear generating facilities — James A. Fitzpatrick and Indian Point 3.

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 Long Island. 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 2001-02 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.

### ***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.

## ***PUBLIC AUTHORITIES***

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### ***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 <sup>a/</sup> OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2000 AND 2001**  
(thousands of dollars)

Authorities by Function	Fiscal Year Begins	2000				2001			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>b/</sup>	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>b/</sup>
BRIDGE, TUNNEL AND HIGHWAY									
Buffalo and Fort Erie Public Bridge Authority	Jan. 1	27,675	12,025	4,291	11,359	26,870	12,447	4,292	10,131
New York State Bridge Authority	Jan. 1	38,476	15,667	4,749	18,060	38,747	16,352	4,753	17,642
Thousand Islands Bridge Authority	Mar. 1	9,532	4,872	704	3,956	9,610	5,242	727	3,641
Triborough Bridge and Tunnel Authority	Jan. 1	979,136	266,734	340,476	371,926	960,360	275,995	390,463	293,902
Thruway Authority <sup>d/</sup>	Jan. 1	434,481	245,577	98,253	90,651	457,787	270,537	101,367	85,883
ECONOMIC DEVELOPMENT									
Battery Park City Authority	Nov. 1	200,504	22,500	65,141	112,863	157,766	24,751	64,865	68,150
Development Authority of the North Country	April 1	10,325	7,110	3,215	0	10,841	7,465	3,376	0
Empire State Development Corporation	April 1	454,695	36,243	418,452	0	468,541	38,334	430,207	0
Job Development Authority	April 1	23,957	2,086	21,871	0	18,114	2,008	16,106	0
United Nations Development Corporation	Jan. 1	30,883	12,734	10,354	7,795	31,423	12,913	10,356	8,154
ENERGY AND ENVIRONMENT									
Energy Research and Development Authority	April 1	125,026	110,069	14,957	0	131,362	116,400	14,962	0
Environmental Facilities Corporation	April 1	474,393	11,535	458,213	4,645	522,597	12,822	504,195	5,580
Long Island Power Authority	Jan. 1	2,124,940	1,782,030	342,910	0	2,507,786	1,994,130	512,265	1,391
Power Authority <sup>d/</sup>	Jan. 1	1,699,000	1,063,500	275,800	359,700	1,836,700	1,227,900	312,400	296,400
HOUSING, HEALTH AND FINANCE									
Dormitory Authority	April 1	2,719,951	55,054	2,664,897	0	2,872,787	57,619	2,815,168	0
Housing Finance Agency	Nov. 1	487,196	16,482	465,034	5,680	424,010	17,025	401,195	5,790
Local Government Assistance Corporation	April 1	518,200	4,000	514,200	0	463,000	4,000	459,000	0
Mortgage Agency	Nov. 1	614,972	26,299	588,673	0	607,433	30,568	576,865	0
Municipal Assistance Corporation for the City of New York	July 1	520,394	7,942	506,834	5,618	515,881	7,942	507,939	0
Municipal Assistance Corporation for the City of Troy	Jan. 1	3,571	25	3,546	0	3,883	25	3,858	0
Municipal Bond Bank Agency	Nov. 1	6,323	155	6,138	30	6,346	170	6,131	45
Project Finance Agency	Nov. 1	43,192	240	42,892	60	41,212	273	40,869	70
PORT DEVELOPMENT									
Albany Port District Commission	Jan. 1	2,642	1,630	80	932	2,978	1,714	80	1,184
Ogdensburg Bridge and Port Authority	April 1	3,730	2,241	555	934	3,525	2,302	555	668
Port Authority of New York and New Jersey <sup>d/</sup>	Jan. 1	2,781,000	1,810,000	544,000	427,000	2,781,000	1,810,000	544,000	427,000
Port of Oswego Authority	April 1	1,606	1,279	224	103	1,165	980	86	99

## PUBLIC AUTHORITIES

Authorities by Function	Fiscal Year Begins	2000				2001			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>b/</sup>	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>b/</sup>
REGIONAL TRANSPORTATION									
Capital District Transportation Authority	April 1	32,848	32,848	0	0	33,095	33,095	0	0
Central New York Regional Transportation Authority	April 1	26,521	26,501	20	0	26,614	26,594	20	0
Metropolitan Transportation Authority	Jan. 1	6,383,200	5,852,700	462,000	68,500	7,014,600	6,523,200	491,400	0
Niagara Frontier Transportation Authority	April 1	109,688	91,328	14,387	3,973	110,216	92,166	18,050	0
Rochester-Genesee Regional Transportation Authority	April 1	43,500	42,762	0	738	44,775	44,574	0	201
GRAND TOTAL		<u>20,931,557</u>	<u>11,564,168</u>	<u>7,872,866</u>	<u>1,494,523</u>	<u>22,131,024</u>	<u>12,669,543</u>	<u>8,235,550</u>	<u>1,225,931</u>

<sup>a/</sup> 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.

<sup>b/</sup> 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.

<sup>c/</sup> Excludes debt service for bonds sold to finance State transportation programs.

<sup>d/</sup> The surplus shown is on a cash basis, the Power Authority utilizes these funds for required reserves and capital expenditures.

<sup>e/</sup> The surplus represents an estimated \$340 million of direct capital investment in Port Authority facilities with the balance paid into reserve funds. Due to the unavailability of 2001 Budget information, data for 2001 is based on carry forward of previous year data.

# PUBLIC AUTHORITIES

**TABLE 2**  
**CAPITAL PROGRAMS <sup>a/</sup> OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2000 AND 2001**  
(thousands of dollars)

<b>Authorities by Function</b>	<b>2000</b>			<b>2001</b>		
	<b>Capital Program Disbursements</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>	<b>Capital Program Disbursements</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>
<b>BRIDGE, TUNNEL AND HIGHWAY</b>						
Buffalo and Fort Erie Public Bridge Authority	10,388	22,583	0	18,512	22,240	0
New York State Bridge Authority	21,512	51,569	0	35,963	47,557	0
Thousand Islands Bridge Authority	9,111	9,111	0	1,963	1,963	0
Triborough Bridge and Tunnel Authority	150,705	197,300	0	170,000	220,000	210,000
Thruway Authority	391,031	249,930	141,101	375,875	241,716	134,159
<b>ECONOMIC DEVELOPMENT</b>						
Battery Park City Authority	11,000	11,000	55,725	21,588	27,000	0
Development Authority of the North Country	0	0	0	0	0	0
Empire State Development Corporation	50,000	50,000	0	15,000	0	15,000
Job Development Authority	0	0	0	16,100	0	16,100
United Nations Development Corporation	1,619	7,129	0	1,066	6,063	0
<b>ENERGY AND ENVIRONMENT</b>						
Energy Research and Development Authority	13,900	13,900	0	15,250	15,250	0
Environmental Facilities Corporation	735,355	0	735,355	649,680	0	649,680
Long Island Power Authority	207,000	0	250,000	242,000	0	250,000
Power Authority	415,400	791,608	624,400	434,112	470,140	11,860
<b>HOUSING, HEALTH AND FINANCE</b>						
Dormitory Authority	2,592,128	3,903,220	1,921,554	3,191,446	3,232,646	2,551,731
Housing Finance Agency	334,997	243,176	398,549	593,958	260,541	450,000
Local Government Assistance Corporation	0	0	0	0	0	0
Mortgage Agency	519,722	292,433	329,360	520,000	240,225	305,520
Municipal Assistance Corporation for the City of New York	0	0	0	0	0	0
Municipal Assistance Corporation for the City of Troy	0	0	0	0	0	0
Municipal Bond Bank Agency	0	0	0	0	0	0
Project Finance Agency	0	0	0	0	0	0
<b>PORT DEVELOPMENT</b>						
Albany Port District Commission	525	100	0	3,900	0	0
Ogdensburg Bridge and Port Authority	4,398	4,398	0	3,430	3,430	0
Port Authority of New York and New Jersey <sup>a/</sup>	1,226,000	927,880	360,000	1,226,000	927,880	360,000
Port of Oswego Authority	602	2,045	0	2,500	0	0

## PUBLIC AUTHORITIES

<b>Authorities by Function</b>	<b>2000</b>			<b>2001</b>		
	<b>Capital Program Disbursements</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>	<b>Capital Program Disbursements</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>
REGIONAL TRANSPORTATION						
Capital District Transportation Authority <sup>a/</sup>	32,221	32,221	0	30,011	30,011	0
Central New York Regional Transportation Authority	21,594	21,594	0	13,078	13,078	0
Metropolitan Transportation Authority <sup>a/</sup>	3,518,700	1,189,300	2,329,400	4,960,200	1,197,300	3,762,900
Niagara Frontier Transportation Authority	119,472	58,275	61,196	55,213	52,931	2,281
Rochester-Genesee Regional Transportation Authority	15,806	15,806	0	16,150	16,150	0
<b>GRAND TOTAL</b>	<b>10,403,186</b>	<b>8,094,578</b>	<b>7,206,640</b>	<b>12,612,995</b>	<b>7,026,121</b>	<b>8,719,231</b>

<sup>a/</sup> 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.

<sup>b/</sup> Includes proceeds available for capital program only.

<sup>c/</sup> Due to the unavailability of 2001 Budget information, data for 2001 is based on carry forward of previous year data.

<sup>d/</sup> 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.

<sup>e/</sup> This table reflects the MTA's capital plan approved by the Capital Program Review Board in May 2000.



# PUBLIC AUTHORITIES

**TABLE 3**  
**DEBT STRUCTURE OF NEW YORK STATE PUBLIC AUTHORITIES**  
**AS OF SEPTEMBER 30, 2000**  
(thousands of dollars)

<b>Authorities by Function</b>	<b>All Bonds and Notes</b>				<b>Moral Obligation Bonds</b>		
	<b>Statutory Authorization</b>	<b>Bonds Issued</b>	<b>Bonds Outstanding</b>	<b>Notes Outstanding</b>	<b>Authorized Limit</b>	<b>Bonds Issued</b>	<b>Bonds Outstanding</b>
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public Bridge Authority	165,000	53,370	49,145	2,482	0	0	0
New York State Bridge Authority	100,000	116,711	41,890	0	0	0	0
Thousand Islands Bridge Authority	Unlimited	5,745	5,745	0	0	0	0
Triborough Bridge and Tunnel Authority <sup>af</sup>	16,500,000	6,541,795	5,325,200	807,190	0	0	0
Thruway Authority	Unlimited	9,925,027	7,401,890	150,000	0	0	0
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority <sup>af</sup>	1,060,000	1,107,835	979,470	0	0	0	0
Development Authority of the North Country	Unlimited	37,981	35,772	0	0	0	0
Empire State Development Corporation	Unlimited	5,825,537	4,962,557	15,299	1,295,000	1,070,000	0
Job Development Authority	750,000	726,080	132,685	0	0	0	0
United Nations Development Corporation	Unlimited	260,728	141,353	0	46,555	32,040	0
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority	Unlimited	7,156,095	3,929,790	0	0	0	0
Environmental Facilities Corporation	Unlimited	5,765,920	3,991,315	0	0	0	0
Long Island Power Authority	Unlimited	8,297,506	7,274,037	0	0	0	0
Power Authority	Unlimited	5,424,825	1,070,495	1,102,253	0	0	0
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority	Unlimited	52,195,815	23,738,441	116,410	926,015	698,660	96,640
Housing Finance Agency <sup>af</sup>	7,890,000	10,155,100	4,492,407	0	4,428,808	6,524,379	489,270
Local Government Assistance Corporation	4,700,000	5,571,165	4,873,835	0	0	0	0
Mortgage Agency	6,695,000	10,932,744	4,179,124	0	0	0	0
Municipal Assistance Corporation for the City of New York	11,500,000	9,445,000	3,217,000	0	0	9,445,000	0
Municipal Assistance Corporation for the City of Troy <sup>af</sup>	75,000	69,583	72,553	0	0	0	0
Municipal Bond Bank Agency	1,000,000	64,765	40,985	0	0	0	0
Project Finance Agency	305,000	305,000	114,800	0	0	0	0
<b>PORT DEVELOPMENT</b>							
Albany Port District Commission	Unlimited	0	0	1,117	0	0	0
Ogdensburg Bridge and Port Authority	Unlimited	0	0	2,282	0	0	0
Port Authority of New York and New Jersey	Unlimited	9,683,660	7,711,635	453,925	0	0	0
Port of Oswego Authority	Unlimited	0	0	206	0	0	0

## **PUBLIC AUTHORITIES**

<b>Authorities by Function</b>	<b>All Bonds and Notes</b>				<b>Moral Obligation Bonds</b>		
	<b>Statutory Authorization</b>	<b>Bonds Issued</b>	<b>Bonds Outstanding</b>	<b>Notes Outstanding</b>	<b>Authorized Limit</b>	<b>Bonds Issued</b>	<b>Bonds Outstanding</b>
REGIONAL TRANSPORTATION							
Capital District Transportation Authority	Unlimited	0	0	1,000	0	0	0
Central New York Regional Transportation Authority	Unlimited	0	0	0	0	0	0
Metropolitan Transportation Authority <sup>a/</sup>	16,500,000	9,266,174	7,551,194	750,000	0	0	0
Niagara Frontier Transportation Authority	Unlimited	217,269	198,054	744	0	0	0
Rochester-Genesee Regional Transportation Authority	Unlimited	0	0	0	0	0	0
<b>GRAND TOTAL</b>		<b>159,151,430</b>	<b>91,531,372</b>	<b>3,402,908</b>	<b>6,696,378</b>	<b>17,770,079</b>	<b>585,910</b>

<sup>a/</sup> The MTA and TBTA are collectively authorized to issue up to \$16.5 billion of bonds to finance their 1992-2004 capital programs. Outstanding bonds do not include \$365 million in Convention Center Project Bonds, not covered by Authority's bond cap, but solely supported by rental income.

<sup>b/</sup> \$400 million in bonding authority related to the Housing New York Program sunsetted on June 30, 1995.

<sup>c/</sup> HFA moral obligation bond limit is reduced as bonds outstanding after April 1, 1976 are repaid.

<sup>d/</sup> Bonds outstanding exceed bonds issued because bonds outstanding include accretion in value of capital appreciation bonds from date of issue through September 30, 2000.

# PUBLIC AUTHORITIES

**TABLE 4**  
**STATE INVOLVEMENT IN FINANCING OF PROJECTS AND OPERATIONS**  
**OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2000 AND 2001-02**  
(thousands of dollars)

<b>Authorities by Function</b>	<b>Authority Bonds Outstanding, 2000 <sup>a/</sup></b>			<b>Outstanding Reimbursable State Appropriations, 1999</b>	<b>State Appropriations Requested in Support of Authority Programs, 2001-02 <sup>b/</sup></b>		
	<b>Revenue and Nonrecourse</b>	<b>State Guaranteed</b>	<b>Moral Obligation</b>		<b>New Appropriations</b>	<b>Reappropriations</b>	<b>Total</b>
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public Bridge Authority	49,145	0	0	0	0	0	0
New York State Bridge Authority	41,890	0	0	0	0	0	0
Thousand Islands Bridge Authority	5,745	0	0	0	0	0	0
Triborough Bridge and Tunnel Authority <sup>c/</sup>	5,325,200	0	0	0	0	0	0
Thruway Authority	7,401,890	0	0	0	2,000	2,450	4,450
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority	979,470	0	0	0	0	0	0
Development Authority of the North Country	35,772	0	0	0	0	0	0
Empire State Development Corporation	4,962,557	0	0	0	243,604	565,281	808,885
Job Development Authority	0	132,685	0	0	0	0	0
United Nations Development Corporation	141,353	0	0	0	0	0	0
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority	3,929,790	0	0	0	30,173	0	30,173
Environmental Facilities Corporation	3,991,315	0	0	7,939	14,795	14,500	29,295
Long Island Power Authority	7,274,037	0	0	0	0	0	0
Power Authority	1,070,495	0	0	0	0	0	0
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority	23,641,801	0	96,640	0	0	0	0
Housing Finance Agency	4,003,137	0	489,270	44,129	700	0	700
Local Government Assistance Corporation	4,873,835	0	0	0	463,000	0	463,000
Mortgage Agency	4,179,124	0	0	0	0	0	0
Municipal Assistance Corporation for the City of New York	3,217,000	0	0	0	0	0	0
Municipal Assistance Corporation for the City of Troy	72,553	0	0	0	0	0	0
Municipal Bond Bank Agency	40,985	0	0	0	0	0	0
Project Finance Agency	114,800	0	0	0	0	0	0
<b>PORT DEVELOPMENT</b>							
Albany Port District Commission	0	0	0	3,900	0	0	0
Ogdensburg Bridge and Port Authority	0	0	0	19,455	0	0	0
Port Authority of New York and New Jersey	7,711,635	0	0	0	0	0	0
Port of Oswego Authority	0	0	0	4,181	0	0	0

## ***PUBLIC AUTHORITIES***

<b>Authorities by Function</b>	<b>Authority Bonds Outstanding, 2000 <sup>a/</sup></b>			<b>State Appropriations Requested in Support of Authority Programs, 2001-02 <sup>b/</sup></b>			
	<b>Revenue and Nonrecourse</b>	<b>State Guaranteed</b>	<b>Moral Obligation</b>	<b>Outstanding Reimbursable State Appropriations, 1999</b>	<b>New Appropriations</b>	<b>Reappropriations</b>	<b>Total</b>
REGIONAL TRANSPORTATION							
Capital District Transportation Authority	0	0	0	0	15,546	0	15,546
Central New York Regional Transportation Authority	0	0	0	0	16,123	0	16,123
Metropolitan Transportation Authority	7,551,194	0	0	0	1,430,738	88,588	1,519,326
Niagara Frontier Transportation Authority	198,054	0	0	3,380	20,664	0	20,664
Rochester-Genesee Regional Transportation Authority	0	0	0	0	11,818	0	11,818
<b>GRAND TOTAL</b>	<b>90,812,777</b>	<b>132,685</b>	<b>585,910</b>	<b>82,984</b>	<b>2,249,161</b>	<b>670,819</b>	<b>2,919,980</b>

<sup>a/</sup> This table covers bonds outstanding as of September 30.

<sup>b/</sup> Appropriations are included in the Executive Budget for State Fiscal Year 2001-2002 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.

<sup>c/</sup> Outstanding bonds do not include \$365 million in Convention Center Project Bonds, not covered by Authority's bond cap, but solely supported by rental income.



# **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 160 per diem staff in 2001-02. Approximately 34 percent of full time staff and all per diem staff 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 2001-02 Executive Budget recommends \$9.42 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 15,000 charitable and not-for-profit organizations throughout the State. The Board establishes standards for issuing licenses to suppliers and manufacturers of gaming equipment; reviews financial statements of

## **RACING AND WAGERING**

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 160 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.

<b>ALL FUNDS APPROPRIATIONS (dollars)</b>				
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	15,213,300	14,739,000	(474,300)	0
Aid To Localities	200,000	0	(200,000)	0
Capital Projects	0	0	0	0
Total	15,413,300	14,739,000	(674,300)	0

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

<b>Program</b>	<b>Full-Time Equivalent Positions (FTE)</b>		
	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Administration			
General Fund	15	15	0
Audit and Investigation			
General Fund	23	23	0
Regulation of Racing and Off-Track Betting			
General Fund	4	4	0
Regulation of Wagering			
Special Revenue Funds - Other	81	81	0
Total	123	123	0

# RACING AND WAGERING

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	9,948,000	9,427,000	(521,000)
Special Revenue Funds - Other	5,265,300	5,312,000	46,700
Total	<u>15,213,300</u>	<u>14,739,000</u>	<u>(474,300)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(220,000)
Special Revenue Funds - Other	<u>(286,000)</u>
Appropriated 2000-01	<u>14,707,300</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	1,651,857	1,305,000	(346,857)
Audit and Investigation			
General Fund	1,191,963	1,168,000	(23,963)
Regulation of Racing and Off-Track Betting			
General Fund	7,104,180	6,954,000	(150,180)
Regulation of Wagering			
Special Revenue Funds - Other	<u>5,265,300</u>	<u>5,312,000</u>	<u>46,700</u>
Total	<u>15,213,300</u>	<u>14,739,000</u>	<u>(474,300)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	715,000	4,543	715,000	4,543
Audit and Investigation	1,115,000	7,337	1,115,000	7,337
Regulation of Racing and Off-Track Betting	<u>4,444,000</u>	<u>25,120</u>	<u>4,444,000</u>	<u>25,120</u>
Total	<u>6,274,000</u>	<u>37,000</u>	<u>6,274,000</u>	<u>37,000</u>



# RACING AND WAGERING

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	590,000	(351,400)	210,300	(125,300)
Audit and Investigation	53,000	(31,300)	8,800	(5,200)
Regulation of Racing and Off-Track Betting	2,510,000	(175,300)	35,400	(20,700)
Total	<u>3,153,000</u>	<u>(558,000)</u>	<u>254,500</u>	<u>(151,200)</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	23,800	(14,000)	355,900	(212,100)
Audit and Investigation	23,500	(13,900)	19,300	(11,400)
Regulation of Racing and Off-Track Betting	5,900	(3,500)	2,465,100	(149,100)
Total	<u>53,200</u>	<u>(31,400)</u>	<u>2,840,300</u>	<u>(372,600)</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Audit and Investigation	1,400	(800)
Regulation of Racing and Off-Track Betting	3,600	(2,000)
Total	<u>5,000</u>	<u>(2,800)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Regulation of Wagering	5,312,000	46,700	3,228,000	33,300
Total	<u>5,312,000</u>	<u>46,700</u>	<u>3,228,000</u>	<u>33,300</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Regulation of Wagering	2,084,000	13,400
Total	<u>2,084,000</u>	<u>13,400</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	200,000	0	(200,000)
Total	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Regulation of Racing and Off-Track Betting			
General Fund	75,000	0	(75,000)
Legislative Initiatives			
General Fund	125,000	0	(125,000)
Total	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>

# **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 replaced the New York State Science and Technology Foundation and assumed responsibility for directing the State's university-based high technology economic development programs. In addition, the Office of Science, Technology, and Academic Research is responsible 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 is augmented by an 11-member advisory council. The Office of Science, Technology, and Academic Research will have a workforce of 44 positions in 2001-02.

## **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 \$49.27 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. It also provides funding for the Science and Technology Law Center which assists start-up companies in bringing new technologies to the marketplace, and is a resource for State agencies and institutions of higher education on technology-related legal issues.

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; the Sensing, Analyzing, Interpreting and Deciding Center at Syracuse University; the Buffalo Technology Transfer Center at Sisters Hospital; the

## SCIENCE, TECHNOLOGY, AND ACADEMIC RESEARCH

Focus Center-New York semiconductor research center; and the Cornell University Nanobiotechnology Center. New funding is recommended for the Cornell University Center for Materials Research.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	4,250,000	4,100,000	(150,000)	0
Aid To Localities	76,875,000	54,270,000	(22,605,000)	67,877,000
Capital Projects	10,000,000	0	(10,000,000)	57,500,000
Total	<u>91,125,000</u>	<u>58,370,000</u>	<u>(32,755,000)</u>	<u>125,377,000</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration Program			
General Fund	44	44	0
Total	<u>44</u>	<u>44</u>	<u>0</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	3,750,000	3,600,000	(150,000)
Special Revenue Funds - Other	500,000	500,000	0
Total	<u>4,250,000</u>	<u>4,100,000</u>	<u>(150,000)</u>

Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(150,000)		
Appropriated 2000-01	<u>4,100,000</u>		

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration Program			
General Fund	3,750,000	3,600,000	(150,000)
Special Revenue Funds - Other	500,000	500,000	0
Total	<u>4,250,000</u>	<u>4,100,000</u>	<u>(150,000)</u>

# SCIENCE, TECHNOLOGY, AND ACADEMIC RESEARCH

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration Program	3,600,000	(150,000)	3,600,000	(150,000)
Total	<u>3,600,000</u>	<u>(150,000)</u>	<u>3,600,000</u>	<u>(150,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration Program	500,000	0	500,000	0
Total	<u>500,000</u>	<u>0</u>	<u>500,000</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	71,875,000	49,270,000	(22,605,000)
Special Revenue Funds - Federal	5,000,000	5,000,000	0
Total	<u>76,875,000</u>	<u>54,270,000</u>	<u>(22,605,000)</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
High Technology			
General Fund	36,370,000	24,770,000	(11,600,000)
Training and Business Assistance Program			
General Fund	2,000,000	2,000,000	0
Special Revenue Funds - Federal	5,000,000	5,000,000	0
Research Development Program			
General Fund	22,500,000	22,500,000	0
Community Projects			
General Fund	11,005,000	0	(11,005,000)
Total	<u>76,875,000</u>	<u>54,270,000</u>	<u>(22,605,000)</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Research Facilities				
Capital Projects Fund	10,000,000	0	(10,000,000)	57,500,000
Total	<u>10,000,000</u>	<u>0</u>	<u>(10,000,000)</u>	<u>57,500,000</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 \$38.3 billion in State revenue and approximately \$22.2 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 5,410 positions in 2001-02, of which 4,986 will be funded by State tax dollars in the General Fund.

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

In 2001-02, 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 \$412.5 million to support the Department's operating budget. This amount includes \$303 million in General Fund support, which will finance 73.5 percent of the Department's operations, and which will be supplemented by fee income of \$40.1 million and Federal funding of \$572,000. 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 \$68.9 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.

## TAXATION AND FINANCE

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- **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 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 \$60.5 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  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	406,628,000	412,479,000	5,851,000	0
Aid To Localities	750,000	750,000	0	0
Capital Projects	0	0	0	0
Total	<u>407,378,000</u>	<u>413,229,000</u>	<u>5,851,000</u>	<u>0</u>

## TAXATION AND FINANCE

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

Full-Time Equivalent Positions (FTE)			
Program	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration			
General Fund	93	92	(1)
Audit			
General Fund	1,945	1,918	(27)
Office of Conciliation and Mediation			
General Fund	35	35	0
Counsel			
General Fund	77	76	(1)
Tax Policy and Analysis			
General Fund	35	35	0
Revenue and Information Management			
General Fund	1,655	1,632	(23)
Special Revenue Funds - Other	379	379	0
Revenue Support Services			
General Fund	70	69	(1)
Tax Compliance			
General Fund	821	809	(12)
Tax Enforcement			
General Fund	192	189	(3)
Special Revenue Funds - Federal	9	9	0
Taxpayer Services			
General Fund	133	131	(2)
Treasury Management			
Special Revenue Funds - Other	36	36	0
Total	5,480	5,410	(70)

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	301,620,000	302,960,000	1,340,000
Special Revenue Funds - Federal	500,000	572,000	72,000
Special Revenue Funds - Other	36,533,000	40,061,000	3,528,000
Internal Service Funds	67,975,000	68,886,000	911,000
Total	406,628,000	412,479,000	5,851,000
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(20,428,000)		
Special Revenue Funds - Other	(165,000)		
Appropriated 2000-01	386,035,000		



# TAXATION AND FINANCE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	6,981,300	5,609,000	(1,372,300)
Audit			
General Fund	107,165,600	109,603,000	2,437,400
Banking Services			
Internal Service Funds	67,975,000	68,886,000	911,000
Office of Conciliation and Mediation			
General Fund	2,155,200	2,326,000	170,800
Counsel			
General Fund	5,229,400	5,184,000	(45,400)
Tax Policy and Analysis			
General Fund	2,136,600	2,230,000	93,400
Revenue and Information Management			
General Fund	91,081,100	89,405,000	(1,676,100)
Special Revenue Funds - Other	32,514,000	32,907,000	393,000
Revenue Support Services			
General Fund	31,271,000	32,811,000	1,540,000
Tax Compliance			
General Fund	31,875,900	33,006,000	1,130,100
Special Revenue Funds - Other	2,000,000	5,000,000	3,000,000
Tax Enforcement			
General Fund	12,964,000	12,836,000	(128,000)
Special Revenue Funds - Federal	500,000	572,000	72,000
Taxpayer Services			
General Fund	10,759,900	9,950,000	(809,900)
Treasury Management			
Special Revenue Funds - Other	<u>2,019,000</u>	<u>2,154,000</u>	<u>135,000</u>
Total	<u>406,628,000</u>	<u>412,479,000</u>	<u>5,851,000</u>

## TAXATION AND FINANCE

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	5,200,000	(1,372,300)	5,158,000	(1,376,300)
Audit	92,868,000	2,231,400	91,819,000	2,147,400
Office of Conciliation and Mediation	2,231,000	170,800	2,213,000	170,800
Counsel	5,056,000	(45,400)	4,814,000	(67,400)
Tax Policy and Analysis	2,207,000	93,400	2,115,000	85,400
Revenue and Information Management	64,731,000	(1,719,100)	61,339,000	(2,053,100)
Revenue Support Services	4,450,000	(55,000)	3,901,000	(105,000)
Tax Compliance	31,340,000	1,130,100	31,287,000	1,127,100
Tax Enforcement	10,215,000	(128,000)	10,178,000	(131,000)
Taxpayer Services	7,502,000	(918,900)	6,436,000	(1,011,900)
Total	<u>225,800,000</u>	<u>(613,000)</u>	<u>219,260,000</u>	<u>(1,214,000)</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	0	0	42,000	4,000
Audit	919,000	77,000	130,000	7,000
Office of Conciliation and Mediation	0	0	18,000	0
Counsel	236,000	21,000	6,000	1,000
Tax Policy and Analysis	89,000	8,000	3,000	0
Revenue and Information Management	2,738,000	270,000	654,000	64,000
Revenue Support Services	546,000	50,000	3,000	0
Tax Compliance	0	0	53,000	3,000
Tax Enforcement	25,000	2,000	12,000	1,000
Taxpayer Services	1,061,000	92,000	5,000	1,000
Total	<u>5,614,000</u>	<u>520,000</u>	<u>926,000</u>	<u>81,000</u>

# TAXATION AND FINANCE

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	409,000	0	291,000	0
Audit	16,735,000	206,000	32,000	0
Office of Conciliation and Mediation	95,000	0	4,000	0
Counsel	128,000	0	8,000	0
Tax Policy and Analysis	23,000	0	5,000	0
Revenue and Information Management	24,674,000	43,000	1,777,000	0
Revenue Support Services	28,361,000	1,595,000	159,000	8,000
Tax Compliance	1,666,000	0	279,000	0
Tax Enforcement	2,621,000	0	17,000	0
Taxpayer Services	2,448,000	109,000	74,000	3,000
<b>Total</b>	<b>77,160,000</b>	<b>1,953,000</b>	<b>2,646,000</b>	<b>11,000</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	5,000	0	74,000	0
Audit	4,249,000	53,000	11,279,000	138,000
Office of Conciliation and Mediation	70,000	0	21,000	0
Counsel	30,000	0	88,000	0
Tax Policy and Analysis	6,000	0	10,000	0
Revenue and Information Management	116,000	0	20,230,000	0
Revenue Support Services	6,000	0	28,196,000	1,587,000
Tax Compliance	604,000	0	141,000	0
Tax Enforcement	923,000	0	1,551,000	0
Taxpayer Services	11,000	1,000	2,360,000	105,000
<b>Total</b>	<b>6,020,000</b>	<b>54,000</b>	<b>63,950,000</b>	<b>1,830,000</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	39,000	0	0	0
Audit	1,175,000	15,000	0	0
Counsel	2,000	0	0	0
Tax Policy and Analysis	2,000	0	0	0
Revenue and Information Management	1,653,000	0	898,000	43,000
Tax Compliance	642,000	0	0	0
Tax Enforcement	130,000	0	0	0
Taxpayer Services	3,000	0	0	0
<b>Total</b>	<b>3,646,000</b>	<b>15,000</b>	<b>898,000</b>	<b>43,000</b>

# TAXATION AND FINANCE

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Banking Services	68,886,000	911,000	0	0
Revenue and Information Management	32,907,000	393,000	17,680,000	1,258,000
Tax Compliance	5,000,000	3,000,000	0	0
Tax Enforcement	572,000	72,000	0	0
Treasury Management	2,154,000	135,000	1,442,000	97,000
Total	<u>109,519,000</u>	<u>4,511,000</u>	<u>19,122,000</u>	<u>1,355,000</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Banking Services	0	0	68,886,000	911,000
Revenue and Information Management	15,227,000	(865,000)	0	0
Tax Compliance	5,000,000	3,000,000	0	0
Tax Enforcement	0	0	572,000	72,000
Treasury Management	712,000	38,000	0	0
Total	<u>20,939,000</u>	<u>2,173,000</u>	<u>69,458,000</u>	<u>983,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	750,000	750,000	0
Total	<u>750,000</u>	<u>750,000</u>	<u>0</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	750,000	750,000	0
Total	<u>750,000</u>	<u>750,000</u>	<u>0</u>



# 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, Hempstead and Hauppauge, while small claims hearings are conducted throughout the State. The Division will have a workforce of 36 positions for 2001-02.

## 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 \$3.454 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 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, Hempstead and Hauppauge. At these locations, the Division utilizes existing State office space, thus providing improved service at nominal additional cost.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	3,407,000	3,454,000	47,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>3,407,000</u>	<u>3,454,000</u>	<u>47,000</u>	<u>0</u>

# TAX APPEALS

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	37	36	(1)
Total	<u>37</u>	<u>36</u>	<u>(1)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	3,407,000	3,454,000	47,000
Total	<u>3,407,000</u>	<u>3,454,000</u>	<u>47,000</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	<u>(231,000)</u>
Appropriated 2000-01	<u>3,176,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,407,000	3,454,000	47,000
Total	<u>3,407,000</u>	<u>3,454,000</u>	<u>47,000</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	2,959,000	47,000	2,787,000	44,000
Total	<u>2,959,000</u>	<u>47,000</u>	<u>2,787,000</u>	<u>44,000</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Administration	172,000	3,000
Total	<u>172,000</u>	<u>3,000</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	495,000	0	38,000	0
Total	<u>495,000</u>	<u>0</u>	<u>38,000</u>	<u>0</u>
<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	55,000	0	344,000	0
Total	<u>55,000</u>	<u>0</u>	<u>344,000</u>	<u>0</u>
<b>Program</b>	<b>Equipment</b>			
	<b>Amount</b>	<b>Change</b>		
Administration	58,000	0		
Total	<u>58,000</u>	<u>0</u>		





# 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 \$2.45 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	0	0	0	0
Aid To Localities	0	0	0	0
Capital Projects	2,000,000	2,000,000	0	2,450,000
Total	<u>2,000,000</u>	<u>2,000,000</u>	<u>0</u>	<u>2,450,000</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Canal Development Program				
New York State Canal System Development Fund	2,000,000	2,000,000	0	2,450,000
Total	<u>2,000,000</u>	<u>2,000,000</u>	<u>0</u>	<u>2,450,000</u>



# ***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 2001-02, the Department will have an average full-time workforce of approximately 10,700 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 operations are devoted primarily to highway maintenance, particularly snow and ice removal. The 2001-02 Executive Budget moves the \$165 million snow and ice control and arterial maintenance programs from the General Fund to the Dedicated Highway and Bridge Trust Fund. An equivalent increase in Dedicated Fund revenues is provided to fund these costs. This change will enhance the financing of the transportation capital program and will not impact the agency's operations.

The Department's regulatory programs and other operations are primarily funded by fees, miscellaneous revenues and Federal aid. Approximately \$36 million 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, highway safety and aviation programs. The Department's \$4.1 million bus inspection program, formerly funded by the General Fund, is also moved to the Dedicated Fund by the 2001-02 Executive Budget.

Federal aid of \$9.1 million and dedicated mass transit funds totaling \$5.1 million help finance the Department's remaining operating responsibilities for mass transportation, aviation and motor-carrier safety programs.

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 \$1.75 billion in 2001-02, an increase of \$150 million over last year's level.

## **TRANSPORTATION**

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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, motor fuel tax, motor vehicle registration fees, and miscellaneous transportation related revenues. 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. In order to fund the move of the Department's snow and ice control, arterial maintenance and bus inspection programs to the Dedicated Fund in 2001-02, \$169 million of additional resources will be deposited to the Trust Fund. Beyond 2001-02, additional deposits will be made to the Dedicated Fund to finance the future costs of these 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 \$1.5 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 2001-02; these levels represent a continuation of the 2000-01 level. CHIPS operating aid totals \$23.9 million, a \$34.9 million reduction from 2000-01 levels. The reduction reflects elimination of CHIPS operating aid to counties and New York City.

A \$10 million appropriation for rail freight and passenger projects will continue an enhanced rail program that will expand shipping opportunities for New York businesses, reduce costs for consumers and improve passenger transportation. In addition, \$25 million will be provided for the 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; a business tax surcharge levied in the New York City metropolitan region; and a portion of statewide taxes on transmission, transportation and petroleum-related businesses. Dedicated Mass Transportation Trust Fund revenues are derived from a share of the revenues deposited in the Transportation Dedicated Funds Pool which includes portions of the Petroleum Business Tax, the Motor Fuel Tax and Motor Vehicle fees. State operating assistance to transit systems will total approximately \$1.7 billion, an increase of \$121 million, over enacted 2000-01 levels.

Over \$1.4 billion in State operating aid is recommended for the Metropolitan Transportation Authority (MTA) in 2001-02. This includes \$386 million from the Dedicated Mass Transportation Trust Fund in support of the MTA capital program. State aid supports nearly one-fourth 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 \$265 million in State operating assistance in 2001-02, an increase of approximately \$40 million from enacted 2000-01 levels. Of this amount, \$90.5 million is targeted for upstate transit systems. Capital funding of \$27.8 million is recommended for transit systems other than the MTA

from the Dedicated Mass Transportation Trust Fund. 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. During the successfully completed 1995-2000 Capital Program, the Department delivered significant improvements in our highway infrastructure. Almost 900 State bridges were replaced or rehabilitated and 29,000 preventive bridge treatments were completed to slow deterioration. Approximately 45,400 lane miles of state highway were resurfaced, rehabilitated or given preventive maintenance treatment. These accomplishments, coupled with new materials technology, have resulted in markedly better conditions. The 2001-02 Budget will continue our level of commitment, 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 \$386.4 million in 2001-02.

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 capital 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 2001-02, the Department will continue implementing the Governor's initiative to inspect heavy duty trucks and buses for emissions that can damage air quality, and has expanded its scope in the Metropolitan New York area.

#### **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 (dollars)

Category	Available 2000-01	Appropriations Recommended 2001-02	Change	Reappropriations Recommended 2001-02
State Operations	224,746,000	50,237,000	(174,509,000)	13,073,000
Aid To Localities	1,658,387,075	1,738,446,000	80,058,925	179,738,300
Capital Projects	8,001,660,000	3,874,462,000	(4,127,198,000)	8,651,406,000
Total	9,884,793,075	5,663,145,000	(4,221,648,075)	8,844,217,300

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

### Full-Time Equivalent Positions (FTE)

Program	2000-01 Estimated FTEs 03/31/01	2001-02 Estimated FTEs 03/31/02	FTE Change
Administration			
Internal Service Funds	42	42	0
Design and Construction			
Capital Projects Funds - Other	4,377	4,521	144
New York Metropolitan Transportation Council			
Special Revenue Funds - Other	68	68	0
Operations			
General Fund	3,537	0	(3,537)
Special Revenue Funds - Other	32	32	0
Passenger and Freight Transportation			
General Fund	86	0	(86)
Special Revenue Funds - Federal	82	82	0
Special Revenue Funds - Other	143	143	0
Capital Projects Funds - Other	0	86	86
Planning and Program Management			
Capital Projects Funds - Other	599	599	0
Preventive Maintenance			
Capital Projects Funds - Other	1,412	4,949	3,537
Real Estate			
Capital Projects Funds - Other	235	235	0
Total	10,613	10,757	144

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	170,012,000	0	(170,012,000)
Special Revenue Funds - Federal	7,439,000	9,143,000	1,704,000
Special Revenue Funds - Other	42,556,000	36,539,000	(6,017,000)
Internal Service Funds	4,739,000	4,555,000	(184,000)
Total	224,746,000	50,237,000	(174,509,000)

### Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(10,750,000)
Special Revenue Funds - Federal	(325,000)
Special Revenue Funds - Other	(897,000)
Internal Service Funds	(136,000)
Appropriated 2000-01	212,638,000

# TRANSPORTATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Operations			
General Fund	165,817,000	0	(165,817,000)
Special Revenue Funds - Other	19,053,000	21,231,000	2,178,000
Internal Service Funds	4,739,000	4,555,000	(184,000)
Passenger and Freight Transportation			
General Fund	4,195,000	0	(4,195,000)
Special Revenue Funds - Federal	7,439,000	9,143,000	1,704,000
Special Revenue Funds - Other	<u>23,503,000</u>	<u>15,308,000</u>	<u>(8,195,000)</u>
Total	<u>224,746,000</u>	<u>50,237,000</u>	<u>(174,509,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Operations	0	(135,215,000)	0	(119,454,000)
Passenger and Freight Transportation	0	(4,195,000)	0	(4,195,000)
Total	<u>0</u>	<u>(139,410,000)</u>	<u>0</u>	<u>(123,649,000)</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Operations	0	(15,761,000)
Passenger and Freight Transportation	0	0
Total	<u>0</u>	<u>(15,761,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations	0	(30,602,000)	0	(30,602,000)
Total	<u>0</u>	<u>(30,602,000)</u>	<u>0</u>	<u>(30,602,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations	25,786,000	1,994,000	2,029,000	17,000
Passenger and Freight Transportation	<u>24,451,000</u>	<u>(6,491,000)</u>	<u>11,472,000</u>	<u>(200,000)</u>
Total	<u>50,237,000</u>	<u>(4,497,000)</u>	<u>13,501,000</u>	<u>(183,000)</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations	2,701,000	(165,000)	21,056,000	2,142,000
Passenger and Freight Transportation	<u>9,919,000</u>	<u>(6,358,000)</u>	<u>3,060,000</u>	<u>67,000</u>
Total	<u>12,620,000</u>	<u>(6,523,000)</u>	<u>24,116,000</u>	<u>2,209,000</u>



# TRANSPORTATION

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	230,041,075	185,345,000	(44,696,075)
Special Revenue Funds - Federal	27,568,000	32,096,000	4,528,000
Special Revenue Funds - Other	<u>1,400,778,000</u>	<u>1,521,005,000</u>	<u>120,227,000</u>
Total	<u>1,658,387,075</u>	<u>1,738,446,000</u>	<u>80,058,925</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Additional Mass Transportation Assistance Program			
General Fund	0	54,300,000	54,300,000
Special Revenue Funds - Other	0	37,000,000	37,000,000
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	324,646,000	386,000,000	61,354,000
Federal Highway Administration Local Planning			
Special Revenue Funds - Federal	7,106,000	10,566,000	3,460,000
Urban Mass Transportation Administration Local Planning			
Special Revenue Funds - Federal	2,717,000	2,917,000	200,000
Mass Transportation Assistance Program			
General Fund	90,000,000	45,000,000	(45,000,000)
Mass Transportation Special Assistance Program			
General Fund	3,000,000	3,000,000	0
Inter City Rail Passenger Service			
General Fund	11,911,000	1,141,000	(10,770,000)
Passenger and Freight Transportation			
General Fund	58,016,000	58,016,000	0
Special Revenue Funds - Federal	17,745,000	18,613,000	868,000
Special Revenue Funds - Other	866,736,000	888,659,000	21,923,000
Section 18-B Program			
Special Revenue Funds - Other	165,989,000	165,989,000	0
Special Transit Aid			
Special Revenue Funds - Other	43,407,000	43,357,000	(50,000)
Community Projects			
General Fund	<u>8,317,075</u>	<u>0</u>	<u>(8,317,075)</u>
Total	<u>1,658,387,075</u>	<u>1,738,446,000</u>	<u>80,058,925</u>

# TRANSPORTATION

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
<b>Aviation</b>				
Airport or Aviation Program				
Capital Projects Fund - Aviation (Bondable)	0	0	0	4,219,000
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	1,500,000
Airport or Aviation Program -- Bondable				
Capital Projects Fund - Aviation (Bondable)	0	0	0	1,047,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund	6,000,000	8,000,000	2,000,000	22,778,000
Passenger Facility Charge Fund	0	0	0	0
Regional Aviation Fund	0	0	0	34,864,000
<b>Aviation</b>				
Transportation Capital Facilities Bond Fund - Aviation	0	0	0	10,261,000
Federal Airport or Aviation				
Federal Capital Projects Fund	10,000,000	0	(10,000,000)	20,193,000
Special Rail and Aviation Program				
Dedicated Highway and Bridge Trust Fund	0	0	0	74,000
Transportation Capital Facilities Bond Fund--Aviation				
Transportation Capital Facilities Bond Fund - Aviation	0	0	0	0
<b>Bond Proceeds</b>				
Transportation Infrastructure Bonds of 2000				
Transportation Infrastructure Bond Fund	3,800,000,000	0	(3,800,000,000)	0
<b>Canals and Waterways</b>				
Canals and Waterways - Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	485,000
<b>Economic Development</b>				
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	25,000,000	25,000,000	0	35,000,000
<b>Health and Safety</b>				
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	0	4,164,000	4,164,000	0
<b>Highway Facilities</b>				
Accelerated Capacity and Transportation Improvements Fund				
Accel Capacity and Transport Improvemts Fund	0	0	0	79,635,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund	0	0	0	2,870,000
Engineering Services				
Engineering Services Fund	658,224,000	636,684,000	(21,540,000)	916,325,000
NY Metro Transportation Council Account	8,210,000	10,822,000	2,612,000	17,833,000
Federal Aid Highways - Bondable Purpose				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	9,197,000
Federal Aid Highways - Federal Purpose				
Federal Capital Projects Fund	1,490,500,000	1,490,500,000	0	4,347,738,000
Federal Aid Highways State				
Dedicated Highway and Bridge Trust Fund	0	0	0	0
Highway Facilities				
Dedicated Highway and Bridge Trust Fund	0	0	0	42,710,000
Suburban Transportation Fund	0	0	0	13,707,000
Infrastructure Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	7,747,000
Lake Champlain Bridges Program				
Lake Champlain Bridge Fund	0	0	0	0
Multi-Modal				
Dedicated Highway and Bridge Trust Fund	150,000,000	0	(150,000,000)	150,000,000
Municipal Highway - Railroad Crossing Alterations				
Capital Projects Fund - Advances	0	0	0	331,000
Dedicated Highway and Bridge Trust Fund	0	0	0	1,568,000

# TRANSPORTATION

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
New York State Agency Fund				
Fiduciary funds - Misc Combined Expendable Trust Fund	50,000,000	50,000,000	0	81,652,000
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	1,272,138,000	1,565,477,000	293,339,000	2,410,557,000
Other Highway Aid				
Community Projects Fund	0	0	0	0
Dedicated Highway and Bridge Trust Fund	0	0	0	5,074,000
Other Transportation Aid				
Dedicated Highway and Bridge Trust Fund	0	0	0	415,000
Priority Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	13,366,000
Road and Bridge Improvements - Bondable				
Capital Projects Fund - A.C. and T.I. Fund (Bondable)	0	0	0	78,915,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Highway and Bridge Trust Fund	0	0	0	3,700,000
Special Parkway Rehabilitation Program				
Special Parkway Rehabilitation Fund	0	0	0	0
State Parkways				
Dedicated Highway and Bridge Trust Fund	0	0	0	0
Transportation Infrastructure Renewal Bond Fund				
Transportation Infrastructure Renewal Bond Fund	0	0	0	48,075,000
Maintenance Facilities				
Maintenance Facilities				
Dedicated Highway and Bridge Trust Fund	30,000,000	31,000,000	1,000,000	61,518,000
Mass Transportation and Rail Freight				
Marine Projects				
Dedicated Mass Transportation Fund	0	0	0	954,000
Mass Transportation				
Dedicated Mass Transportation Fund	15,568,000	15,815,000	247,000	68,285,000
Mass Transportation and Rail Freight				
Capital Projects Fund - Advances	0	0	0	0
Capital Projects Fund - Energy Conservation (Bondable)	0	0	0	2,130,000
Capital Projects Fund - Rail Preservation (Bondable)	0	0	0	0
Dedicated Highway and Bridge Trust Fund	10,000,000	10,000,000	0	23,306,000
Dedicated Mass Transportation Fund	27,000,000	27,000,000	0	39,784,000
Federal Capital Projects Fund	0	0	0	21,152,000
Mass Transportation and Rail Freight Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	12,923,000
Rail Freight				
Capital Projects Fund - Advances	0	0	0	24,450,000
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	1,908,000
Dedicated Mass Transportation Fund	0	0	0	5,279,000
Rail Preservation and Development Fund				
Energy Conservation Through Improved Transportation Bond Fund	0	0	0	2,145,000
Rail Preservation Development Bond Fund	0	0	0	0
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Mass Transportation Fund	0	0	0	5,000,000
Special Rail and Aviation Program				
Dedicated Mass Transportation Fund	0	0	0	20,610,000
Transportation Capital Facilities Bond Fund--Mass Transportation				
Transportation Capital Facilities Bond Fund - Mass Transportation	0	0	0	0

# TRANSPORTATION

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
Port Development				
Port Development Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	126,000
Transportation 2000 Bondable				
Transportation Bondable				
Capital Projects Fund-Transportation 2000 (Bondable)	<u>449,020,000</u>	<u>0</u>	<u>(449,020,000)</u>	<u>0</u>
Total	<u>8,001,660,000</u>	<u>3,874,462,000</u>	<u>(4,127,198,000)</u>	<u>8,651,406,000</u>



***PUBLIC PROTECTION  
AND 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; and 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.

## ***ORGANIZATION AND STAFFING***

The Division maintains offices in New York City, Albany, Syracuse and Buffalo. The Division will have a workforce of 196 positions for 2001-02.

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

In 2001-02, a total of nearly \$13.7 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 (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	14,300,900	13,664,000	(636,900)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	14,300,900	13,664,000	(636,900)	0



# ALCOHOLIC BEVERAGE CONTROL

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
Special Revenue Funds - Other	27	26	(1)
Compliance			
Special Revenue Funds - Other	85	83	(2)
Licensing and Wholesaler Services			
Special Revenue Funds - Other	96	87	(9)
Total	<u>208</u>	<u>196</u>	<u>(12)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	14,300,900	13,664,000	(636,900)
Total	14,300,900	<u>13,664,000</u>	<u>(636,900)</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other		(968,000)	
Appropriated 2000-01		<u>13,332,900</u>	

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other	3,466,105	3,200,000	(266,105)
Compliance			
Special Revenue Funds - Other	5,605,793	5,682,000	76,207
Licensing and Wholesaler Services			
Special Revenue Funds - Other	5,229,002	4,782,000	(447,002)
Total	<u>14,300,900</u>	<u>13,664,000</u>	<u>(636,900)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	3,200,000	(266,105)	1,347,000	(94,205)
Compliance	5,682,000	76,207	3,755,000	4,307
Licensing and Wholesaler Services	4,782,000	(447,002)	3,182,000	(369,702)
Total	<u>13,664,000</u>	<u>(636,900)</u>	<u>8,284,000</u>	<u>(459,600)</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Administration	1,853,000	(171,900)
Compliance	1,927,000	71,900
Licensing and Wholesaler Services	1,600,000	(77,300)
Total	<u>5,380,000</u>	<u>(177,300)</u>

# **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 2,331 positions for 2001-02.

## **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 \$199.7 million for the Department's State Operations budget, including \$127.4 million, or 64 percent, in General Fund support. This portion of the Department's budget includes additional funding of approximately \$16 million for the operation of the payroll system and other systems-related increases, and \$2.9 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 2001-02 with the recommended \$64.9 million in funding from the Retirement Systems. A current year deficiency of \$3.2 million for the Retirement System to address unanticipated workload increases resulting from recent statutory changes is also recommended. The remaining 3 percent of this budget will be funded with:

- \$4.3 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;
- \$1.3 million in charges to the Retirement Systems for the Department's staff and other costs related to administering an internal auditing program; and
- \$1.8 million from increased investment earnings, which will finance checking and direct deposit costs of State government. A current year deficiency of \$420,000 to meet unanticipated costs is also recommended.

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 \$20.9 million to fund the State's share of these benefits, an increase of \$900,000 over 2000-01.

### **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.
- 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 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 2,860 participating government employers, 604,500 active and vested members and approximately 294,800 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.

# AUDIT AND CONTROL

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	173,982,100	199,686,400	25,704,300	0
Aid To Localities	20,014,000	20,902,000	888,000	0
Capital Projects	0	0	0	0
Total	<u>193,996,100</u>	<u>220,588,400</u>	<u>26,592,300</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administrative and Data Processing Services Program			
General Fund	286	312	26
Environmental Protection and Spill Compensation			
Special Revenue Funds - Other	6	6	0
Executive Direction			
General Fund	36	36	0
Internal Service Funds	13	13	0
Investments and Cash Management			
General Fund	11	11	0
Pension Trust Funds	45	45	0
Legal Services			
General Fund	35	35	0
Management Audit and State Financial Services			
General Fund	516	521	5
Special Revenue Funds - Federal	9	9	0
Internal Service Funds	13	13	0
Municipal Affairs			
General Fund	212	212	0
Payroll and Revenue Services			
General Fund	339	353	14
Office of the Special Deputy Comptroller for New York City			
Special Revenue Funds - Other	31	31	0
State Retirement			
Pension Trust Funds	<u>734</u>	<u>734</u>	<u>0</u>
Total	<u>2,286</u>	<u>2,331</u>	<u>45</u>

# AUDIT AND CONTROL

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	106,625,400	127,433,200	20,807,800
Special Revenue Funds - Other	4,314,800	4,225,600	(89,200)
Internal Service Funds	3,074,300	3,090,500	16,200
Fiduciary Funds	<u>59,967,600</u>	<u>64,937,100</u>	<u>4,969,500</u>
Total	<u>173,982,100</u>	<u>199,686,400</u>	<u>25,704,300</u>

Adjustments:

Recommended Deficiency	
Audit and Control, Department of	
Internal Service Funds	(420,000)
Pension Trust Funds	(3,159,600)
Transfer(s) From	
Special Pay Bill	
General Fund	(6,382,000)
Special Revenue Funds - Other	(295,000)
Internal Service Funds	(86,000)
Pension Trust Funds	<u>(3,190,000)</u>
Appropriated 2000-01	<u>160,449,500</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administrative and Data Processing Services Program			
General Fund	30,819,700	38,348,600	7,528,900
Environmental Protection and Spill Compensation			
Special Revenue Funds - Other	657,100	624,600	(32,500)
Executive Direction			
General Fund	3,090,500	3,283,800	193,300
Internal Service Funds	1,344,300	1,305,500	(38,800)
Investments and Cash Management			
General Fund	1,268,300	1,373,800	105,500
Internal Service Funds	1,730,000	1,785,000	55,000
Fiduciary Funds	5,404,500	5,652,200	247,700
Legal Services			
General Fund	2,655,200	2,789,500	134,300
Management Audit and State Financial Services			
General Fund	28,998,900	29,364,400	365,500
Municipal Affairs			
General Fund	13,535,900	13,330,100	(205,800)
Payroll and Revenue Services			
General Fund	26,256,900	38,943,000	12,686,100
Office of the Special Deputy Comptroller for New York City			
Special Revenue Funds - Other	3,657,700	3,601,000	(56,700)
State Retirement			
Pension Trust Funds	<u>54,563,100</u>	<u>59,284,900</u>	<u>4,721,800</u>
Total	<u>173,982,100</u>	<u>199,686,400</u>	<u>25,704,300</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administrative and Data Processing Services Program	15,871,500	2,229,100	15,819,700	2,229,100
Executive Direction	2,590,200	193,300	2,573,900	193,300
Investments and Cash Management	862,400	105,500	862,400	105,500
Legal Services	2,772,300	134,300	2,759,900	134,300
Management Audit and State Financial Services	26,617,800	(399,500)	26,465,800	(399,500)
Municipal Affairs	12,271,100	(405,800)	12,252,100	(405,800)
Payroll and Revenue Services	15,148,500	1,186,100	14,221,700	1,186,100
Total	<u>76,133,800</u>	<u>3,043,000</u>	<u>74,955,500</u>	<u>3,043,000</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administrative and Data Processing Services Program	11,600	0	40,200	0
Executive Direction	16,300	0	0	0
Investments and Cash Management	0	0	0	0
Legal Services	0	0	12,400	0
Management Audit and State Financial Services	92,300	0	59,700	0
Municipal Affairs	0	0	19,000	0
Payroll and Revenue Services	424,400	0	502,400	0
Total	<u>544,600</u>	<u>0</u>	<u>633,700</u>	<u>0</u>

# AUDIT AND CONTROL

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administrative and Data Processing				
Services Program	22,477,100	5,299,800	663,100	0
Executive Direction	693,600	0	15,600	0
Investments and Cash Management	511,400	0	5,700	0
Legal Services	17,200	0	5,000	0
Management Audit and State Financial				
Services	2,746,600	765,000	21,000	0
Municipal Affairs	1,059,000	200,000	33,500	0
Payroll and Revenue Services	23,794,500	11,500,000	68,600	0
Total	<u>51,299,400</u>	<u>17,764,800</u>	<u>812,500</u>	<u>0</u>
<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administrative and Data Processing				
Services Program	20,600	0	21,734,700	5,299,800
Executive Direction	21,900	0	599,300	0
Investments and Cash Management	6,400	0	498,500	0
Legal Services	2,200	0	5,000	0
Management Audit and State Financial				
Services	240,300	0	2,473,550	765,000
Municipal Affairs	404,800	0	616,500	200,000
Payroll and Revenue Services	89,400	0	23,620,750	11,500,000
Total	<u>785,600</u>	<u>0</u>	<u>49,548,300</u>	<u>17,764,800</u>
<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administrative and Data Processing				
Services Program	58,700	0	0	0
Executive Direction	2,800	0	54,000	0
Investments and Cash Management	800	0	0	0
Legal Services	5,000	0	0	0
Management Audit and State Financial				
Services	11,750	0	0	0
Municipal Affairs	4,200	0	0	0
Payroll and Revenue Services	15,750	0	0	0
Total	<u>99,000</u>	<u>0</u>	<u>54,000</u>	<u>0</u>

# AUDIT AND CONTROL

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Environmental Protection and Spill				
Compensation	624,600	(32,500)	304,400	(27,500)
Executive Direction	1,305,500	(38,800)	913,500	(39,600)
Investments and Cash Management	7,437,200	302,700	3,251,000	156,600
Office of the Special Deputy Comptroller for New York City	3,601,000	(56,700)	2,532,500	(69,200)
State Retirement	<u>59,284,900</u>	<u>4,721,800</u>	<u>30,942,500</u>	<u>1,822,600</u>
Total	<u>72,253,200</u>	<u>4,896,500</u>	<u>37,943,900</u>	<u>1,842,900</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Environmental Protection and Spill		
Compensation	320,200	(5,000)
Executive Direction	392,000	800
Investments and Cash Management	4,186,200	146,100
Office of the Special Deputy Comptroller for New York City	1,068,500	12,500
State Retirement	<u>28,342,400</u>	<u>2,899,200</u>
Total	<u>34,309,300</u>	<u>3,053,600</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	<u>20,014,000</u>	<u>20,902,000</u>	<u>888,000</u>
Total	<u>20,014,000</u>	<u>20,902,000</u>	<u>888,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Management Audit and State Financial Services			
General Fund	<u>20,014,000</u>	<u>20,902,000</u>	<u>888,000</u>
Total	<u>20,014,000</u>	<u>20,902,000</u>	<u>888,000</u>





# ***BANKING DEPARTMENT***

## ***MISSION***

The Banking Department is charged with protecting the public interest and promoting a desirable business climate by regulating and supervising approximately 3,200 State-chartered banking institutions with total assets of approximately \$1.9 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 599 positions for 2001-02.

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

The Banking Department is entirely supported by fees charged to regulated financial institutions and organizations. The Budget recommends \$67.3 million for the Department.

## ***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

The Holocaust Claims Processing Office, established in 1997, assists Holocaust survivors and their heirs in their search for assets that have been withheld by banks and insurance companies.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	66,936,500	67,263,000	326,500	1,700,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>66,936,500</u>	<u>67,263,000</u>	<u>326,500</u>	<u>1,700,000</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
Special Revenue Funds - Other	64	64	0
Analysis and Compliance			
Special Revenue Funds - Other	38	38	0
Regulation			
Special Revenue Funds - Other	<u>517</u>	<u>497</u>	<u>(20)</u>
Total	<u>619</u>	<u>599</u>	<u>(20)</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	64,236,500	64,563,000	326,500
Fiduciary Funds	<u>2,700,000</u>	<u>2,700,000</u>	<u>0</u>
Total	<u>66,936,500</u>	<u>67,263,000</u>	<u>326,500</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	<u>(4,528,000)</u>		
Appropriated 2000-01	<u>62,408,500</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other	5,756,400	5,828,000	71,600
Fiduciary Funds	2,700,000	2,700,000	0
Analysis and Compliance			
Special Revenue Funds - Other	3,329,800	3,502,000	172,200
Regulation			
Special Revenue Funds - Other	<u>55,150,300</u>	<u>55,233,000</u>	<u>82,700</u>
Total	<u>66,936,500</u>	<u>67,263,000</u>	<u>326,500</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	8,528,000	71,600	3,878,000	(17,600)
Analysis and Compliance	3,502,000	172,200	2,431,000	96,400
Regulation	<u>55,233,000</u>	<u>82,700</u>	<u>33,177,000</u>	<u>(1,398,200)</u>
Total	<u>67,263,000</u>	<u>326,500</u>	<u>39,486,000</u>	<u>(1,319,400)</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	4,650,000	89,200	0	0
Analysis and Compliance	1,071,000	75,800	0	0
Regulation	<u>21,077,000</u>	<u>1,480,300</u>	<u>979,000</u>	<u>600</u>
Total	<u>26,798,000</u>	<u>1,645,300</u>	<u>979,000</u>	<u>600</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.

## ORGANIZATION AND STAFFING

Headed by the Director of the Budget, the Division is located in Albany. The Division's workforce is supported through both the General Fund and Special Revenues.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The recommended General Fund appropriation for 2001-02 of \$31.4 million will fund the Budget Division's basic operations, including completing the full implementation of the Integrated Budgeting 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.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available	Appropriations	Change	Reappropriations
	2000-01	Recommended 2001-02		Recommended 2001-02
State Operations	42,781,000	41,031,000	(1,750,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	42,781,000	41,031,000	(1,750,000)	0

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

#### Full-Time Equivalent Positions (FTE)

Program	2000-01	2001-02	FTE Change
	Estimated FTEs 03/31/01	Estimated FTEs 03/31/02	
Budget Division			
General Fund	350	350	0
Special Revenue Funds - Other	10	10	0
Total	360	360	0

# **BUDGET**

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**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Budget Division			
General Fund	33,104,000	31,354,000	(1,750,000)
Special Revenue Funds - Other	8,227,000	8,227,000	0
Internal Service Funds	1,300,000	1,300,000	0
Nonexpendable Trust Funds	150,000	150,000	0
Total	<u>42,781,000</u>	<u>41,031,000</u>	<u>(1,750,000)</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 71 located in a central office in New York City and regional offices in Albany and Rochester.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

A total of \$14.7 million in State tax dollars is recommended to fund death penalty defense costs in 2001-02. 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.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	15,546,500	14,706,000	(840,500)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>15,546,500</u>	<u>14,706,000</u>	<u>(840,500)</u>	<u>0</u>



# CAPITAL DEFENDER

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Capital Defense			
General Fund	75	71	(4)
Total	<u>75</u>	<u>71</u>	<u>(4)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	15,546,500	14,706,000	(840,500)
Total	<u>15,546,500</u>	<u>14,706,000</u>	<u>(840,500)</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(349,000)		
Appropriated 2000-01	<u>15,197,500</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Capital Defense			
General Fund	15,546,500	14,706,000	(840,500)
Total	<u>15,546,500</u>	<u>14,706,000</u>	<u>(840,500)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Capital Defense	4,980,000	(53,700)	4,891,000	(53,700)
Total	<u>4,980,000</u>	<u>(53,700)</u>	<u>4,891,000</u>	<u>(53,700)</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Capital Defense	89,000	0
Total	<u>89,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Capital Defense	9,726,000	(786,800)	176,000	(4,400)
Total	<u>9,726,000</u>	<u>(786,800)</u>	<u>176,000</u>	<u>(4,400)</u>
			<b>Contractual Services</b>	
<b>Program</b>	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Capital Defense	296,000	(8,200)	2,094,000	76,300
Total	<u>296,000</u>	<u>(8,200)</u>	<u>2,094,000</u>	<u>76,300</u>
			<b>Maintenance Undistributed</b>	
<b>Program</b>	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Capital Defense	150,000	(4,700)	7,010,000	(845,800)
Total	<u>150,000</u>	<u>(4,700)</u>	<u>7,010,000</u>	<u>(845,800)</u>



# **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 appellate body responsible for reviewing determinations of the Department and the Director of Classification and Compensation. The Department will have a workforce of 673 positions for 2001-02.

## **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 \$75.8 million for the Department, which includes \$32.3 million in General Fund support and \$43.5 million in payments from other State agencies and public entities. The Department of Civil Service will expand its use of technology to provide improved services to State and local agencies and other customers. Major technology recommendations for 2001-02 are as follows:

- Additional funding is recommended for two priority e-government initiatives, acceptance of routine examination applications and credit card payments for Department exam fees over the internet. The Department will also continue to make more employee benefit services and information available to enrollees over the internet.
- An additional \$820,000 is provided for two new projects that will improve services provided by the Department's automated statewide systems — data warehousing and permanent training/documentation. The data warehousing project will consolidate data from the various Department systems into a single data warehouse. The training project involves the development of a permanent training program for all Department and State agency personnel that regularly use the Department's automated systems.

## **PROGRAM HIGHLIGHTS**

The Department continues to make substantial progress in meeting many of the Governor's Civil Service Reform agenda's objectives, including a 70 percent reduction in the number of long-term provisional employees from 3,501 to 995, the administration of statewide "battery" promotional examinations that were taken by more than 12,000 State employees in 1999 and a reduction in the number of position titles from 5,900 to approximately 3,900.

## **CIVIL SERVICE**

The Department of Civil Service continues to use technology to strengthen services and increase efficiency. During 2000-01, the Department successfully implemented the automated NextStep human resources management system in 13 State agencies. The Department has converted the main health insurance components into the New York Benefits Eligibility and Accounting System (NYBEAS) and will complete incorporation of additional components into NYBEAS, including vision and dental benefits, by the end of 2000-01.

- 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 and has primary responsibility for implementation of the Department's technology projects.
  - The Staffing Services Division provides State agencies with personnel recruitment 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, training and experience and performance assessment tests.
  - The Testing Services Division develops, administers and validates 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. The Employee Benefits Division administers health, dental, life, vision, disability and accident benefit 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, maintaining enrollment information for over 1.1 million enrollees and financial accounting for approximately \$3 billion in annual premiums through the NYBEAS system.
  - The Municipal Service Division assists 104 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  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	72,096,500	75,853,800	3,757,300	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>72,096,500</u>	<u>75,853,800</u>	<u>3,757,300</u>	<u>0</u>

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

**Full-Time Equivalent Positions (FTE)**

<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Administration and Information Management			
General Fund	100	103	3
Internal Service Funds	31	31	0
Local Civil Service			
General Fund	22	22	0
Negotiated Agreements			
General Fund	17	17	0
Personnel Benefit Services			
General Fund	36	36	0
Internal Service Funds	183	192	9
Personnel Management Services			
General Fund	226	219	(7)
Internal Service Funds	53	53	0
<b>Total</b>	<b>668</b>	<b>673</b>	<b>5</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	30,581,100	32,340,800	1,759,700
Special Revenue Funds - Other	1,500,000	1,500,000	0
Internal Service Funds	39,715,400	41,713,000	1,997,600
Fiduciary Funds	300,000	300,000	0
<b>Total</b>	<b>72,096,500</b>	<b>75,853,800</b>	<b>3,757,300</b>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(1,959,000)		
Internal Service Funds	(1,238,000)		
Appropriated 2000-01	<b>68,899,500</b>		

# CIVIL SERVICE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration and Information Management			
General Fund	12,994,700	14,161,600	1,166,900
Internal Service Funds	11,501,400	11,650,000	148,600
Local Civil Service			
General Fund	1,024,500	1,071,400	46,900
Personnel Benefit Services			
General Fund	2,168,600	2,262,400	93,800
Special Revenue Funds - Other	500,000	500,000	0
Internal Service Funds	21,372,000	23,102,000	1,730,000
Fiduciary Funds	300,000	300,000	0
Personnel Management Services			
General Fund	14,393,300	14,845,400	452,100
Special Revenue Funds - Other	1,000,000	1,000,000	0
Internal Service Funds	6,842,000	6,961,000	119,000
Total	<u>72,096,500</u>	<u>75,853,800</u>	<u>3,757,300</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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 and Information Management	6,294,100	433,200	6,291,300	433,200
Local Civil Service	1,035,300	46,900	1,034,600	46,900
Personnel Benefit Services	2,172,200	93,800	2,142,400	93,800
Personnel Management Services	12,710,100	276,100	11,806,900	208,100
Total	<u>22,211,700</u>	<u>850,000</u>	<u>21,275,200</u>	<u>782,000</u>
<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration and Information Management	0	0	2,800	0
Local Civil Service	0	0	700	0
Personnel Benefit Services	28,300	0	1,500	0
Personnel Management Services	887,400	68,000	15,800	0
Total	<u>915,700</u>	<u>68,000</u>	<u>20,800</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	7,867,500	733,700	44,500	0
Local Civil Service	36,100	0	6,400	0
Personnel Benefit Services	90,200	0	38,300	0
Personnel Management Services	2,135,300	176,000	108,200	0
<b>Total</b>	<b>10,129,100</b>	<b>909,700</b>	<b>197,400</b>	<b>0</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	32,100	0	6,060,600	555,700
Local Civil Service	11,000	0	18,700	0
Personnel Benefit Services	9,600	0	27,500	0
Personnel Management Services	116,100	0	1,895,000	176,000
<b>Total</b>	<b>168,800</b>	<b>0</b>	<b>8,001,800</b>	<b>731,700</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	80,000	80,000	1,650,300	98,000
Personnel Benefit Services	14,800	0	0	0
Personnel Management Services	16,000	0	0	0
<b>Total</b>	<b>110,800</b>	<b>80,000</b>	<b>1,650,300</b>	<b>98,000</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	11,650,000	148,600	1,303,000	99,300
Personnel Benefit Services	23,902,000	1,730,000	9,042,000	934,000
Personnel Management Services	7,961,000	119,000	0	0
<b>Total</b>	<b>43,513,000</b>	<b>1,997,600</b>	<b>10,345,000</b>	<b>1,033,300</b>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	1,047,000	49,300	9,300,000	0
Personnel Benefit Services	6,007,000	735,000	8,853,000	61,000
Personnel Management Services	0	0	7,961,000	119,000
<b>Total</b>	<b>7,054,000</b>	<b>784,300</b>	<b>26,114,000</b>	<b>180,000</b>





# CONSUMER PROTECTION BOARD

## MISSION

The Consumer Protection Board (CPB) was created to protect the State's consumers. The CPB advises the Governor on consumer issues including those related to utilities; helps draft legislation that protects consumers; handles consumer complaints and mediates consumer disputes; promotes consumer education and fraud prevention; and maintains New York's "Do Not Call" registry.

## ORGANIZATION AND STAFFING

The Consumer Protection Board consists of three units: Consumer Education and Outreach, Advocacy, and Telemarketing "Do Not Call". The CPB is located in Albany, with satellite offices in Rochester and New York City. For 2001-02 the Consumer Protection Board will have a workforce of 22.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Consumer Protection Board is financed primarily from non-taxpayer sources, including utilities and telemarketers operating within the State. The Executive Budget recommends approximately \$2.7 million for the Consumer Protection Board for 2001-02 including \$479,000 in General Fund support and \$800,000 for maintenance of the State's "Do Not Call" registry.

## PROGRAM HIGHLIGHTS

The Education and Outreach Unit analyzes legislation affecting consumers, investigates and researches consumer-related issues, and conducts education programs. The Consumer Advocacy Unit operates a 1-800 consumer complaint phone line and mediates disputes between consumers and businesses.

The Telemarketing "Do Not Call" Unit maintains New York's list of consumers who have indicated a preference not to receive unsolicited phone calls from telemarketing companies.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,947,300	2,685,000	(262,300)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>2,947,300</u>	<u>2,685,000</u>	<u>(262,300)</u>	<u>0</u>

# CONSUMER PROTECTION

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Consumer Protection			
General Fund	6	7	1
Special Revenue Funds - Other	27	15	(12)
Total	<u>33</u>	<u>22</u>	<u>(11)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	438,300	479,000	40,700
Special Revenue Funds - Other	2,509,000	2,206,000	(303,000)
Total	<u>2,947,300</u>	<u>2,685,000</u>	<u>(262,300)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(27,000)
Special Revenue Funds - Other	(151,000)
Appropriated 2000-01	<u>2,769,300</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Consumer Protection			
General Fund	438,300	479,000	40,700
Special Revenue Funds - Other	2,509,000	2,206,000	(303,000)
Total	<u>2,947,300</u>	<u>2,685,000</u>	<u>(262,300)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Consumer Protection	332,000	36,600	332,000	36,600
Total	<u>332,000</u>	<u>36,600</u>	<u>332,000</u>	<u>36,600</u>

## CONSUMER PROTECTION

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Consumer Protection	147,000	4,100	13,000	0
Total	147,000	4,100	13,000	0
<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Consumer Protection	24,500	0	101,500	4,100
Total	24,500	0	101,500	4,100
<b>Program</b>	<b>Equipment</b>			
	<b>Amount</b>	<b>Change</b>		
Consumer Protection	8,000	0		
Total	8,000	0		

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Consumer Protection	2,206,000	(303,000)	824,000	(840,000)
Total	2,206,000	(303,000)	824,000	(840,000)
<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Consumer Protection	1,372,000	537,000	10,000	0
Total	1,372,000	537,000	10,000	0



# STATE COMMISSION OF CORRECTION

## MISSION

The State Commission of Correction regulates and oversees the operation and management of State and local correctional facilities. The agency's role is to promote a safe, secure and stable correctional system and to provide for the accountability of corrections officials. As a result of legislation enacted in 1996, the Commission's role has expanded to include the oversight of secure youth facilities operated by the Office of Children and Family Services.

## ORGANIZATION AND STAFFING

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 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.

Regional teams of review specialists are responsible for visiting and inspecting local and State correctional facilities. They investigate unusual events at facilities, provide technical assistance to improve facility management and monitor facilities for compliance with standards and regulations. The agency will operate in 2001-02 with a staff of 39.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Commission of Correction is supported by approximately \$2.6 million in State tax dollars in 2001-02.

## PROGRAM HIGHLIGHTS

The Commission monitors 71 State correctional facilities, 63 county jails, 17 New York City correctional facilities and 267 locally operated police department detention facilities throughout the state. The agency also participates in the multi-agency Criminal Justice Systems Analysis Team (CJSAT) — operated in conjunction with the Division of Criminal Justice Services and the Division of Probation and Correctional Alternatives — to assist localities in analyzing operational issues in local correctional facilities.

<b>ALL FUNDS APPROPRIATIONS (dollars)</b>				
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	2,511,000	2,558,100	47,100	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>2,511,000</u>	<u>2,558,100</u>	<u>47,100</u>	<u>0</u>

# CORRECTION

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Improvement of Correctional Facilities			
General Fund	36	36	0
Special Revenue Funds - Federal	3	3	0
Total	<u>39</u>	<u>39</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	2,511,000	2,558,100	47,100
Total	<u>2,511,000</u>	<u>2,558,100</u>	<u>47,100</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(184,000)		
Appropriated 2000-01	<u>2,327,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Improvement of Correctional Facilities			
General Fund	2,511,000	2,558,100	47,100
Total	<u>2,511,000</u>	<u>2,558,100</u>	<u>47,100</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Improvement of Correctional Facilities	2,081,300	5,100	2,061,200	0
Total	<u>2,081,300</u>	<u>5,100</u>	<u>2,061,200</u>	<u>0</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Improvement of Correctional Facilities	20,100	5,100
Total	<u>20,100</u>	<u>5,100</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Improvement of Correctional Facilities	<u>476,800</u>	<u>42,000</u>	<u>16,100</u>	<u>0</u>
Total	<u>476,800</u>	<u>42,000</u>	<u>16,100</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Improvement of Correctional Facilities	<u>171,100</u>	<u>18,000</u>	<u>247,400</u>	<u>24,000</u>
Total	<u>171,100</u>	<u>18,000</u>	<u>247,400</u>	<u>24,000</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Improvement of Correctional Facilities	<u>42,200</u>	<u>0</u>
Total	<u>42,200</u>	<u>0</u>



***CORRECTION***

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# **DEPARTMENT OF CORRECTIONAL SERVICES**

## **MISSION**

The Department of Correctional Services (DOCS) is responsible for the secure confinement of convicted felons and the preparation of these individuals for successful reintegration into the community upon release.

## **ORGANIZATION AND STAFFING**

The Department, headed by a Commissioner, has more than 32,000 employees to operate 71 facilities. 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.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The budget recommendations for the Department of Corrections reflect the declining prison population and agency operating efficiencies. The projected reduced demand for prison space represents a significant change in historical trends. For the past two decades New York has been faced with a growing need for prison capacity. Current population estimates project a decline for the coming fiscal year. This reversal of the historical trend is the result of several factors, including a decline in the statewide number of felony arrests, and the success of initiatives (such as Shock Incarceration, the Willard Drug Treatment Campus and the Merit Time Program) designed to reduce the number of non-violent offenders in prison. It is important to note that this reduction in demand for prison space will occur despite the fact that violent criminals are serving longer prison terms as a result of sentencing reforms enacted since 1995. Over the past six 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, ensure that violent offenders will serve 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.

The projected lower demand for prison space allows the Department of Correctional Services to reduce the number of temporary beds currently in use in the prison system, and reduce the need for housing State-ready prisoners in local jails due to the availability of adequate State prison capacity.

- State tax dollars finance 88 percent of the Department's State Operations Budget.
- State tax dollars support 100 percent of the Department's Aid to Localities Budget. The \$21.5 million appropriation allows the State to reimburse counties for the cost of housing inmates awaiting transfer to State prison.
- Federal funds support 4.1 percent of the Department's State Operations Budget, including funds which offset the cost of housing illegal alien felons.
- Correctional Facilities Capital Improvement Fund appropriations of \$215 million ensure that all housing, medical buildings and support space remain functional, safe and secure.
- The DOCS Internal Service Fund appropriates \$90.2 million related to operation of the Correctional Industries program (Corcraft). This inmate vocational program engages in the production of commodities, as well as prison maintenance and rehabilitation projects, in the process giving individuals an opportunity to learn

## ***CORRECTIONAL SERVICES***

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employment skills to improve their chances of successful reintegration into the community. This appropriation includes support of the general reissue of license plates which is scheduled to commence in January 2001.

### ***PROGRAM HIGHLIGHTS***

The Department operates correctional facilities with a wide range of security measures. Inmates are provided with appropriate programming to afford offenders an opportunity for rehabilitation aimed at reducing recidivism.

Additionally, the Department, in cooperation with the Division of Parole, operates the Willard Drug Treatment Center in Seneca County. Through this program, courts have the option to 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.

The 2001-02 recommendations incorporate a realignment of staff and resources providing mental health services from Program Services to Health Services. The realignment will improve the coordination and planning for mental health services provided to inmates.

### ***ADMINISTRATION***

Administrative staff formulate and oversee agency policy and provide operational support to correctional facilities. The responsibilities of this program include the direction of inmate classification and movement, labor relations, personnel and financial transactions, and the Department's legal affairs.

### ***SUPPORT SERVICES***

The Support Services Program provides all resources necessary for the operation of the 71 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 agency's physical plant. Through this program, the agency also provides inmate food and transportation services, and enters into cooperative agreements with local governments for sewer/water systems. The agency has been increasingly successful in implementing initiatives to improve operational efficiencies.

Food services efficiencies include lower costs associated with the expanded number of inmates served by the Department's "cook chill" food production center, centralized food purchasing, and increased milk production and distribution from facility farms.

### ***SUPERVISION OF INMATES***

The Department employs more than 21,600 correction officers to ensure a secure environment for employees and inmates within the correctional setting and to protect the safety of surrounding communities. The Department 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 agency's rehabilitation efforts focus on basic education and simple vocational skill achievement to ready inmates for employment upon release. The agency's Comprehensive Alcohol and Substance Abuse Treatment program (CASAT) will continue

to provide over 4,900 offenders each year with six months of residential treatment and follow-up care. Resources to coordinate the agency's sex offender treatment programs, aggression management programs and transitional services will enable the Department to better treat and stabilize the prison population.

### ***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 Department 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 Department's approach to health care has kept pace with the national trend toward cost efficient managed care programs. To contain escalating costs of appropriate health care for the inmate population the Department will continue the operation of regional medical units on the grounds of Mohawk, Coxsackie, Wende, Bedford Hills and Fishkill correctional facilities.

The 2001-02 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 will result in a healthier HIV/AIDS population, reducing illness and the need for hospitalization. Notably, the number of inmates dying annually from HIV related disease has plummeted by 87 percent since 1995.

### ***CAPITAL PROJECTS***

The Department of Correctional Services operates an institutional network of 71 correctional facilities, a number of which were converted during prison expansion in the 1980's from very old facilities initially built for other uses. With the completion of Five Points Correctional Facility signaling the end of the most recent capacity expansion effort, the Capital Projects Fund will now focus its resources on critical physical plant maintenance and rehabilitation projects.

#### **DEPARTMENT OF CORRECTIONAL SERVICES MALE FACILITIES**

##### **Maximum Security**

Attica Correctional Facility	(Wyoming County)
Auburn Correctional Facility	(Cayuga County)
Clinton Correctional Facility	(Clinton County)
Coxsackie Correctional Facility	(Greene County)
Downstate Correctional Facility	(Dutchess County)
Eastern Correctional Facility	(Ulster County)
Elmira Correctional Facility	(Chemung County)
Five Points Correctional Facility	(Seneca County)
Green Haven Correctional Facility	(Dutchess County)
Great Meadow Correctional Facility	(Washington County)
Shawangunk Correctional Facility	(Ulster County)
Sing Sing Correctional Facility	(Westchester County)
Southport Correctional Facility	(Chemung County)
Sullivan Correctional Facility	(Sullivan County)
Upstate Correctional Facility	(Franklin County)
Wende Correctional Facility	(Erie County)

## ***CORRECTIONAL SERVICES***

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### **Medium Security**

Adirondack Correctional Facility	(Clinton County)
Altona Correctional Facility	(Clinton County)
Arthurkill Correctional Facility and CASAT**	(Richmond County)
Bare Hill Correctional Facility	(Franklin County)
Butler CASAT	(Wayne County)
Cape Vincent Correctional Facility and CASAT	(Jefferson County)
Cayuga Correctional Facility	(Cayuga County)
Chateaugay CASAT	(Franklin County)
Collins Correctional Facility	(Erie County)
Fishkill Correctional Facility	(Dutchess County)
Franklin Correctional Facility	(Franklin County)
Gouverneur Correctional Facility	(St. Lawrence County)
Gowanda Correctional Facility	(Erie County)
Greene Correctional Facility	(Greene County)
Groveland Correctional Facility	(Livingston County)
Hale Creek CASAT	(Fulton County)
Hudson Correctional Facility	(Columbia County)
Livingston Correctional Facility	(Livingston County)
Marcy Correctional Facility and CASAT Annex	(Oneida County)
Mid-Orange Correctional Facility	(Orange County)
Mid-State Correctional Facility	(Oneida County)
Mohawk Correctional Facility	(Oneida County)
Mt. McGregor Correctional Facility	(Saratoga County)
Ogdensburg Correctional Facility	(St. Lawrence County)
Oneida Correctional Facility	(Oneida County)
Orleans Correctional Facility	(Orleans County)
Otisville Correctional Facility	(Orange County)
Riverview Correctional Facility	(St. Lawrence County)
Ulster Correctional Facility	(Ulster County)
Walkkill Correctional Facility	(Ulster County)
Washington Correctional Facility	(Washington County)
Watertown Correctional Facility	(Jefferson County)
Woodbourne Correctional Facility	(Sullivan County)
Wyoming Correctional Facility	(Wyoming County)

### **Minimum Security**

Butler Correctional Facility	(Wayne County)
Lyon Mountain Correctional Facility	(Clinton County)

### **Minimum Work Release**

Buffalo Correctional Facility	(Erie County)
Edgecombe Correctional Facility	(New York County)
Fishkill Correctional Facility*	(Dutchess County)
Fulton Correctional Facility	(Bronx County)
Hudson Correctional Facility*	(Columbia County)
Lincoln Correctional Facility	(New York County)
Queensboro Correctional Facility	(Queens County)
Rochester Correctional Facility	(Monroe County)

## ***CORRECTIONAL SERVICES***

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### **Camps**

Camp Gabriels	(Franklin County)
Camp Georgetown	(Madison County)
Camp Mt. McGregor*	(Saratoga County)
Camp Pharsalia	(Chenango County)
Camp Fallsburg*	(Sullivan County)

### **Shock Incarceration**

Lakeview Shock Incarceration Facility	(Chautauqua County)
Monterey Shock Incarceration Facility	(Schuyler County)
Moriah Shock Incarceration Facility	(Essex County)
Summit Shock Incarceration Facility	(Schoharie County)

### **Drug Treatment Campus**

Willard Drug Treatment Campus	(Seneca County)
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## **DEPARTMENT OF CORRECTIONAL SERVICES FEMALE FACILITIES**

### **Maximum Security**

Bedford Hills Correctional Facility	(Westchester County)
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### **Medium Security**

Albion Correctional Facility	(Orleans County)
Bayview Correctional Facility	(New York County)
Taconic Correctional Facility and CASAT	(Westchester County)

### **Minimum Security**

Beacon Correctional Facility	(Dutchess County)
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### **Minimum Work Release**

Albion Correctional Facility*	(Orleans County)
Bayview Correctional Facility*	(New York County)

### **Shock Incarceration**

Lakeview Shock Incarceration Facility	(Chautauqua County)
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### **Drug Treatment Campus**

Willard Drug Treatment Campus	(Seneca County)
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\* Indicates programs are operating as part of a larger correctional facility listed under the same name.

\*\* CASAT is an acronym for Comprehensive Alcohol and Substance Abuse Treatment.

# CORRECTIONAL SERVICES

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,018,027,800	2,035,707,700	17,679,900	11,200,000
Aid To Localities	69,934,300	21,537,000	(48,397,300)	0
Capital Projects	220,000,000	235,000,000	15,000,000	813,101,000
Total	<u>2,307,962,100</u>	<u>2,292,244,700</u>	<u>(15,717,400)</u>	<u>824,301,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	271	271	0
Special Revenue Funds - Federal	874	874	0
Correctional Industries			
Internal Service Funds	541	541	0
Facilities Planning and Development			
Capital Projects Funds - Other	35	35	0
Health Services			
General Fund	1,730	1,699	(31)
Enterprise Funds	32	32	0
Program Services			
General Fund	3,553	3,427	(126)
Enterprise Funds	204	204	0
Supervision of Inmates			
General Fund	22,028	21,614	(414)
Support Services			
General Fund	3,618	3,575	(43)
Total	<u>32,886</u>	<u>32,272</u>	<u>(614)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,809,810,100	1,799,322,000	(10,488,100)
Special Revenue Funds - Federal	61,939,000	83,344,000	21,405,000
Enterprise Funds	60,590,700	62,856,700	2,266,000
Internal Service Funds	85,670,000	90,167,000	4,497,000
Fiduciary Funds	18,000	18,000	0
Total	<u>2,018,027,800</u>	<u>2,035,707,700</u>	<u>17,679,900</u>

Adjustments:	
Transfer(s) From	
Special Pay Bill	
General Fund	(135,767,000)
Special Revenue Funds - Federal	(379,000)
Enterprise Funds	(455,700)
Internal Service Funds	<u>(3,114,000)</u>
Appropriated 2000-01	<u>1,878,312,100</u>

# CORRECTIONAL SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	21,870,714	21,689,000	(181,714)
Special Revenue Funds - Federal	61,939,000	83,344,000	21,405,000
Enterprise Funds	1,817,700	1,817,700	0
Correctional Industries			
Internal Service Funds	85,670,000	90,167,000	4,497,000
Health Services			
General Fund	204,799,122	201,825,000	(2,974,122)
Enterprise Funds	16,024,820	16,025,000	180
Program Services			
General Fund	200,423,213	196,204,000	(4,219,213)
Enterprise Funds	42,248,180	44,514,000	2,265,820
Fiduciary Funds	18,000	18,000	0
Supervision of Inmates			
General Fund	1,061,556,600	1,056,923,000	(4,633,600)
Support Services			
General Fund	321,160,451	322,681,000	1,520,549
Enterprise Funds	500,000	500,000	0
Total	<u>2,018,027,800</u>	<u>2,035,707,700</u>	<u>17,679,900</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	15,450,000	(181,714)	15,274,000	(181,714)
Health Services	92,227,000	(854,660)	84,964,000	(2,122,200)
Program Services	158,070,000	(836,575)	148,137,000	(897,635)
Supervision of Inmates	1,040,398,000	(2,019,000)	1,005,878,000	382,900
Support Services	142,895,000	(650,551)	139,901,000	(649,951)
Total	<u>1,449,040,000</u>	<u>(4,542,500)</u>	<u>1,394,154,000</u>	<u>(3,468,600)</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	10,000	0	166,000	0
Health Services	4,023,000	392,540	3,240,000	875,000
Program Services	7,105,000	60,660	2,828,000	400
Supervision of Inmates	1,608,000	(2,393,400)	32,912,000	(8,500)
Support Services	165,000	(200)	2,829,000	(400)
Total	<u>12,911,000</u>	<u>(1,940,400)</u>	<u>41,975,000</u>	<u>866,500</u>



# CORRECTIONAL SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	6,239,000	0	137,000	0
Health Services	109,598,000	(2,119,462)	45,991,000	4,496,038
Program Services	38,134,000	(3,382,638)	12,736,000	(1,155,838)
Supervision of Inmates	16,525,000	(2,614,600)	4,351,000	(2,042,700)
Support Services	179,786,000	2,171,100	97,416,000	1,234,000
<b>Total</b>	<b>350,282,000</b>	<b>(5,945,600)</b>	<b>160,631,000</b>	<b>2,531,500</b>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	562,000	0	4,203,000	0
Health Services	173,000	(400)	63,070,000	(6,450,100)
Program Services	358,000	7,000	24,525,000	(2,233,800)
Supervision of Inmates	2,343,000	(147,000)	8,982,000	(475,400)
Support Services	2,742,000	0	72,659,000	936,400
<b>Total</b>	<b>6,178,000</b>	<b>(140,400)</b>	<b>173,439,000</b>	<b>(8,222,900)</b>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	769,000	0	568,000	0
Health Services	364,000	0	0	(165,000)
Program Services	515,000	0	0	0
Supervision of Inmates	849,000	123,000	0	(72,500)
Support Services	6,969,000	700	0	0
<b>Total</b>	<b>9,466,000</b>	<b>123,700</b>	<b>568,000</b>	<b>(237,500)</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	85,161,700	21,405,000	80,630,700	21,205,000
Correctional Industries	90,167,000	4,497,000	24,828,000	309,000
Health Services	16,025,000	180	2,184,000	(220)
Program Services	44,532,000	2,265,820	4,302,000	520
Support Services	500,000	0	0	0
<b>Total</b>	<b>236,385,700</b>	<b>28,168,000</b>	<b>111,944,700</b>	<b>21,514,300</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	2,771,000	0	1,760,000	200,000
Correctional Industries	65,339,000	4,188,000	0	0
Health Services	13,841,000	400	0	0
Program Services	40,230,000	2,265,300	0	0
Support Services	500,000	0	0	0
<b>Total</b>	<b>122,681,000</b>	<b>6,453,700</b>	<b>1,760,000</b>	<b>200,000</b>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	69,934,300	21,537,000	(48,397,300)
<b>Total</b>	<b>69,934,300</b>	<b>21,537,000</b>	<b>(48,397,300)</b>

## CORRECTIONAL SERVICES

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Support Services			
General Fund	69,784,300	21,537,000	(48,247,300)
Community Projects			
General Fund	150,000	0	(150,000)
Total	<u>69,934,300</u>	<u>21,537,000</u>	<u>(48,397,300)</u>

### CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	0	0	0	3,000,000
Federal Capital Projects Fund	0	20,000,000	20,000,000	55,646,000
Correctional Facilities Capital Improvement Fund	220,000,000	215,000,000	(5,000,000)	509,985,000
UDC Financed and Other New Facility Capacity Expansion				
Correctional Facilities Capital Improvement Fund	0	0	0	244,470,000
Total	<u>220,000,000</u>	<u>235,000,000</u>	<u>15,000,000</u>	<u>813,101,000</u>



# **CRIME VICTIMS BOARD**

## **MISSION**

The Crime Victims Board (CVB) serves as the lead State agency in assisting persons who have been the victims of crime, particularly crimes of a violent nature.

The agency's principal mission is to provide financial assistance to victims for financial losses they suffer as a result of crime. The Board also provides grants to local agencies which assist witnesses and victims, and serves as the State's advocate for crime victims' rights, needs and interests.

## **ORGANIZATION AND STAFFING**

The Board consists of five members, appointed by the Governor to seven-year terms, who work full-time to administer the agency and to make final decisions on victim compensation awards. The Governor designates one member of the Board to be the Chair. The agency has primary offices in Albany and New York City and has a satellite office in Buffalo. Each office processes victim claims and provides grant program aid and advocacy services on a regional basis in support of the Board's mission. In addition to five Board members, the agency will have 89 staff positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

During 2001-02, \$5.5 million will be spent to operate the agency. Approximately \$55.1 million in Federal aid and revenue from fines levied against offenders will support compensation payments to victims and local grants to programs assisting victims with treatment and other services.

The recommendations continue the agency's cooperation with the Division of Criminal Justice Services' (DCJS) technology group giving CVB enhanced access to the expertise needed to speed automation of victims' claims processing services — essential if the agency is to meet increasing client demands in a timely manner. This proposed association with DCJS is expected to bring continuing workload efficiencies in subsequent fiscal years. Additionally, the budget recommends the consolidation of routine administrative functions with DCJS, similar to the previous successful initiative with the Division of Probation and Correctional Alternatives and the State Commission of Correction. As a result, three employees will be transferred to the host agency.

## **PROGRAM HIGHLIGHTS**

The Crime Victims Board operates with three programs. The Payment to Victims Program compensates individual crime victims for crime-related losses. The Victim and Witness Assistance Program administers grants to local agencies. The Administration Program provides executive direction and administrative support to the agency, as well as advocacy services for crime victims.

## **PAYMENTS TO VICTIMS**

The agency 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 with losses for which no other source of compensation is available. Categories in which payments are made include medical expenses, lost wages due to work missed because of an injury, stolen or damaged

## CRIME VICTIMS

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.

Over the past several years, the agency has made a significant effort to increase public awareness about the services available to assist victims of crime. As a result, the number of people seeking help has risen over the years. This year, the agency has studied ways to speed assistance to victims. As an example, a new claims processing unit is being established specifically to fast-track the review of non-injury claims for reimbursement of out-of-pocket property losses. This approach to handling relatively easy to resolve requests will free the most highly trained claim specialists to focus on more complicated claims from victims sustaining personal injuries as a result of violent crime.

### VICTIM AND WITNESS ASSISTANCE

The Crime Victims Board currently administers approximately 200 contracts with other State agencies, local governments, and not-for-profit agencies to provide direct services to crime victims and witnesses. In a cooperative program with the New York State Police, CVB funds are used for victim advocates who link crime victims, law enforcement officials and assistance programs for an overall enhancement to criminal justice. Similarly, CVB cooperates with the Department of Correctional Services to fund advocate positions and the automated victim notification system to keep victims informed about the legal status of the offenders responsible for the crimes committed against them. Services provided by local not-for-profit agencies include crisis intervention, counseling and assistance in filing victim compensation.

### ADVOCACY

The agency is 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 agency provides legal and technical assistance to other State agencies and to local organizations involved with crime victims. In addition, the Crime Victims Board sponsors an annual statewide conference on crime victim issues.

The State's "Son of Sam Law" prevents convicted persons from profiting from their crimes, including the sale of publishing or film rights to their stories. Any such profits can, by law, be payable to the persons who were victims of the crimes. The agency is charged with notifying victims of a convicted person that a "Son of Sam" situation exists, and may also act on the victims' behalf to prevent the profits from being spent or otherwise put beyond the reach of the victims while a recovery suit is pending.

#### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	5,790,300	5,523,900	(266,400)	0
Aid To Localities	50,487,000	55,089,000	4,602,000	9,935,000
Capital Projects	0	0	0	0
Total	<u>56,277,300</u>	<u>60,612,900</u>	<u>4,335,600</u>	<u>9,935,000</u>

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

**Full-Time Equivalent Positions (FTE)**

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	73	68	(5)
Special Revenue Funds - Federal	22	22	0
Special Revenue Funds - Other	4	4	0
Total	<u>99</u>	<u>94</u>	<u>(5)</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	3,546,200	3,286,100	(260,100)
Special Revenue Funds - Federal	1,475,300	1,471,000	(4,300)
Special Revenue Funds - Other	768,800	766,800	(2,000)
Total	<u>5,790,300</u>	<u>5,523,900</u>	<u>(266,400)</u>

Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(271,000)		
Special Revenue Funds - Federal	(65,000)		
Special Revenue Funds - Other	(12,000)		
Appropriated 2000-01	<u>5,442,300</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,546,200	3,286,100	(260,100)
Special Revenue Funds - Federal	1,475,300	1,471,000	(4,300)
Special Revenue Funds - Other	768,800	766,800	(2,000)
Total	<u>5,790,300</u>	<u>5,523,900</u>	<u>(266,400)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	3,015,400	(276,800)	3,015,400	(232,800)
Total	<u>3,015,400</u>	<u>(276,800)</u>	<u>3,015,400</u>	<u>(232,800)</u>

**Holiday/Overtime Pay  
(Annual Salaried)**

<u>Program</u>	<u>Amount</u>	<u>Change</u>
Administration	0	(44,000)
Total	<u>0</u>	<u>(44,000)</u>

# CRIME VICTIMS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	270,700	16,700	30,000	0
Total	<u>270,700</u>	<u>16,700</u>	<u>30,000</u>	<u>0</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	32,600	0	203,100	16,700
Total	<u>32,600</u>	<u>0</u>	<u>203,100</u>	<u>16,700</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration	5,000	0
Total	<u>5,000</u>	<u>0</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	2,237,800	(6,300)	1,035,300	61,700
Total	<u>2,237,800</u>	<u>(6,300)</u>	<u>1,035,300</u>	<u>61,700</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	1,201,100	(68,000)	1,400	0
Total	<u>1,201,100</u>	<u>(68,000)</u>	<u>1,400</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	570,000	0	(570,000)
Special Revenue Funds - Federal	28,977,700	30,149,700	1,172,000
Special Revenue Funds - Other	20,899,300	24,899,300	4,000,000
Fiduciary Funds	40,000	40,000	0
Total	<u>50,487,000</u>	<u>55,089,000</u>	<u>4,602,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Payment to Victims			
General Fund	435,000	0	(435,000)
Special Revenue Funds - Federal	3,977,700	5,149,700	1,172,000
Special Revenue Funds - Other	13,848,000	17,848,000	4,000,000
Victim and Witness Assistance			
Special Revenue Funds - Federal	25,000,000	25,000,000	0
Special Revenue Funds - Other	7,051,300	7,051,300	0
Fiduciary Funds	40,000	40,000	0
Legislative Initiatives			
General Fund	135,000	0	(135,000)
Total	<u>50,487,000</u>	<u>55,089,000</u>	<u>4,602,000</u>





# ***DIVISION OF CRIMINAL JUSTICE SERVICES***

## ***MISSION***

The Division of Criminal Justice Services (DCJS) maintains criminal history and statistical data for Federal, State and local law enforcement agencies, identifies criminals through fingerprints, provides training and management services to local police departments, conducts criminal justice research and analysis, and administers and distributes State and Federal funding to various entities within the criminal justice system.

## ***ORGANIZATION AND STAFFING***

The Division, located in Albany, is headed by a Commissioner who is appointed by the Governor. The Commissioner also serves as the Governor's Director of Criminal Justice, overseeing policy development and operations for all State criminal justice agencies and programs.

A workforce of 780 positions is recommended for 2001-02. Approximately 80 percent of these positions will be supported by State tax dollars, with the remaining financed by Federal grants, conference fees and seized assets.

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

To assist the Division in processing fingerprints, funding is continued for an upgraded Statewide Automated Fingerprint System. Digital technology expedites access to information for local police departments, and assures that State data is in compliance with Federal Bureau of Investigation standards, thereby linking New York to national databases and those of other states across the country. Funds have been provided to implement recently enacted legislation requiring criminal history background checks for all persons providing child care services within a State regulated setting and all prospective school district employees.

This recommendation also continues funding to support New York's DNA Databank. Since its recent expansion to include already convicted offenders serving time in State prison, or on parole or probation, the Databank immediately began to help solve more crimes and exonerate innocent people. As the data is analyzed and made even more accessible, the potential for science to solve crimes is tremendous, providing law enforcement, prosecutors and the judicial system with the necessary tools to make our criminal justice system more effective by identifying, prosecuting and convicting our most dangerous criminal offenders.

Additional resources are also included to support the requirements of other new laws, including funds for a safety education program for livery car drivers, staff to track progress in anti-hate crime prosecutions, and local aid for District Attorneys to support the costs of gun interdiction prosecution.

The budget also recommends DCJS as a host agency for the consolidation of routine administrative functions of the Crime Victims Board and the Office for the Prevention of Domestic Violence, similar to the previous successful initiative with the Division of Probation and Correctional Alternatives and the State Commission of Correction. Most significantly, this arrangement will provide the smaller agencies with enhanced access to digital technology and expertise to better meet increasing demands for service.

## **CRIMINAL JUSTICE SERVICES**

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### **PROGRAM HIGHLIGHTS**

The Division serves as a cost-effective platform for a variety of programs and initiatives, including the Federal "Brady Bill" and Violence Against Women Act, and Juvenile Justice and Delinquency Prevention funding.

### **IDENTIFICATION SERVICES**

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 approximately 99 percent of New York City criminal fingerprints in under two 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. The Division also processes noncriminal fingerprint and name searches for certain employment, license and permit applications.

### **CRIMINAL JUSTICE SUPPORT**

The Division provides technical support, training and funding to localities to support criminal justice functions such as law enforcement, prosecution, defense, and crime laboratories. The agency also provides financial aid to District Attorneys prosecuting death penalty cases, maintains a DNA Identification Index, and conducts extensive criminal justice statistical research and policy analysis, including the production of New York's Uniform Crime Reports.

In addition, the agency acts as the State Planning Agency for the receipt and processing of Federal Juvenile Justice and Delinquency Prevention funding. These funds support programs addressing youth who are at risk of criminal and/or delinquent behavior. The Division also administers other Federal programs including Anti-Drug Abuse funds which support a statewide anti-drug strategy of prosecution and preventive enforcement efforts, Violence Against Women funds which focus on prosecution, law enforcement and victim services related to domestic violence, and Law Enforcement funds which provide assistance to local police departments.

#### **ALL FUNDS APPROPRIATIONS (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	94,495,300	92,114,700	(2,380,600)	101,411,900
Aid To Localities	137,290,215	108,920,500	(28,369,715)	156,088,450
Capital Projects	0	0	0	0
Total	<u>231,785,515</u>	<u>201,035,200</u>	<u>(30,750,315)</u>	<u>257,500,350</u>

# CRIMINAL JUSTICE SERVICES

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	78	80	2
Funding and Program Assistance			
Special Revenue Funds - Federal	138	138	0
Special Revenue Funds - Other	2	2	0
Highway Safety			
Special Revenue Funds - Federal	8	8	0
Justice Systems			
General Fund	41	43	2
Operation and Systems			
General Fund	436	446	10
Public Safety			
General Fund	60	60	0
Expendable Trust Funds	3	3	0
Total	<u>766</u>	<u>780</u>	<u>14</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	43,235,600	44,877,300	1,641,700
Special Revenue Funds - Federal	49,809,700	45,787,400	(4,022,300)
Special Revenue Funds - Other	300,000	300,000	0
Fiduciary Funds	<u>1,150,000</u>	<u>1,150,000</u>	<u>0</u>
Total	<u>94,495,300</u>	<u>92,114,700</u>	<u>(2,380,600)</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(2,215,000)		
Special Revenue Funds - Federal	<u>(652,000)</u>		
Appropriated 2000-01	<u>91,628,300</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	13,959,000	14,790,700	831,700
Funding and Program Assistance			
Special Revenue Funds - Federal	49,809,700	40,687,400	(9,122,300)
Special Revenue Funds - Other	300,000	300,000	0
Fiduciary Funds	200,000	200,000	0
Justice Systems			
General Fund	2,177,650	2,450,100	272,450
Operation and Systems			
General Fund	23,846,050	24,379,900	533,850
Special Revenue Funds - Federal	0	5,100,000	5,100,000
Public Safety			
General Fund	3,252,900	3,256,600	3,700
Expendable Trust Funds	<u>950,000</u>	<u>950,000</u>	<u>0</u>
Total	<u>94,495,300</u>	<u>92,114,700</u>	<u>(2,380,600)</u>

# CRIMINAL JUSTICE SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	4,666,200	472,900	4,597,000	466,700
Justice Systems	2,252,300	152,450	2,243,750	152,350
Operation and Systems	17,101,900	(23,450)	16,822,200	357,850
Public Safety	2,872,300	900	2,817,600	300
<b>Total</b>	<b>26,892,700</b>	<b>602,800</b>	<b>26,480,550</b>	<b>977,200</b>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	5,300	500	63,900	5,700
Justice Systems	0	0	8,550	100
Operation and Systems	0	0	279,700	(381,300)
Public Safety	0	0	54,700	600
<b>Total</b>	<b>5,300</b>	<b>500</b>	<b>406,850</b>	<b>(374,900)</b>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	10,124,500	358,800	594,300	367,400
Justice Systems	197,800	120,000	30,000	4,000
Operation and Systems	7,278,000	557,300	115,000	0
Public Safety	384,300	2,800	102,400	0
<b>Total</b>	<b>17,984,600</b>	<b>1,038,900</b>	<b>841,700</b>	<b>371,400</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	271,000	65,000	6,128,900	(88,600)
Justice Systems	23,000	0	135,500	116,000
Operation and Systems	25,000	0	6,554,700	24,000
Public Safety	215,000	0	2,800	2,800
<b>Total</b>	<b>534,000</b>	<b>65,000</b>	<b>12,821,900</b>	<b>54,200</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,159,300	0	1,971,000	15,000
Justice Systems	9,300	0	0	0
Operation and Systems	583,300	533,300	0	0
Public Safety	64,100	0	0	0
<b>Total</b>	<b>1,816,000</b>	<b>533,300</b>	<b>1,971,000</b>	<b>15,000</b>

# CRIMINAL JUSTICE SERVICES

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Funding and Program Assistance	41,187,400	(9,122,300)	500,000	0
Operation and Systems	5,100,000	5,100,000	0	0
Public Safety	950,000	0	0	0
Total	<u>47,237,400</u>	<u>(4,022,300)</u>	<u>500,000</u>	<u>0</u>

<b>Program</b>	<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>
Funding and Program Assistance	40,687,400	(9,122,300)
Operation and Systems	5,100,000	5,100,000
Public Safety	950,000	0
Total	<u>46,737,400</u>	<u>(4,022,300)</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	85,158,615	56,387,500	(28,771,115)
Special Revenue Funds - Federal	47,031,600	47,433,000	401,400
Special Revenue Funds - Other	5,100,000	5,100,000	0
Total	<u>137,290,215</u>	<u>108,920,500</u>	<u>(28,369,715)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Funding and Program Assistance			
General Fund	73,339,050	56,387,500	(16,951,550)
Special Revenue Funds - Federal	47,031,600	47,433,000	401,400
Special Revenue Funds - Other	5,100,000	5,100,000	0
Community Projects			
General Fund	11,819,565	0	(11,819,565)
Total	<u>137,290,215</u>	<u>108,920,500</u>	<u>(28,369,715)</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 \$3.6 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 26 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 July 1999, the agency implemented a system for the electronic filing of campaign financial disclosure statements, which are now readily accessible at the Board's internet web site. The web site has received approximately 1.1 million inquiries since January 2000.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2000-01	Appropriations Recommended 2001-02	Change	Reappropriations Recommended 2001-02
State Operations	3,338,100	3,625,000	286,900	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>3,338,100</u>	<u>3,625,000</u>	<u>286,900</u>	<u>0</u>



# ELECTIONS

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

**Full-Time Equivalent Positions (FTE)**

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Regulation of Elections			
General Fund	46	46	0
Total	<u>46</u>	<u>46</u>	<u>0</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	3,318,100	3,605,000	286,900
Special Revenue Funds - Other	<u>20,000</u>	<u>20,000</u>	<u>0</u>
Total	<u>3,338,100</u>	<u>3,625,000</u>	<u>286,900</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	<u>(206,000)</u>
Appropriated 2000-01	<u>3,132,100</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Regulation of Elections			
General Fund	3,318,100	3,605,000	286,900
Special Revenue Funds - Other	<u>20,000</u>	<u>20,000</u>	<u>0</u>
Total	<u>3,338,100</u>	<u>3,625,000</u>	<u>286,900</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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>
Regulation of Elections	2,466,000	(37,100)	2,466,000	(37,100)
Total	<u>2,466,000</u>	<u>(37,100)</u>	<u>2,466,000</u>	<u>(37,100)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Regulation of Elections	1,139,000	324,000	1,139,000	324,000
Total	<u>1,139,000</u>	<u>324,000</u>	<u>1,139,000</u>	<u>324,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Regulation of Elections	<u>20,000</u>	<u>0</u>	<u>20,000</u>	<u>0</u>
Total	<u>20,000</u>	<u>0</u>	<u>20,000</u>	<u>0</u>



# **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 93 positions for 2001-02, financed by the General Fund and responsible for negotiating and implementing collective bargaining agreements.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

A total of \$6.9 million is recommended for the Office of Employee Relations, including \$4.1 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 includes:

- \$2,337,000 in charges to the Collective Bargaining Agreements to support statewide employee training and developmental programs and the cost of administering these agreements; and
- Revenues of \$463,000 received from non-General Fund agencies to reimburse the Office for providing training programs and collective bargaining services. 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, policy development and 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 also promotes labor-management cooperation by offering a comprehensive training program through the Employee Relations Institute and by increasing the use of technology for better communication of common issues and concerns. A major focus during 2001-02 will be the further development of the agency's government-to-government e-commerce initiative, which provides a "toolkit" for employee relations practitioners that is used for training and to share information, and a one stop resource center for all of the State's Executive Branch employees for up-to-date information about employment opportunities.

# EMPLOYEE RELATIONS

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	6,863,900	6,900,000	36,100	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>6,863,900</u>	<u>6,900,000</u>	<u>36,100</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Contract Negotiation and Administration			
General Fund	40	40	0
Internal Service Funds	49	47	(2)
Management Confidential Affairs			
General Fund	6	6	0
Total	<u>95</u>	<u>93</u>	<u>(2)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	4,063,500	4,100,000	36,500
Special Revenue Funds - Other	450,000	463,000	13,000
Internal Service Funds	<u>2,350,400</u>	<u>2,337,000</u>	<u>(13,400)</u>
Total	<u>6,863,900</u>	<u>6,900,000</u>	<u>36,100</u>

Adjustments:	
Transfer(s) From	
Special Pay Bill	
General Fund	(257,000)
Internal Service Funds	<u>(179,000)</u>
Appropriated 2000-01	<u>6,427,900</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Contract Negotiation and Administration			
General Fund	3,159,600	3,150,000	(9,600)
Special Revenue Funds - Other	450,000	463,000	13,000
Internal Service Funds	<u>2,350,400</u>	<u>2,337,000</u>	<u>(13,400)</u>
Management Confidential Affairs			
General Fund	<u>903,900</u>	<u>950,000</u>	<u>46,100</u>
Total	<u>6,863,900</u>	<u>6,900,000</u>	<u>36,100</u>

## EMPLOYEE RELATIONS

### STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Contract Negotiation and Administration	2,891,000	(16,700)	2,876,000	(17,400)
Management Confidential Affairs	327,000	28,800	326,000	28,300
Total	<u>3,218,000</u>	<u>12,100</u>	<u>3,202,000</u>	<u>10,900</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Contract Negotiation and Administration	12,000	300	3,000	400
Management Confidential Affairs	0	0	1,000	500
Total	<u>12,000</u>	<u>300</u>	<u>4,000</u>	<u>900</u>

### STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Contract Negotiation and Administration	259,000	7,100	35,000	1,100
Management Confidential Affairs	623,000	17,300	19,000	700
Total	<u>882,000</u>	<u>24,400</u>	<u>54,000</u>	<u>1,800</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Contract Negotiation and Administration	31,000	600	193,000	5,400
Management Confidential Affairs	14,000	500	29,000	1,100
Total	<u>45,000</u>	<u>1,100</u>	<u>222,000</u>	<u>6,500</u>

<u>Program</u>	<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>
Management Confidential Affairs	561,000	15,000
Total	<u>561,000</u>	<u>15,000</u>

### STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Contract Negotiation and Administration	2,800,000	(400)	2,019,000	(12,700)
Total	<u>2,800,000</u>	<u>(400)</u>	<u>2,019,000</u>	<u>(12,700)</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Contract Negotiation and Administration	318,000	(700)	463,000	13,000
Total	<u>318,000</u>	<u>(700)</u>	<u>463,000</u>	<u>13,000</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 2001-02 Executive Budget recommends a General Fund appropriation of \$18.2 million. This recommendation includes funding for e-government initiatives and 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	17,028,400	18,255,000	1,226,600	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>17,028,400</u>	<u>18,255,000</u>	<u>1,226,600</u>	<u>0</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Executive Chamber			
General Fund	177	177	0
Total	<u>177</u>	<u>177</u>	<u>0</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Executive Chamber			
General Fund	16,928,400	18,155,000	1,226,600
Expendable Trust Funds	100,000	100,000	0
Total	<u>17,028,400</u>	<u>18,255,000</u>	<u>1,226,600</u>



**EXECUTIVE CHAMBER**

**OFFICE OF THE LIEUTENANT GOVERNOR**

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	519,200	523,000	3,800	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>519,200</u>	<u>523,000</u>	<u>3,800</u>	<u>0</u>

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

**Full-Time Equivalent Positions (FTE)**

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	8	8	0
Total	<u>8</u>	<u>8</u>	<u>0</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	519,200	523,000	3,800
Total	<u>519,200</u>	<u>523,000</u>	<u>3,800</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 centralized service provider 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 2,034 positions for 2001-02.

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 2001-02, 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 \$531.5 million for the Office, which includes support of \$145.8 million in State tax dollars from the General Fund. This recommendation also includes \$257.1 million in user fees charged to State agencies and other governmental entities that utilize OGS central and other support services, and \$6.4 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 will enable OGS to maintain its current levels of service. Major recommendations are as follows:

## **GENERAL SERVICES**

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- Increases of \$15 million in General Fund and \$15 million in Internal Service Fund support have been included to meet higher utility-related costs.
- An increase of \$1 million in the General Fund is recommended to fund the completion of a monument on the Empire State Plaza to honor New Yorkers who served in the United States Armed Forces during the Second World War.
- An increase of \$600,000 is recommended in the Internal Service Fund to fund the development of a coordinated claims and loss reporting system and to oversee other risk management initiatives.
- Article VII legislation is being introduced as part of the risk management initiative which will reduce insurance costs associated with capital projects. Initial 2001-02 savings of \$1 million are expected to grow significantly once all the risk management initiatives are fully implemented.

Recommended funding of \$122 million 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 increase in year-to-year funding reflects the funding required to start the rehabilitation of the A.E. Smith Office Building while allowing the Office to maintain its current spending for the upkeep and preservation of other office buildings throughout the State.

### **PROGRAM HIGHLIGHTS**

#### **EXECUTIVE DIRECTION**

This program provides the day-to-day management of the agency, helps State agencies to acquire vehicle insurance, administers financing for the State equipment purchasing program and coordinates the centralized purchase of electricity from the Power Authority of the State of New York.

#### **REAL PROPERTY MANAGEMENT AND DEVELOPMENT**

This program is responsible for providing for the safe and efficient operation of approximately 46 major and 84 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 17.8 million interior gross square feet with a replacement value estimated at \$4.6 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 \$1.7 billion. In carrying out these responsibilities, this group provides centralized telecommunication and data 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

## GENERAL SERVICES

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.

#### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	367,565,100	409,256,600	41,691,500	3,125,000
Aid To Localities	75,000	0	(75,000)	0
Capital Projects	71,400,000	122,200,000	50,800,000	138,681,000
Total	<u>439,040,100</u>	<u>531,456,600</u>	<u>92,416,500</u>	<u>141,806,000</u>

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

##### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Design and Construction			
Internal Service Funds	450	450	0
Executive Direction			
General Fund	118	113	(5)
Internal Service Funds	16	21	5
Information Technology and Procurement			
General Fund	194	187	(7)
Special Revenue Funds - Other	15	15	0
Internal Service Funds	191	191	0
Real Property Management and Development			
General Fund	935	899	(36)
Special Revenue Funds - Other	66	66	0
Internal Service Funds	80	80	0
Expendable Trust Funds	12	12	0
Total	<u>2,077</u>	<u>2,034</u>	<u>(43)</u>

# GENERAL SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	123,392,100	145,786,600	22,394,500
Special Revenue Funds - Federal	6,050,000	6,400,000	350,000
Special Revenue Funds - Other	17,631,000	14,854,700	(2,776,300)
Enterprise Funds	1,270,000	1,308,700	38,700
Internal Service Funds	218,250,000	239,814,400	21,564,400
Fiduciary Funds	972,000	1,092,200	120,200
Total	367,565,100	409,256,600	41,691,500

Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(4,342,000)		
Special Revenue Funds - Other	(223,000)		
Enterprise Funds	(53,000)		
Internal Service Funds	(4,054,000)		
Appropriated 2000-01	358,893,100		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Design and Construction			
Internal Service Funds	46,252,700	45,911,800	(340,900)
Executive Direction			
General Fund	12,412,300	12,260,300	(152,000)
Enterprise Funds	56,000	57,700	1,700
Internal Service Funds	42,278,600	57,487,800	15,209,200
Fiduciary Funds	722,000	842,200	120,200
Information Technology and Procurement			
General Fund	9,314,700	11,126,900	1,812,200
Special Revenue Funds - Federal	6,050,000	6,400,000	350,000
Special Revenue Funds - Other	3,345,800	4,693,900	1,348,100
Internal Service Funds	118,409,400	124,856,500	6,447,100
Real Property Management and Development			
General Fund	101,565,100	122,399,400	20,834,300
Special Revenue Funds - Other	14,285,200	10,160,800	(4,124,400)
Enterprise Funds	1,214,000	1,251,000	37,000
Internal Service Funds	11,309,300	11,558,300	249,000
Fiduciary Funds	250,000	250,000	0
Community Projects			
General Fund	100,000	0	(100,000)
Total	367,565,100	409,256,600	41,691,500

# GENERAL SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	5,842,100	(217,400)	5,642,100	(282,200)
Information Technology and Procurement	9,901,400	1,776,500	9,862,400	1,775,700
Real Property Management and Development	36,759,500	(168,800)	35,887,400	(340,900)
<b>Total</b>	<b>52,503,000</b>	<b>1,390,300</b>	<b>51,391,900</b>	<b>1,152,600</b>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	150,000	34,000	50,000	30,800
Information Technology and Procurement	0	(23,900)	39,000	24,700
Real Property Management and Development	0	0	872,100	172,100
<b>Total</b>	<b>150,000</b>	<b>10,100</b>	<b>961,100</b>	<b>227,600</b>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	6,418,200	65,400	197,400	5,600
Information Technology and Procurement	1,225,500	35,700	99,700	2,800
Real Property Management and Development	85,639,900	21,003,100	4,000,000	(2,870,100)
Community Projects	0	(100,000)	0	0
<b>Total</b>	<b>93,283,600</b>	<b>21,004,200</b>	<b>4,297,100</b>	<b>(2,861,700)</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	90,200	2,600	1,955,600	57,200
Information Technology and Procurement	58,400	1,700	1,046,200	30,600
Real Property Management and Development	275,000	4,700	78,664,900	22,641,200
<b>Total</b>	<b>423,600</b>	<b>9,000</b>	<b>81,666,700</b>	<b>22,729,000</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	0	0	4,175,000	0
Information Technology and Procurement	21,200	600	0	0
Real Property Management and Development	1,700,000	227,300	1,000,000	1,000,000
Community Projects	0	0	0	(100,000)
<b>Total</b>	<b>1,721,200</b>	<b>227,900</b>	<b>5,175,000</b>	<b>900,000</b>

# GENERAL SERVICES

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Design and Construction	45,911,800	(340,900)	25,387,200	(1,246,800)
Executive Direction	58,387,700	15,331,100	1,127,600	(84,500)
Information Technology and Procurement	135,950,400	8,145,200	10,921,300	927,300
Real Property Management and Development	23,220,100	(3,838,400)	6,410,100	488,200
Total	263,470,000	19,297,000	43,846,200	84,200

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Design and Construction	20,524,600	905,900	0	0
Executive Direction	57,260,100	15,415,600	0	0
Information Technology and Procurement	125,029,100	7,217,900	0	0
Real Property Management and Development	16,560,000	(4,326,600)	250,000	0
Total	219,373,800	19,212,800	250,000	0

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	75,000	0	(75,000)
Total	75,000	0	(75,000)

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Program	Available 2000-01	Recommended 2001-02	Change
Community Projects			
General Fund	75,000	0	(75,000)
Total	75,000	0	(75,000)

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

Comprehensive Construction Program	Available 2000-01	Recommended 2001-02	Change	Reappropriations 2001-02
Design and Construction Supervision				
Capital Projects Fund	6,600,000	7,000,000	400,000	22,444,000
Petroleum Storage Tank				
Capital Projects Fund	0	0	0	500,000
Flood Disaster Restoration Program				
Capital Projects Fund	0	0	0	3,000,000
Maintenance and Improvement of Real Property Facilities				
Capital Projects Fund	64,800,000	115,200,000	50,400,000	107,257,000
Capital Projects Fund - Advances	0	0	0	5,480,000
Total	71,400,000	122,200,000	50,800,000	138,681,000

# **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 82 in 2001-02.

## **FISCAL BACKGROUND AND HIGHLIGHTS**

The 2001-02 Executive Budget recommends a General Fund appropriation of \$5.0 million and \$1.4 million in support coming primarily from public authorities. This will allow the Office to maintain existing operations.

## **PROGRAM HIGHLIGHTS**

Since the promulgation of Executive Order 39, the Office of the State Inspector General has acted on more than 4,500 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 1999 and 2000, the Office's investigations resulted in the arrest of more than 100 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.



# STATE INSPECTOR GENERAL

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	6,496,600	6,417,000	(79,600)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>6,496,600</u>	<u>6,417,000</u>	<u>(79,600)</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Inspector General			
General Fund	66	63	(3)
Special Revenue Funds - Other	19	19	0
Total	<u>85</u>	<u>82</u>	<u>(3)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	5,097,600	5,018,000	(79,600)
Special Revenue Funds - Other	1,399,000	1,399,000	0
Total	<u>6,496,600</u>	<u>6,417,000</u>	<u>(79,600)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(391,000)
Special Revenue Funds - Other	(99,000)
Appropriated 2000-01	<u>6,006,600</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Inspector General			
General Fund	5,097,600	5,018,000	(79,600)
Special Revenue Funds - Other	1,399,000	1,399,000	0
Total	<u>6,496,600</u>	<u>6,417,000</u>	<u>(79,600)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Inspector General	4,387,000	(130,600)	4,387,000	(130,600)
Total	<u>4,387,000</u>	<u>(130,600)</u>	<u>4,387,000</u>	<u>(130,600)</u>

# STATE INSPECTOR GENERAL

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Inspector General	631,000	51,000	631,000	51,000
Total	631,000	51,000	631,000	51,000

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Inspector General	1,399,000	0	1,028,000	(12,000)
Total	1,399,000	0	1,028,000	(12,000)

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Inspector General	371,000	12,000
Total	371,000	12,000



# ***INSURANCE DEPARTMENT***

## ***MISSION***

The Insurance Department, which was established in 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 924 positions for 2001-02.

## ***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 \$117.3 million for the Insurance Department, which will fund the Department's current level of activity and provide \$19.6 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 claim payments and sales practices, responses to consumer complaints, and the timely review of insurance company denials of coverage.

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. 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.

The Department also oversees and coordinates New York's Healthy New York Program which provides qualified small businesses and low income families and individuals with access to a basic package of health insurance benefits.

# INSURANCE

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	108,432,200	117,288,000	8,855,800	1,500,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>108,432,200</u>	<u>117,288,000</u>	<u>8,855,800</u>	<u>1,500,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
Special Revenue Funds - Other	133	133	0
Consumer Services			
Special Revenue Funds - Other	107	107	0
Regulation			
Special Revenue Funds - Other	704	684	(20)
Total	<u>944</u>	<u>924</u>	<u>(20)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	108,432,200	117,288,000	8,855,800
Total	<u>108,432,200</u>	<u>117,288,000</u>	<u>8,855,800</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	(7,034,700)		
State, Department of			
General Fund	(328,000)		
Appropriated 2000-01	<u>101,069,500</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other	11,107,000	13,503,000	2,396,000
Consumer Services			
Special Revenue Funds - Other	7,612,600	7,617,000	4,400
Regulation			
Special Revenue Funds - Other	89,712,600	96,168,000	6,455,400
Total	<u>108,432,200</u>	<u>117,288,000</u>	<u>8,855,800</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	13,503,000	2,396,000	7,588,000	(149,300)
Consumer Services	7,617,000	4,400	5,266,000	(128,700)
Regulation	96,168,000	6,455,400	41,100,000	(191,100)
Total	<u>117,288,000</u>	<u>8,855,800</u>	<u>53,954,000</u>	<u>(469,100)</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	5,915,000	2,545,300	0	0
Consumer Services	2,351,000	133,100	0	0
Regulation	33,485,000	527,700	21,583,000	6,118,800
Total	<u>41,751,000</u>	<u>3,206,100</u>	<u>21,583,000</u>	<u>6,118,800</u>



# **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 nine 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 2001 and 2002, 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 underserved groups such as the elderly and disabled. In 2001, IOLA will award grants to an estimated 80 organizations.

<b>ALL FUNDS APPROPRIATIONS (dollars)</b>				
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	1,190,000	1,443,000	253,000	0
Aid To Localities	14,950,000	14,950,000	0	0
Capital Projects	0	0	0	0
Total	<u>16,140,000</u>	<u>16,393,000</u>	<u>253,000</u>	<u>0</u>



# INTEREST ON LAWYER ACCOUNT

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
New York Interest on Lawyer Account			
Expendable Trust Funds	9	9	0
Total	<u>9</u>	<u>9</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Fiduciary Funds	1,190,000	1,443,000	253,000
Total	<u>1,190,000</u>	<u>1,443,000</u>	<u>253,000</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Expendable Trust Funds	(32,000)		
Appropriated 2000-01	<u>1,158,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
New York Interest on Lawyer Account			
Expendable Trust Funds	1,190,000	1,443,000	253,000
Total	<u>1,190,000</u>	<u>1,443,000</u>	<u>253,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
New York Interest on Lawyer Account	1,443,000	253,000	592,000	83,400
Total	<u>1,443,000</u>	<u>253,000</u>	<u>592,000</u>	<u>83,400</u>
<u>Program</u>	<u>Nonpersonal Service</u>			
	<u>Amount</u>	<u>Change</u>		
New York Interest on Lawyer Account	851,000	169,600		
Total	<u>851,000</u>	<u>169,600</u>		

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Fiduciary Funds	14,950,000	14,950,000	0
Total	<u>14,950,000</u>	<u>14,950,000</u>	<u>0</u>

# INTEREST ON LAWYER ACCOUNT

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
New York Interest on Lawyer Account			
Expendable Trust Funds	<u>14,950,000</u>	<u>14,950,000</u>	<u>0</u>
Total	<u>14,950,000</u>	<u>14,950,000</u>	<u>0</u>



# 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 26 staff positions at the Commission, which has its main office in New York City.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2001-02 a total of \$2.9 million in State tax dollars and \$200,000 in anticipated asset forfeitures will support the expenses of the Commission.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	3,164,000	3,121,000	(43,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>3,164,000</u>	<u>3,121,000</u>	<u>(43,000)</u>	<u>0</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Investigation			
General Fund	34	32	(2)
Total	<u>34</u>	<u>32</u>	<u>(2)</u>

# INVESTIGATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	2,964,000	2,921,000	(43,000)
Special Revenue Funds - Other	200,000	200,000	0
Total	3,164,000	3,121,000	(43,000)

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(165,000)
Appropriated 2000-01	2,999,000

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Investigation			
General Fund	2,964,000	2,921,000	(43,000)
Special Revenue Funds - Other	200,000	200,000	0
Total	3,164,000	3,121,000	(43,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Investigation	2,158,000	(54,100)	2,127,000	(53,700)
Total	2,158,000	(54,100)	2,127,000	(53,700)

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Investigation	31,000	(400)
Total	31,000	(400)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Investigation	763,000	11,100	27,000	(9,300)
Total	763,000	11,100	27,000	(9,300)

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Investigation	58,000	2,200	647,000	17,200
Total	58,000	2,200	647,000	17,200

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Investigation	31,000	1,000
Total	31,000	1,000

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Investigation	<u>200,000</u>	<u>0</u>	<u>200,000</u>	<u>0</u>
Total	<u>200,000</u>	<u>0</u>	<u>200,000</u>	<u>0</u>



# **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 2001-02. Its main office is in New York City, with branches in Albany and Rochester. Its budget of \$2.1 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. No vacancies are anticipated during 2001-02.

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 2001-02, a total of \$150,000 in State tax dollars will support the Committees.



# JUDICIAL COMMISSIONS

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,264,500	2,280,000	15,500	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>2,264,500</u>	<u>2,280,000</u>	<u>15,500</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Judicial Conduct			
General Fund	26	26	0
Total	<u>26</u>	<u>26</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	2,264,500	2,280,000	15,500
Total	<u>2,264,500</u>	<u>2,280,000</u>	<u>15,500</u>

Adjustments:  
Transfer(s) From  
    Special Pay Bill  
    General Fund  
Appropriated 2000-01

(137,000)  
2,127,500

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Judicial Conduct			
General Fund	2,084,500	2,120,000	35,500
Judicial Nomination, Commission on General Fund	30,000	10,000	(20,000)
Judicial Screening Committees General Fund	150,000	150,000	0
Total	<u>2,264,500</u>	<u>2,280,000</u>	<u>15,500</u>

# JUDICIAL COMMISSIONS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	1,702,000	6,900	1,674,000	(3,400)
Total	1,702,000	6,900	1,674,000	(3,400)

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>
Judicial Conduct	28,000	10,300
Total	28,000	10,300

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	418,000	28,600	31,000	1,400
Judicial Nomination, Commission on	10,000	(20,000)	0	0
Judicial Screening Committees	150,000	0	0	0
Total	578,000	8,600	31,000	1,400

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	31,000	1,400	342,000	24,700
Total	31,000	1,400	342,000	24,700

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	14,000	1,100	0	0
Judicial Nomination, Commission on	0	0	10,000	(20,000)
Judicial Screening Committees	0	0	150,000	0
Total	14,000	1,100	160,000	(20,000)



# **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 responsibilities, the Department performs a wide range of functions. Major activities of the Department include prosecuting or defending 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; and investigating and prosecuting cases of Medicaid fraud.

## **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 Administration, Appeals and Opinions, Criminal Prosecutions, State Counsel, Public Advocacy, and Regional Offices.

The Department's main offices are located in Albany and New York City, with regional offices in Binghamton, Poughkeepsie, Syracuse, Buffalo, Plattsburgh, Rochester, Watertown, Mineola, Hauppauge, Harlem, Utica, Brooklyn, Pearl River and White Plains. The Department will have a workforce of 1,831 positions for 2001-02.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends \$175.2 million for the Department. This recommendation includes \$119.6 million in tax dollars from the General Fund, which will finance 68 percent of these expenses for 2001-02. Additional support for 2001-02 will be provided by:

- Federal funding of \$28.6 million to finance Medicaid fraud efforts;
- Revenues of \$20.9 million related to the collection of non-tax debt and litigation settlements; and
- \$6.2 million from assets seized as part of criminal prosecution activities and Medicaid fraud recoveries.

## **PROGRAM HIGHLIGHTS**

Agency divisions perform the following functions:

- The Administration Division provides budget, personnel, operations, and technology services for the agency.
- The Division of Appeals and Opinions handles appellate litigation in both State and Federal courts. 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, white collar and organized crime cases involving multi-county, multi-state and even multi-national criminal activities occurring within New York State.

# LAW

- 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.
- The Division of Public Advocacy defends and protects the public interest in the courts. It enforces laws to prevent trade restraint, protects charitable donors and beneficiaries and enforces laws prohibiting discrimination. It also protects consumers from fraudulent, and/or deceptive business practices, enforces environmental laws and regulates sales of investment securities. It also enforces the state's health care laws and addresses concerns about online criminal or fraudulent activities.
- The Regional Offices program provides mini-satellite offices across the state to ensure that all New York agencies have cost effective representation in all local and Federal courts, and that citizens have full access to the programs and services of the Department.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available	Appropriations	Change	Reappropriations
	2000-01	Recommended 2001-02		Recommended 2001-02
State Operations	165,943,800	175,187,000	9,243,200	43,474,500
Aid To Localities	200,000	0	(200,000)	220,000
Capital Projects	0	0	0	0
Total	<u>166,143,800</u>	<u>175,187,000</u>	<u>9,043,200</u>	<u>43,694,500</u>

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

#### Full-Time Equivalent Positions (FTE)

Program	2000-01	2001-02	FTE Change
	Estimated FTEs 03/31/01	Estimated FTEs 03/31/02	
Administration			
General Fund	189	189	0
Appeals and Opinions			
General Fund	66	66	0
Counsel for the State			
General Fund	317	320	3
Special Revenue Funds - Other	141	141	0
Internal Service Funds	109	109	0
Criminal Prosecutions			
General Fund	185	185	0
Special Revenue Funds - Other	5	5	0
Medicaid Fraud Control			
General Fund	90	90	0
Special Revenue Funds - Federal	269	269	0
Public Advocacy			
General Fund	303	303	0
Regional Offices			
General Fund	154	154	0
Total	<u>1,828</u>	<u>1,831</u>	<u>3</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	112,821,800	119,574,000	6,752,200
Special Revenue Funds - Federal	26,631,000	28,573,000	1,942,000
Special Revenue Funds - Other	19,461,000	19,835,000	374,000
Internal Service Funds	<u>7,030,000</u>	<u>7,205,000</u>	<u>175,000</u>
Total	<u>165,943,800</u>	<u>175,187,000</u>	<u>9,243,200</u>

## Adjustments:

## Transfer(s) From

Special Pay Bill			
General Fund	(6,939,000)		
Special Revenue Funds - Federal	(1,315,000)		
Special Revenue Funds - Other	(932,000)		
Internal Service Funds	<u>(358,000)</u>		
Appropriated 2000-01	<u>156,399,800</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	28,137,723	29,654,000	1,516,277
Appeals and Opinions			
General Fund	4,705,304	4,789,000	83,696
Counsel for the State			
General Fund	28,835,034	32,906,000	4,070,966
Special Revenue Funds - Other	13,461,000	13,667,000	206,000
Internal Service Funds	7,030,000	7,205,000	175,000
Criminal Prosecutions			
General Fund	15,088,227	16,003,000	914,773
Special Revenue Funds - Other	2,500,000	2,570,000	70,000
Medicaid Fraud Control			
General Fund	4,422,514	4,654,000	231,486
Special Revenue Funds - Federal	26,631,000	28,573,000	1,942,000
Special Revenue Funds - Other	3,500,000	3,598,000	98,000
Public Advocacy			
General Fund	20,162,428	20,304,000	141,572
Regional Offices			
General Fund	<u>11,470,570</u>	<u>11,264,000</u>	<u>(206,570)</u>
Total	<u>165,943,800</u>	<u>175,187,000</u>	<u>9,243,200</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	10,201,000	1,180,677	9,972,000	1,180,577
Appeals and Opinions	4,088,000	64,796	3,997,000	64,996
Counsel for the State	21,376,000	1,092,466	20,945,000	1,091,866
Criminal Prosecutions	13,037,000	833,973	12,791,000	833,673
Medicaid Fraud Control	4,654,000	248,486	4,577,000	231,486
Public Advocacy	18,541,000	93,172	18,149,000	92,872
Regional Offices	9,358,000	(258,670)	9,126,000	(258,670)
Total	<u>81,255,000</u>	<u>3,254,900</u>	<u>79,557,000</u>	<u>3,236,800</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	229,000	100	0	0
Appeals and Opinions	91,000	(200)	0	0
Counsel for the State	431,000	600	0	0
Criminal Prosecutions	243,000	(300)	3,000	600
Medicaid Fraud Control	77,000	17,000	0	0
Public Advocacy	382,000	0	10,000	300
Regional Offices	214,000	0	18,000	0
Total	<u>1,667,000</u>	<u>17,200</u>	<u>31,000</u>	<u>900</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS**  
**SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED**  
**APPROPRIATIONS AND CHANGES**  
**2001-02 RECOMMENDED**  
(dollars)

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	19,453,000	335,600	94,000	2,400
Appeals and Opinions	701,000	18,900	354,000	9,800
Counsel for the State	11,530,000	2,978,500	164,000	4,500
Criminal Prosecutions	2,966,000	80,800	71,000	1,800
Medicaid Fraud Control	0	(2,517,000)	0	(34,600)
Public Advocacy	1,763,000	48,400	81,000	2,700
Regional Offices	1,906,000	52,100	19,000	100
Total	<u>38,319,000</u>	<u>997,300</u>	<u>783,000</u>	<u>(13,300)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	68,000	2,100	18,913,000	612,400
Appeals and Opinions	29,000	500	316,000	8,900
Counsel for the State	380,000	10,500	895,000	24,000
Criminal Prosecutions	306,000	8,400	1,998,000	54,400
Medicaid Fraud Control	0	(38,900)	0	(987,900)
Public Advocacy	78,000	2,200	1,465,000	40,000
Regional Offices	219,000	6,300	1,631,000	44,700
Total	<u>1,080,000</u>	<u>(8,900)</u>	<u>25,218,000</u>	<u>(203,500)</u>

<b>Program</b>	<b>Equipment</b>		<b>General State Charges</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	378,000	(281,300)	0	0
Appeals and Opinions	2,000	(300)	0	0
Counsel for the State	156,000	4,500	0	0
Criminal Prosecutions	591,000	16,200	0	0
Medicaid Fraud Control	0	(4,900)	0	(1,450,700)
Public Advocacy	139,000	3,500	0	0
Regional Offices	37,000	1,000	0	0
Total	<u>1,303,000</u>	<u>(261,300)</u>	<u>0</u>	<u>(1,450,700)</u>

<b>Program</b>	<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>
Counsel for the State	9,935,000	2,935,000
Total	<u>9,935,000</u>	<u>2,935,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS**  
**SUMMARY OF APPROPRIATIONS AND CHANGES**  
**2001-02 RECOMMENDED**  
(dollars)

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Counsel for the State	20,872,000	381,000	7,406,000	56,000
Criminal Prosecutions	2,570,000	70,000	0	0
Medicaid Fraud Control	32,171,000	2,040,000	17,082,000	1,384,000
Total	<u>55,613,000</u>	<u>2,491,000</u>	<u>24,488,000</u>	<u>1,440,000</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Counsel for the State	6,261,000	150,000	7,205,000	175,000
Criminal Prosecutions	0	0	2,570,000	70,000
Medicaid Fraud Control	11,491,000	558,000	3,598,000	98,000
Total	<u>17,752,000</u>	<u>708,000</u>	<u>13,373,000</u>	<u>343,000</u>



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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>
Total	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Public Advocacy			
General Fund	150,000	0	(150,000)
Legislative Initiatives			
General Fund	<u>50,000</u>	<u>0</u>	<u>(50,000)</u>
Total	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>

# ***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. An additional responsibility of the Commission is to collect, maintain, and make public the records of appearances before regulatory State agencies.

In 1999, the Lobbying Act underwent its first major revision in over 20 years, resulting in an expanded role for the Commission in the following areas: increased reporting requirements and schedules; expansion of the Commission's jurisdiction over lobbying at the local government level; strengthened enforcement powers; and establishment of new and/or increased fees.

## ***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 20.

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

The Commission receives 85 percent of its support from State tax dollars from the General Fund. The remaining 15 percent of its operations is funded by civil penalty fines assessed on lobbyists for violations of the Lobbying Law.

The Executive Budget recommends \$1,130,000 in General Fund support for the Commission which will allow the Commission to pursue its enhanced level of oversight and enforcement activity.

## ***PROGRAM HIGHLIGHTS***

In 1999 the Commission's oversight responsibilities included 2,145 registered lobbyists, 1,365 clients of lobbyists, and 47 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 15,282 bills before the Legislature and 1,640 rules, regulations and rate applications involving State agencies.

In anticipation of an increase in filings associated with new local lobbying provisions, the Commission will replace its current system with a state-of-the-art imaging system which will permit more efficient filings through a "paperless" system, and will prepare image records for access on the Internet.

# LOBBYING

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	1,199,000	1,330,000	131,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>1,199,000</u>	<u>1,330,000</u>	<u>131,000</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Operations			
General Fund	20	20	0
Total	<u>20</u>	<u>20</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,099,000	1,130,000	31,000
Special Revenue Funds - Other	100,000	200,000	100,000
Total	<u>1,199,000</u>	<u>1,330,000</u>	<u>131,000</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(64,000)		
Appropriated 2000-01	<u>1,135,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Operations			
General Fund	1,099,000	1,130,000	31,000
Special Revenue Funds - Other	100,000	200,000	100,000
Total	<u>1,199,000</u>	<u>1,330,000</u>	<u>131,000</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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>
Operations	987,000	364,000	987,000	364,000
Total	<u>987,000</u>	<u>364,000</u>	<u>987,000</u>	<u>364,000</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Operations	143,000	(333,000)	143,000	67,000
Total	<u>143,000</u>	<u>(333,000)</u>	<u>143,000</u>	<u>67,000</u>

<b>Program</b>	<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>
Operations	0	(400,000)
Total	<u>0</u>	<u>(400,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Operations	200,000	100,000	200,000	100,000
Total	<u>200,000</u>	<u>100,000</u>	<u>200,000</u>	<u>100,000</u>



# ***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 more than 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 nearly 18,000 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 644 in 2001-02.

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

The Executive Budget recommendations for fiscal year 2001-02 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 also continuing to conduct a comprehensive review to determine which armories are vital to the continued realization of its changing mission.

The 2001-02 budget recommendations include:

- Federal funds of approximately \$32.8 million, supporting 56 percent of the Division's 2001-02 State Operations Budget.
- Approximately \$14.4 million in State tax dollars, representing 25 percent of its operations budget in 2001-02.
- Special accounts funded with revenues from the nuclear power industry, armory rentals, and seized assets, representing 19 percent of the operations budget.
- Special revenue and Federal grants supporting DMNA's Aid to Localities budget. Assessments paid by the operators of nuclear power generating facilities provide more than \$1.6 million in radiological emergency preparedness aid to the counties in which the facilities are located.

## ***MILITARY AND NAVAL AFFAIRS***

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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 and providing air support to the National Antarctica mission. The Division's response to civilian emergencies has included the mitigation and abatement of the effects of fires, blizzards, floods, and ice storms.

#### ***SPECIAL SERVICES***

The cornerstone of DMNA's special services is "guardHELP," an innovative program to link guard resources with current community volunteer, anticrime, youth activity, and environmental needs. The Division also conducts federally funded youth programs, the centerpiece of which is 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 flooding and mud slides in the spring of 2000, Tropical Storm Floyd and the Bear Mountain fires in the summer of 1999, 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 levels to deal with possible radiological accidents 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.

# MILITARY AND NAVAL AFFAIRS

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	56,951,450	58,533,100	1,581,650	9,744,500
Aid To Localities	7,405,000	7,150,000	(255,000)	207,285,000
Capital Projects	9,725,000	9,725,000	0	16,230,000
Total	<u>74,081,450</u>	<u>75,408,100</u>	<u>1,326,650</u>	<u>233,259,500</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	62	62	0
Emergency Management			
General Fund	19	19	0
Special Revenue Funds - Federal	63	63	0
Special Revenue Funds - Other	23	22	(1)
Military Readiness			
General Fund	178	169	(9)
Special Revenue Funds - Federal	255	255	0
Special Service			
Special Revenue Funds - Federal	43	43	0
Special Revenue Funds - Other	10	11	1
Total	<u>653</u>	<u>644</u>	<u>(9)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	13,488,050	14,429,400	941,350
Special Revenue Funds - Federal	31,515,000	32,812,300	1,297,300
Special Revenue Funds - Other	11,396,400	10,719,400	(677,000)
Fiduciary Funds	552,000	572,000	20,000
Total	<u>56,951,450</u>	<u>58,533,100</u>	<u>1,581,650</u>

Adjustments:	
Transfer(s) From	
Special Pay Bill	
General Fund	(1,219,000)
Special Revenue Funds - Federal	(1,308,000)
Special Revenue Funds - Other	(202,000)
Appropriated 2000-01	<u>54,222,450</u>



# MILITARY AND NAVAL AFFAIRS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,394,000	3,424,500	30,500
Disaster Assistance			
Special Revenue Funds - Federal	1,456,600	1,680,400	223,800
Emergency Management			
General Fund	1,032,700	1,267,400	234,700
Special Revenue Funds - Federal	7,370,800	7,563,300	192,500
Special Revenue Funds - Other	2,024,300	1,881,400	(142,900)
Military Readiness			
General Fund	9,061,350	8,990,000	(71,350)
Special Revenue Funds - Federal	20,110,500	20,832,800	722,300
Special Service			
General Fund	0	747,500	747,500
Special Revenue Funds - Federal	2,577,100	2,735,800	158,700
Special Revenue Funds - Other	9,372,100	8,838,000	(534,100)
Expendable Trust Funds	552,000	572,000	20,000
Total	<u>56,951,450</u>	<u>58,533,100</u>	<u>1,581,650</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	3,079,100	20,100	3,062,600	18,600
Emergency Management	998,900	122,100	987,900	121,100
Military Readiness	7,045,300	(409,000)	6,580,600	(521,700)
Special Service	520,500	520,500	520,500	520,500
Total	<u>11,643,800</u>	<u>253,700</u>	<u>11,151,600</u>	<u>138,500</u>
<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	0	16,500	1,500
Emergency Management	0	0	11,000	1,000
Military Readiness	187,900	(64,100)	276,800	176,800
Special Service	0	0	0	0
Total	<u>187,900</u>	<u>(64,100)</u>	<u>304,300</u>	<u>179,300</u>

# MILITARY AND NAVAL AFFAIRS

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total Nonpersonal Service		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	345,400	10,400	46,400	1,400
Emergency Management	268,500	112,600	32,300	2,300
Military Readiness	1,944,700	337,650	171,400	4,600
Special Service	227,000	227,000	109,000	109,000
Total	2,785,600	687,650	359,100	117,300

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	20,600	600	268,100	8,100
Emergency Management	26,500	600	107,700	7,700
Military Readiness	53,000	1,400	1,257,200	331,050
Special Service	12,000	12,000	90,000	90,000
Total	112,100	14,600	1,723,000	436,850

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	10,300	300	0	0
Emergency Management	102,000	102,000	0	0
Military Readiness	23,100	600	440,000	0
Special Service	16,000	16,000	0	0
Total	151,400	118,900	440,000	0

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Disaster Assistance	1,680,400	223,800	934,000	106,500
Emergency Management	9,444,700	49,600	3,992,600	54,400
Military Readiness	20,832,800	722,300	10,090,000	(143,300)
Special Service	12,145,800	(355,400)	2,651,500	(274,000)
Total	44,103,700	640,300	17,668,100	(256,400)

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Disaster Assistance	746,400	117,300	0	0
Emergency Management	5,452,100	(4,800)	0	0
Military Readiness	10,742,800	865,600	0	0
Special Service	5,816,300	(81,400)	3,678,000	0
Total	22,757,600	896,700	3,678,000	0

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

Fund Type	Available 2000-01	Recommended 2001-02	Change
General Fund	255,000	0	(255,000)
Special Revenue Funds - Federal	5,500,000	5,500,000	0
Special Revenue Funds - Other	1,650,000	1,650,000	0
Total	7,405,000	7,150,000	(255,000)

# MILITARY AND NAVAL AFFAIRS

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## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Emergency Management			
Special Revenue Funds - Federal	5,500,000	5,500,000	0
Special Revenue Funds - Other	1,650,000	1,650,000	0
Community Projects			
General Fund	255,000	0	(255,000)
Total	<u>7,405,000</u>	<u>7,150,000</u>	<u>(255,000)</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	1,750,000	1,000,000	(750,000)	3,500,000
Federal Capital Projects Fund	275,000	275,000	0	630,000
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	4,550,000	5,300,000	750,000	4,800,000
Federal Capital Projects Fund	3,150,000	3,150,000	0	7,300,000
Total	<u>9,725,000</u>	<u>9,725,000</u>	<u>0</u>	<u>16,230,000</u>

# ***DIVISION OF PAROLE***

## ***MISSION***

The Division of Parole, which consists of the Board of Parole and Division staff, provides offenders who have been released from prison the opportunity to become productive, law-abiding members of the community while limiting public risk.

The Parole Board determines when an inmate should be released from prison through a hearing process. The Division also supervises parolees in the community, investigates alleged violations, revokes parole when warranted and arranges for services to help the parolees remain productive and law-abiding members of the community.

## ***ORGANIZATION AND STAFFING***

The 19 members of the Board of Parole are appointed by the Governor and confirmed by the Senate for six-year terms. One member is designated by the Governor to serve as the Board's Chair and chief executive officer of the Division. 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.

The Division's administrative staff are located in its central office in Albany. Parole operations staff are distributed across the state in 71 correctional facilities and approximately 35 community-based supervision offices.

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

In 2001-02, approximately \$147 million in State tax dollars and \$5.8 million in Federal funds will enable the Division of Parole 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 supervise offenders in the community 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.

Approximately \$40.9 million in State tax dollars and \$2.7 million in Federal funds are recommended to support the Aid to Localities portion of the budget. This funding finances vocational development and relapse prevention programs, and supports initiatives designed to positively impact the revocation process, such as the High Impact Incarceration Program (HIIP) in New York City, more efficient processing of parole violators in New York City and a Monroe County Diversion Program.

## ***PROGRAM HIGHLIGHTS***

In addition to closely monitoring offenders in the community, the Division 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.

## ***PAROLE OPERATIONS***

The Parole Operations program, the core of the State parole system, comprises three major areas: preparing inmates for parole, assisting the Board in making parole release determinations, and supervising parolees upon release. As a result of changes to the

# PAROLE

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 staff also summarizes 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.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	147,178,800	153,632,000	6,453,200	3,447,500
Aid To Localities	55,506,700	48,924,000	(6,582,700)	8,427,400
Capital Projects	0	0	0	0
Total	<u>202,685,500</u>	<u>202,556,000</u>	<u>(129,500)</u>	<u>11,874,900</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	118	118	0
Parole Operations			
General Fund	2,247	2,242	(5)
Special Revenue Funds - Federal	54	32	(22)
Total	<u>2,419</u>	<u>2,392</u>	<u>(27)</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	144,713,900	147,007,000	2,293,100
Special Revenue Funds - Federal	1,639,900	5,800,000	4,160,100
Special Revenue Funds - Other	400,000	400,000	0
Fiduciary Funds	425,000	425,000	0
Total	<u>147,178,800</u>	<u>153,632,000</u>	<u>6,453,200</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund		<u>(9,821,000)</u>	
Appropriated 2000-01	<u>137,357,800</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	8,138,600	8,276,000	137,400
Parole Operations			
General Fund	136,575,300	138,731,000	2,155,700
Special Revenue Funds - Federal	1,639,900	5,800,000	4,160,100
Special Revenue Funds - Other	400,000	400,000	0
Expendable Trust Funds	425,000	425,000	0
Total	<u>147,178,800</u>	<u>153,632,000</u>	<u>6,453,200</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	6,852,000	137,300	6,724,700	135,200
Parole Operations	114,048,000	1,458,100	110,349,500	1,137,500
Total	<u>120,900,000</u>	<u>1,595,400</u>	<u>117,074,200</u>	<u>1,272,700</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	0	127,300	2,100
Parole Operations	38,500	0	3,660,000	320,600
Total	<u>38,500</u>	<u>0</u>	<u>3,787,300</u>	<u>322,700</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	1,424,000	100	36,800	0
Parole Operations	24,683,000	697,600	986,800	0
Total	<u>26,107,000</u>	<u>697,700</u>	<u>1,023,600</u>	<u>0</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	237,900	0	1,135,200	100
Parole Operations	3,630,100	315,000	18,873,700	382,600
Total	<u>3,868,000</u>	<u>315,000</u>	<u>20,008,900</u>	<u>382,700</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration	14,100	0
Parole Operations	1,192,400	0
Total	<u>1,206,500</u>	<u>0</u>

# PAROLE

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Parole Operations	4,725,000	4,300,000	4,725,000	4,300,000
Total	<u>4,725,000</u>	<u>4,300,000</u>	<u>4,725,000</u>	<u>4,300,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	47,514,300	40,931,000	(6,583,300)
Special Revenue Funds - Federal	2,742,400	2,743,000	600
Internal Service Funds	<u>5,250,000</u>	<u>5,250,000</u>	<u>0</u>
Total	<u>55,506,700</u>	<u>48,924,000</u>	<u>(6,582,700)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Parole Operations			
General Fund	47,514,300	40,931,000	(6,583,300)
Special Revenue Funds - Federal	2,742,400	2,743,000	600
Internal Service Funds	<u>5,250,000</u>	<u>5,250,000</u>	<u>0</u>
Total	<u>55,506,700</u>	<u>48,924,000</u>	<u>(6,582,700)</u>

# **OFFICE FOR THE PREVENTION OF DOMESTIC VIOLENCE**

## **MISSION**

The Office for the Prevention of Domestic Violence develops State-wide policies to protect victims of domestic violence and conducts domestic violence prevention training for judges, prosecutors, police, attorneys, probation and parole personnel, social services and health care providers.

## **ORGANIZATION AND STAFFING**

The Office, headed by an Executive Director appointed by the Governor, has its central office in the Capital District and one field office in New York City. The Office will have a workforce of 37 persons in 2001-02.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget continues support for the Office's policy development and training programs. During 2001-02, the Office will:

- Provide information and training for police agencies, judges, prosecutors and hospital personnel to implement the Family Protection and Domestic Violence Intervention Act.
- Conduct a statewide public education and outreach campaign promoting an attitude of "zero tolerance" of domestic violence in communities across New York State.
- Continue the English and Spanish domestic violence statewide hotlines and maintain funding for five community-based education programs for perpetrators of domestic violence.

The All Funds appropriation for the Office will be \$2,722,600 in SFY 2001-02 to carry out domestic violence prevention activities. The budget recommends the consolidation of routine administrative functions with the Division of Criminal Justice Services, similar to the previous successful initiative with the Division of Probation and Correctional Alternatives and the State Commission of Correction. This arrangement will also provide the Office for the Prevention of Domestic Violence with enhanced access to digital technology which will enable the agency to meet increasing demands for service.

## **PROGRAM HIGHLIGHTS**

The Office works to improve the response of various State and local public agencies to families affected by domestic violence. In cooperation with other agencies, the Office develops domestic violence policies and provides training and information about domestic violence. These programs clarify professional and legal responsibility to promote the safety of victims of domestic violence and to hold offenders accountable for their actions. Each training program provides an in-depth examination of the nature and dynamics of domestic violence.

The Office also serves as a clearinghouse for information about domestic violence, receiving more than 4,000 calls a year from social service and health care agencies, police departments, domestic violence shelters, local violence prevention programs and domestic violence victims.

Over the past several years, the Office's accomplishments have included development of model county and State domestic violence prevention policies which guide the response to victims and perpetrators of domestic violence in all county and State agencies.



## **PREVENTION OF DOMESTIC VIOLENCE**

Additionally, as a result of the 1997 Welfare Reform legislation, the Office will continue to work with the Office of Temporary and Disability Assistance and Office of Children and Family Services to improve procedures for notifying public assistance applicants and recipients about the availability of domestic violence protection and services, and to provide training to social services personnel to recognize the presence of domestic violence.

### **ALL FUNDS APPROPRIATIONS (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	1,923,000	1,967,600	44,600	150,000
Aid To Localities	755,000	755,000	0	0
Capital Projects	0	0	0	0
Total	<u>2,678,000</u>	<u>2,722,600</u>	<u>44,600</u>	<u>150,000</u>

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

#### **Full-Time Equivalent Positions (FTE)**

<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Administration			
General Fund	22	21	(1)
Special Revenue Funds - Federal	16	16	0
Total	<u>38</u>	<u>37</u>	<u>(1)</u>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	1,753,000	1,797,600	44,600
Special Revenue Funds - Federal	100,000	100,000	0
Special Revenue Funds - Other	20,000	20,000	0
Fiduciary Funds	50,000	50,000	0
Total	<u>1,923,000</u>	<u>1,967,600</u>	<u>44,600</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(159,000)		
Appropriated 2000-01	<u>1,764,000</u>		

# PREVENTION OF DOMESTIC VIOLENCE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	1,753,000	1,797,600	44,600
Special Revenue Funds - Federal	100,000	100,000	0
Special Revenue Funds - Other	20,000	20,000	0
Expendable Trust Funds	50,000	50,000	0
Total	<u>1,923,000</u>	<u>1,967,600</u>	<u>44,600</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	1,291,000	(15,400)	1,291,000	(15,400)
Total	<u>1,291,000</u>	<u>(15,400)</u>	<u>1,291,000</u>	<u>(15,400)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	506,600	60,000	25,000	0
Total	<u>506,600</u>	<u>60,000</u>	<u>25,000</u>	<u>0</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	80,000	0	371,600	60,000
Total	<u>80,000</u>	<u>0</u>	<u>371,600</u>	<u>60,000</u>

<u>Program</u>	<u>Equipment</u>	
	<u>Amount</u>	<u>Change</u>
Administration	30,000	0
Total	<u>30,000</u>	<u>0</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	170,000	0	170,000	0
Total	<u>170,000</u>	<u>0</u>	<u>170,000</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	755,000	755,000	0
Total	<u>755,000</u>	<u>755,000</u>	<u>0</u>

# ***PREVENTION OF DOMESTIC VIOLENCE***

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**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	<u>755,000</u>	<u>755,000</u>	<u>0</u>
Total	<u>755,000</u>	<u>755,000</u>	<u>0</u>

# ***DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES***

## ***MISSION***

The Division of Probation and Correctional Alternatives oversees county probation departments, provides them with training and technical assistance, and reimburses a portion of their expenses related to supervision and treatment of offenders.

## ***ORGANIZATION AND STAFFING***

Headed by a State Director appointed by the Governor, the Division is located in Albany. The Division will operate in 2001-02 with a staff of 33.

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

In 2001-02, approximately \$2.4 million in State tax dollars will support the Division's State Operations budget. The Division's Aid to Localities program will distribute \$87.4 million in State support for probation services and alternatives to incarceration. Over the past two years, \$5 million in grants to community-based programs have been distributed through the Federal Temporary Assistance to Needy Families (TANF) program. These programs assist families involved in the criminal justice system with training and employment programs needed to break the cycle of criminal activity and financial dependence on the public welfare system.

## ***PROGRAM HIGHLIGHTS***

The recommended reduction in local assistance reflects the elimination of funds added by the legislature in 2000-01. The resulting balance of State and Local support for community criminal justice services reflects the view that localities should assume a greater role in financing local criminal justice programs, just as the State has increased its commitment to expanding prison capacity and investing in criminal justice technology improvements, such as expansion of the DNA database and improved communication. The recommendations continue support for many projects benefitting local probation departments, including:

- Regional Probation Officer training to promote consistency in local supervision. The agency plans to develop an on-line "virtual academy" for continuous training for new officers.
- A standardized risk/needs assessment system is being tested for adults in four county probation departments with State-wide implementation anticipated in the coming year. Similarly, six counties are currently testing juvenile assessment tools which focus on the young offender's strengths as a means to identify the most appropriate and effective rehabilitative programming.
- Probation record automation pilot projects, initiated in several local probation departments in collaboration with the Division of Criminal Justice Services, have strengthened management systems and expedited the collection of essential information on probation services. A state-wide automation schedule will be developed during the coming year.

# PROBATION AND CORRECTIONAL ALTERNATIVES

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,371,500	2,774,400	402,900	0
Aid To Localities	89,284,800	87,350,500	(1,934,300)	20,107,900
Capital Projects	0	0	0	0
Total	<u>91,656,300</u>	<u>90,124,900</u>	<u>(1,531,400)</u>	<u>20,107,900</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Community Corrections			
General Fund	31	31	0
Special Revenue Funds - Federal	2	2	0
Total	<u>33</u>	<u>33</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	2,371,500	2,414,400	42,900
Special Revenue Funds - Federal	0	360,000	360,000
Total	<u>2,371,500</u>	<u>2,774,400</u>	<u>402,900</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(147,000)
Appropriated 2000-01	<u>2,224,500</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Corrections			
General Fund	2,371,500	2,414,400	42,900
Special Revenue Funds - Federal	0	360,000	360,000
Total	<u>2,371,500</u>	<u>2,774,400</u>	<u>402,900</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Community Corrections	1,959,500	27,900	1,959,500	27,900
Total	<u>1,959,500</u>	<u>27,900</u>	<u>1,959,500</u>	<u>27,900</u>

# PROBATION AND CORRECTIONAL ALTERNATIVES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	Total Nonpersonal Service		Supplies and Materials	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Community Corrections	454,900	15,000	26,600	0
Total	<u>454,900</u>	<u>15,000</u>	<u>26,600</u>	<u>0</u>
<u>Program</u>	Travel		Contractual Services	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Community Corrections	60,000	(5,100)	338,300	20,100
Total	<u>60,000</u>	<u>(5,100)</u>	<u>338,300</u>	<u>20,100</u>
<u>Program</u>	Equipment			
	<u>Amount</u>	<u>Change</u>		
Community Corrections	30,000	0		
Total	<u>30,000</u>	<u>0</u>		

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	Total		Maintenance Undistributed	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Community Corrections	360,000	360,000	360,000	360,000
Total	<u>360,000</u>	<u>360,000</u>	<u>360,000</u>	<u>360,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	89,284,800	87,350,500	(1,934,300)
Total	<u>89,284,800</u>	<u>87,350,500</u>	<u>(1,934,300)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Community Corrections			
General Fund	89,284,800	87,350,500	(1,934,300)
Total	<u>89,284,800</u>	<u>87,350,500</u>	<u>(1,934,300)</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 44 positions for 2001-02.

## ***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 \$3.8 million in General Fund support for the Board, and the Board's remaining expenses of \$203,000 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 372 of the 2,500 State and local contracts negotiated in 1999-2000. 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 1999-2000, the Board received 115 petitions raising questions about representation and conducted 14 elections for representation.



# **PUBLIC EMPLOYMENT RELATIONS**

## **EMPLOYMENT PRACTICES**

The Board conducts hearings and renders decisions on improper practice charges, and received petitions on 865 charges of improper employment and negotiating practices in the previous year. In 1999-2000, the agency wrote over 280 decisions and closed, either by decision or settlement, over 1,027 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 (dollars)**

<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	4,058,000	4,014,000	(44,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
<b>Total</b>	<b>4,058,000</b>	<b>4,014,000</b>	<b>(44,000)</b>	<b>0</b>

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

#### **Full-Time Equivalent Positions (FTE)**

<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Administration			
General Fund	42	42	0
Special Revenue Funds - Other	2	2	0
<b>Total</b>	<b>44</b>	<b>44</b>	<b>0</b>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	3,865,500	3,811,000	(54,500)
Special Revenue Funds - Other	192,500	203,000	10,500
<b>Total</b>	<b>4,058,000</b>	<b>4,014,000</b>	<b>(44,000)</b>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(270,000)		
Appropriated 2000-01	<b>3,788,000</b>		

# PUBLIC EMPLOYMENT RELATIONS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,865,500	3,811,000	(54,500)
Special Revenue Funds - Other	192,500	203,000	10,500
Total	<u>4,058,000</u>	<u>4,014,000</u>	<u>(44,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<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	3,309,000	(103,900)	2,992,000	(103,900)
Total	<u>3,309,000</u>	<u>(103,900)</u>	<u>2,992,000</u>	<u>(103,900)</u>

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	314,000	100	3,000	(100)
Total	<u>314,000</u>	<u>100</u>	<u>3,000</u>	<u>(100)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	502,000	49,400	139,000	8,100
Total	<u>502,000</u>	<u>49,400</u>	<u>139,000</u>	<u>8,100</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	103,000	1,500	260,000	39,800
Total	<u>103,000</u>	<u>1,500</u>	<u>260,000</u>	<u>39,800</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	203,000	10,500	55,000	5,000
Total	<u>203,000</u>	<u>10,500</u>	<u>55,000</u>	<u>5,000</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Administration	148,000	5,500
Total	<u>148,000</u>	<u>5,500</u>



# ***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 598 for 2001-02. 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 2001-02 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 2001-02 operating budget includes funding of \$63.9 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 \$400,000 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  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	65,201,300	65,399,000	197,700	0
Aid To Localities	4,400,000	400,000	(4,000,000)	5,419,000
Capital Projects	0	0	0	0
Total	<u>69,601,300</u>	<u>65,799,000</u>	<u>(3,802,300)</u>	<u>5,419,000</u>

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

**Full-Time Equivalent Positions (FTE)**

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
Special Revenue Funds - Other	104	102	(2)
Regulation of Utilities			
Special Revenue Funds - Federal	12	12	0
Special Revenue Funds - Other	503	484	(19)
Total	<u>619</u>	<u>598</u>	<u>(21)</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Federal	1,188,000	1,445,000	257,000
Special Revenue Funds - Other	64,013,300	63,954,000	(59,300)
Total	<u>65,201,300</u>	<u>65,399,000</u>	<u>197,700</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
Special Revenue Funds - Federal	(39,000)
Special Revenue Funds - Other	(4,346,000)
Appropriated 2000-01	<u>60,816,300</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
Special Revenue Funds - Other	10,087,300	9,986,000	(101,300)
Regulation of Utilities			
Special Revenue Funds - Federal	1,188,000	1,445,000	257,000
Special Revenue Funds - Other	53,926,000	53,968,000	42,000
Total	<u>65,201,300</u>	<u>65,399,000</u>	<u>197,700</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	9,986,000	(101,300)	5,457,000	(139,300)
Regulation of Utilities	55,413,000	299,000	32,982,000	(460,500)
Total	<u>65,399,000</u>	<u>197,700</u>	<u>38,439,000</u>	<u>(599,800)</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	4,529,000	38,000	0	0
Regulation of Utilities	22,431,000	1,092,200	0	(332,700)
Total	<u>26,960,000</u>	<u>1,130,200</u>	<u>0</u>	<u>(332,700)</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	4,400,000	400,000	(4,000,000)
Total	<u>4,400,000</u>	<u>400,000</u>	<u>(4,000,000)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Regulation of Utilities			
Special Revenue Funds - Other	4,400,000	400,000	(4,000,000)
Total	<u>4,400,000</u>	<u>400,000</u>	<u>(4,000,000)</u>



# **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 1995, the Office has substantively reviewed and/or eliminated over 1,800 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 43 positions for 2001-02.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Office's operations are supported by State tax dollars from the General Fund. The Executive Budget recommends \$4.1 million in support for the Office to maintain current efforts to streamline the State's regulatory process. Recommended funding also supports the continued development of the Online Permit and Licensing System (OPAL) that will allow businesses to apply for permits and licenses in one consolidated transaction and improve New York's business climate.

## **PROGRAM HIGHLIGHTS**

### **REGULATORY REVIEW**

The Office reviews the need for proposed new and revised regulations and their economic impact. Staff continue efforts begun in 1995 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, BUILDNOW-NY and RE-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 1995, this program has provided assistance to almost 250,000 individuals or firms interested in starting or growing a business in New York. This effort was facilitated by the development in 1995 of a master application form



## REGULATORY REFORM

for complex business ventures, a comprehensive permit reform program in 1997 and development of a web site, www.nys-permits.org, which provides businesses with permit information.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	3,300,300	4,093,000	792,700	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>3,300,300</u>	<u>4,093,000</u>	<u>792,700</u>	<u>0</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	40	43	3
Total	<u>40</u>	<u>43</u>	<u>3</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	3,300,300	4,093,000	792,700
Total	<u>3,300,300</u>	<u>4,093,000</u>	<u>792,700</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(191,000)		
Appropriated 2000-01	<u>3,109,300</u>		

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	3,300,300	4,093,000	792,700
Total	<u>3,300,300</u>	<u>4,093,000</u>	<u>792,700</u>

**REGULATORY REFORM**

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	2,661,000	258,900	2,656,000	258,600
Total	<u>2,661,000</u>	<u>258,900</u>	<u>2,656,000</u>	<u>258,600</u>

<b>Program</b>	<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>
Administration	5,000	300
Total	<u>5,000</u>	<u>300</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,432,000	533,800	51,000	2,000
Total	<u>1,432,000</u>	<u>533,800</u>	<u>51,000</u>	<u>2,000</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	50,000	500	1,150,000	594,450
Total	<u>50,000</u>	<u>500</u>	<u>1,150,000</u>	<u>594,450</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	181,000	(63,150)
Total	<u>181,000</u>	<u>(63,150)</u>



# **DEPARTMENT OF STATE**

## **MISSION**

The Department of State (DOS), established in 1788, is the oldest State agency. Historically serving as the State's general recording officer and custodian of the State's "Great Seal", the Department's mission has grown to include a broad range of activities that 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 884 positions for 2001-02.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Approximately 34 percent of the Department's operations and local aid programs are funded from fees and other income, 52 percent are funded with Federal grants, and State tax dollars from the General Fund support the remaining 14 percent. The Executive Budget recommends funding of \$110.6 million for the Department of State: \$95.4 million in Federal funding and fee revenues, and \$15.2 million in General Fund support.

Major recommendations include:

- Continued support for Department-wide technology improvements to provide enhanced internet access and on-line applications to better serve the State's business customers and ease the filing of Financial Disclosure Statements.
- New funding for fire safety inspections and training programs at public and independent colleges and universities.
- Legislation to update Article 9 of the Uniform Commercial Code to permit the application of new and emerging technologies for certain financial transactions and allow for the use of modern forms of collateral.

## **PROGRAM HIGHLIGHTS**

- The responsibilities of the Department of State are carried out through three programs:
- The Local Government and Community Services Program consists of several functions including the Office of Fire Prevention and Control which works with both paid and volunteer firefighters by providing training, technical support and assistance with arson investigations. The Office is working with the Department of Health and other experts to develop fire safety standards for cigarettes. This program also includes 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 Division of 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

# STATE

Revolving Loan Program; and administer the Department's federal grant programs, including the Appalachian Regional Commission and State Rural Development Council. The federally funded Division of Community Services provides a means for achieving economic self-sufficiency through programs designed to improve job skills and opportunities to its low income participants.

- 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 20 occupations; and prepares the State Register and other publications. This program also 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 appropriations contain funds for the Lake George Park Commission, the State Ethics Commission, the State Athletic Commission, the Committee on Open Government, and the Tug Hill Commission.

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	62,036,400	57,277,500	(4,758,900)	18,405,000
Aid To Localities	80,002,248	52,950,000	(27,052,248)	53,650,000
Capital Projects	348,000	340,000	(8,000)	1,219,000
Total	<u>142,386,648</u>	<u>110,567,500</u>	<u>(31,819,148)</u>	<u>73,274,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	48	48	0
Lake George Park Commission			
Special Revenue Funds - Other	10	11	1
Licensing Services			
General Fund	17	0	(17)
Special Revenue Funds - Other	432	450	18
Local Government and Community Services			
General Fund	59	84	25
Special Revenue Funds - Federal	76	76	0
Special Revenue Funds - Other	158	166	8
Expendable Trust Funds	2	2	0
Capital Projects Funds - Other	10	10	0
State Ethics Commission			
General Fund	22	21	(1)
Tug Hill Commission			
General Fund	16	16	0
Total	<u>850</u>	<u>884</u>	<u>34</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	18,814,800	14,819,700	(3,995,100)
Special Revenue Funds - Federal	7,330,000	7,034,400	(295,600)
Special Revenue Funds - Other	33,891,600	35,323,400	1,431,800
Fiduciary Funds	<u>2,000,000</u>	<u>100,000</u>	<u>(1,900,000)</u>
Total	62,036,400	<u>57,277,500</u>	<u>(4,758,900)</u>

## Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(756,000)		
Special Revenue Funds - Federal	(345,000)		
Special Revenue Funds - Other	(1,888,300)		
Transfer(s) To			
Insurance Department			
Special Revenue Funds - Other	<u>328,000</u>		
Appropriated 2000-01	<u>59,375,100</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	4,926,200	5,055,200	129,000
Lake George Park Commission			
Special Revenue Funds - Other	1,048,800	1,231,800	183,000
Licensing Services			
General Fund	698,400	0	(698,400)
Special Revenue Funds - Other	30,472,600	31,827,500	1,354,900
Local Government and Community Services			
General Fund	10,439,600	6,926,600	(3,513,000)
Special Revenue Funds - Federal	7,330,000	7,034,400	(295,600)
Special Revenue Funds - Other	2,357,600	2,251,500	(106,100)
Fiduciary Funds	2,000,000	100,000	(1,900,000)
State Ethics Commission			
General Fund	1,844,300	1,914,900	70,600
Tug Hill Commission			
General Fund	906,300	923,000	16,700
Special Revenue Funds - Other	<u>12,600</u>	<u>12,600</u>	<u>0</u>
Total	<u>62,036,400</u>	<u>57,277,500</u>	<u>(4,758,900)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,416,300	55,300	3,365,600	59,800
Licensing Services	0	(604,700)	0	(603,800)
Local Government and Community Services	2,847,400	161,500	2,817,000	136,900
State Ethics Commission	1,231,400	(54,500)	1,231,100	(54,500)
Tug Hill Commission	795,900	16,700	788,500	16,200
<b>Total</b>	<b>8,291,000</b>	<b>(425,700)</b>	<b>8,202,200</b>	<b>(445,400)</b>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	43,200	3,900	7,500	(8,400)
Licensing Services	0	0	0	(900)
Local Government and Community Services	30,400	24,600	0	0
State Ethics Commission	0	0	300	0
Tug Hill Commission	7,400	500	0	0
<b>Total</b>	<b>81,000</b>	<b>29,000</b>	<b>7,800</b>	<b>(9,300)</b>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,638,900	73,700	170,000	0
Licensing Services	0	(93,700)	0	(4,400)
Local Government and Community Services	4,079,200	(3,674,500)	44,700	20,000
State Ethics Commission	683,500	125,100	40,100	20,000
Tug Hill Commission	127,100	0	12,700	0
<b>Total</b>	<b>6,528,700</b>	<b>(3,569,400)</b>	<b>267,500</b>	<b>35,600</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	60,000	0	1,305,200	166,700
Licensing Services	0	(2,100)	0	(84,700)
Local Government and Community Services	69,800	5,500	305,600	0
State Ethics Commission	20,100	100	487,500	105,000
Tug Hill Commission	7,900	0	104,400	0
<b>Total</b>	<b>157,800</b>	<b>3,500</b>	<b>2,202,700</b>	<b>187,000</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	103,700	0	0	(93,000)
Licensing Services	0	(2,500)	0	0
Local Government and Community Services	359,100	0	3,300,000	(3,700,000)
State Ethics Commission	135,800	0	0	0
Tug Hill Commission	2,100	0	0	0
<b>Total</b>	<b>600,700</b>	<b>(2,500)</b>	<b>3,300,000</b>	<b>(3,793,000)</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Lake George Park Commission	1,231,800	183,000	650,900	98,300
Licensing Services	31,827,500	1,354,900	17,539,200	1,152,100
Local Government and Community Services	9,385,900	(2,301,700)	4,759,800	(65,500)
Tug Hill Commission	12,600	0	0	0
<b>Total</b>	<b>42,457,800</b>	<b>(763,800)</b>	<b>22,949,900</b>	<b>1,184,900</b>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Lake George Park Commission	580,900	84,700	0	0
Licensing Services	14,288,300	202,800	0	0
Local Government and Community Services	4,376,100	263,800	250,000	(2,500,000)
Tug Hill Commission	12,600	0	0	0
<b>Total</b>	<b>19,257,900</b>	<b>551,300</b>	<b>250,000</b>	<b>(2,500,000)</b>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	29,802,248	0	(29,802,248)
Special Revenue Funds - Federal	43,000,000	50,750,000	7,750,000
Special Revenue Funds - Other	3,300,000	300,000	(3,000,000)
Fiduciary Funds	3,900,000	1,900,000	(2,000,000)
<b>Total</b>	<b>80,002,248</b>	<b>52,950,000</b>	<b>(27,052,248)</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Licensing Services			
Special Revenue Funds - Other	300,000	300,000	0
Local Government and Community Services			
General Fund	1,725,000	0	(1,725,000)
Special Revenue Funds - Federal	43,000,000	50,750,000	7,750,000
Special Revenue Funds - Other	3,000,000	0	(3,000,000)
Fiduciary Funds	3,900,000	1,900,000	(2,000,000)
Community Projects			
General Fund	28,077,248	0	(28,077,248)
<b>Total</b>	<b>80,002,248</b>	<b>52,950,000</b>	<b>(27,052,248)</b>



# STATE

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**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision Capital Projects Fund	0	0	0	340,000
Office of Fire Prevention and Control Capital Projects Fund	0	340,000	340,000	879,000
Clean Water - Clean Air Implementation Clean Water Clean Air Implementation Fund	<u>348,000</u>	<u>0</u>	<u>(348,000)</u>	<u>0</u>
Total	<u><u>348,000</u></u>	<u><u>340,000</u></u>	<u><u>(8,000)</u></u>	<u><u>1,219,000</u></u>

# ***DIVISION OF STATE POLICE***

## ***MISSION***

The Division of State Police promotes highway safety and protects our citizens from crime. 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.

## ***ORGANIZATION AND STAFFING***

The Division, headed by a Superintendent who is appointed by the Governor, is organized into a Division Headquarters located in Albany and 11 Troops. Each Troop encompasses a geographic area of the State, with the exception of Troop "T" which is dedicated to providing police services on the New York State Thruway. Troop "NYC" provides specialized investigative and support services in the five boroughs of New York City. The remaining nine Troops provide patrol coverage and criminal investigation services appropriate to local conditions. Factors which affect services include population, highway mileage and availability of county and local law enforcement agencies.

Approximately 88 percent of the Division's total staffing of 5,243 for 2001-02 are paid for with State tax dollars, with the remaining 12 percent supported by various revenue sources, including Federal funds.

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

Approximately \$295.6 million in State tax dollars support the Division's operations budget. The balance is financed by Federal funds and various State revenue sources, including seized assets, a special monthly surcharge on cellular telephone bills, fees for accident reports and reimbursement from the New York State Thruway Authority for services rendered on the State Thruway. New Capital appropriations totaling \$4.5 million will enable the State Police to maintain Troop facilities and advance various projects related to health and safety.

The 2001-02 recommendations support technology improvements and enhancements including the continuation of the New York State DNA Databank, which has greatly enhanced law enforcement's ability to solve crimes. The recommendations also support new wiretapping technologies allowing law enforcement officials to access criminal information being passed over non-land line communication systems such as cellular phones and pagers.

The Governor's recently enacted comprehensive gun control legislation established a Pistol and Revolver Ballistic Identification Databank and directed the State Police to develop a program for the interdiction of guns illegally entering New York State. To implement the legislation, the recommendations provide \$4 million and 30 new positions to establish the new "Gun DNA" Ballistic Identification Databank, and \$1.0 million and 11 new positions for the Special Weapons Interdiction Field Team (SWIFT) to combat gun traffickers responsible for the flow of illegal guns into New York.

## ***PROGRAM HIGHLIGHTS***

The Division is divided into two principal branches, the Uniform Force and the Bureau of Criminal Investigation. Each of these branches fulfills specific law enforcement assignments and cooperates with local and county law enforcement agencies.

# STATE POLICE

## 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.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	369,439,400	382,978,000	13,538,600	9,116,900
Aid To Localities	0	0	0	0
Capital Projects	2,700,000	4,500,000	1,800,000	7,987,000
Total	<u>372,139,400</u>	<u>387,478,000</u>	<u>15,338,600</u>	<u>17,103,900</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	148	148	0
Criminal Investigation Activities			
General Fund	1,067	1,067	0
Special Revenue Funds - Federal	89	92	3
Indian Gaming			
Special Revenue Funds - Other	40	40	0
Patrol Activities			
General Fund	2,599	2,641	42
Special Revenue Funds - Federal	159	130	(29)
Patrol Activities			
Special Revenue Funds - Other	4	4	0
Policing the Thruway			
Special Revenue Funds - Other	340	340	0
Technical Police Services			
General Fund	695	741	46
Special Revenue Funds - Federal	6	6	0
Vehicle Dimension and Weight Enforcement			
Special Revenue Funds - Other	34	34	0
Total	<u>5,181</u>	<u>5,243</u>	<u>62</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	282,320,800	295,563,000	13,242,200
Special Revenue Funds - Federal	16,274,700	9,825,000	(6,449,700)
Special Revenue Funds - Other	70,836,400	77,582,000	6,745,600
Fiduciary Funds	7,500	8,000	500
Total	<u>369,439,400</u>	<u>382,978,000</u>	<u>13,538,600</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(3,735,000)
Special Revenue Funds - Federal	(30,000)
Special Revenue Funds - Other	(150,000)
Transfer(s) To	
Statewide Wireless Network	
Special Revenue Funds - Other	<u>10,000,000</u>
Appropriated 2000-01	<u>375,524,400</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	9,121,500	9,518,000	396,500
Special Revenue Funds - Other	200,000	200,000	0
Fiduciary Funds	7,500	8,000	500
Criminal Investigation Activities			
General Fund	74,797,900	74,796,000	(1,900)
Special Revenue Funds - Federal	6,492,300	6,983,000	490,700
Special Revenue Funds - Other	6,417,000	6,684,000	267,000
Patrol Activities			
General Fund	153,279,800	156,163,000	2,883,200
Special Revenue Funds - Federal	9,227,900	2,842,000	(6,385,900)
Special Revenue Funds - Other	12,050,900	12,063,000	12,100
Policing the Thruway			
Special Revenue Funds - Other	27,785,800	27,741,000	(44,800)
Technical Police Services			
General Fund	45,121,600	55,086,000	9,964,400
Special Revenue Funds - Federal	554,500	0	(554,500)
Special Revenue Funds - Other	<u>24,382,700</u>	<u>30,894,000</u>	<u>6,511,300</u>
Total	<u>369,439,400</u>	<u>382,978,000</u>	<u>13,538,600</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	8,963,000	410,800	8,963,000	410,800
Criminal Investigation Activities	70,528,000	(2,600)	70,528,000	(2,600)
Patrol Activities	153,455,000	2,982,100	153,455,000	2,982,100
Technical Police Services	32,222,000	1,871,600	32,222,000	1,871,600
Total	<u>265,168,000</u>	<u>5,261,900</u>	<u>265,168,000</u>	<u>5,261,900</u>

# STATE POLICE

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	555,000	(14,300)	87,000	(14,700)
Criminal Investigation Activities	4,268,000	700	83,000	500
Patrol Activities	2,708,000	(98,900)	0	0
Technical Police Services	31,964,000	8,092,800	1,851,000	749,900
<b>Total</b>	<b>39,495,000</b>	<b>7,980,300</b>	<b>2,021,000</b>	<b>735,700</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	77,000	200	384,000	600
Criminal Investigation Activities	68,000	(400)	476,000	300
Patrol Activities	1,283,000	100	608,000	300
Technical Police Services	3,654,000	200	9,768,000	9,200
<b>Total</b>	<b>5,082,000</b>	<b>100</b>	<b>11,236,000</b>	<b>10,400</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	7,000	(400)	0	0
Criminal Investigation Activities	3,268,000	0	373,000	300
Patrol Activities	447,000	(99,300)	370,000	0
Technical Police Services	16,691,000	7,333,500	0	0
<b>Total</b>	<b>20,413,000</b>	<b>7,233,800</b>	<b>743,000</b>	<b>300</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	208,000	500	0	0
Criminal Investigation Activities	13,667,000	757,700	7,759,000	554,200
Patrol Activities	14,905,000	(6,373,800)	3,703,000	564,500
Policing the Thruway	27,741,000	(44,800)	18,698,000	(1,918,900)
Technical Police Services	30,894,000	5,956,800	0	0
<b>Total</b>	<b>87,415,000</b>	<b>296,400</b>	<b>30,160,000</b>	<b>(800,200)</b>

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Administration	208,000	500
Criminal Investigation Activities	5,908,000	203,500
Patrol Activities	11,202,000	(6,938,300)
Policing the Thruway	9,043,000	1,874,100
Technical Police Services	30,894,000	5,956,800
<b>Total</b>	<b>57,255,000</b>	<b>1,096,600</b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Comprehensive Construction Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations 2001-02</b>
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	2,700,000	4,500,000	1,800,000	6,485,000
New Facilities				
Capital Projects Fund	0	0	0	1,502,000
<b>Total</b>	<b>2,700,000</b>	<b>4,500,000</b>	<b>1,800,000</b>	<b>7,987,000</b>

# **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 has evolved from planning and coordinating the State's investment in information technology to a policy-oriented organization with added operational responsibilities. In consultation with an Advisory Council for Technology consisting of representatives of State agencies and the Legislature, 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 710 for 2001-02. It is supported with State tax dollars from the General Fund and payments from other State agencies.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 2001-02 General Fund recommendation of \$89.4 million includes \$55.9 million to maintain current staffing levels and support ongoing agency efforts. A total of \$33.5 million is also recommended for priority initiatives, including \$25 million to fund selected e-government projects in 31 State agencies. These projects will make it easier for citizens and businesses to access information and transact business with State agencies at their convenience over the Internet. Major recommendations include:

- A \$97.4 million Internal Service Fund appropriation for operation of the consolidated State Data Center. This fund will support positions transferred primarily from State agencies and the cost of upgrading and operating the Center's computers.
- An \$11.3 million General Fund appropriation for the renovation of space to house the Data Center.
- A \$20.6 million Internal Service Fund appropriation for the New York Intranet (NYeNet). This fund will be supported with fees charged to State and local users of the NYeNet.
- \$8.5 million in General Fund appropriations mainly to improve the security of State computer systems, to expand technology training of users and executive staff and to develop a Geographic Information System in the Office for Technology.

Continuation of a \$19 million Internal Service Fund appropriation is also 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.

## TECHNOLOGY

A wide variety of activities are underway to implement this agenda. Under the auspices of the Office, several interagency work groups are developing or have developed technology-related productivity initiatives that involve such topics as best practices, electronic bidding and procurement, administrative systems and information technology workforce issues.

The Office for Technology has taken important steps to improve the State's management of technology services, such as the consolidation of 19 separate data centers into a single operation. 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 operation of the statewide telecommunications network, known as the NYeNet, that provides State and local governments with more reliable data, voice and video communications. The NYeNet offers a new framework for conducting governmental business using Internet technology. This network has 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 for Technology will assume responsibility for managing the State's e-government initiative. The priority e-government projects will move New York closer to the Governor's vision of "a government without walls." Governor Pataki has directed the Office to work closely with agencies to transform the way government provides services to its citizens, eventually giving New Yorkers online access to virtually all critical government services, 24 hours a day, seven days a week.

The Office for Technology is also making investments in protecting the security of State data systems, providing users with the confidence that transactions and records will be safe from unauthorized access.

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	216,076,300	271,409,000	55,332,700	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>216,076,300</u>	<u>271,409,000</u>	<u>55,332,700</u>	<u>0</u>

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

#### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Technology			
General Fund	131	131	0
Internal Service Funds	<u>579</u>	<u>579</u>	<u>0</u>
Total	<u>710</u>	<u>710</u>	<u>0</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	52,091,700	89,379,000	37,287,300
Special Revenue Funds - Federal	0	5,000,000	5,000,000
Special Revenue Funds - Other	0	5,000,000	5,000,000
Internal Service Funds	<u>163,984,600</u>	<u>172,030,000</u>	<u>8,045,400</u>
Total	<u>216,076,300</u>	<u>271,409,000</u>	<u>55,332,700</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(350,000)		
Internal Service Funds	<u>(15,000)</u>		
Appropriated 2000-01	<u>215,711,300</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
E-Government Initiatives			
General Fund	0	25,000,000	25,000,000
Special Revenue Funds - Federal	0	5,000,000	5,000,000
Special Revenue Funds - Other	0	5,000,000	5,000,000
Technology			
General Fund	52,091,700	64,379,000	12,287,300
Internal Service Funds	<u>163,984,600</u>	<u>172,030,000</u>	<u>8,045,400</u>
Total	<u>216,076,300</u>	<u>271,409,000</u>	<u>55,332,700</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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>
Technology	<u>8,800,000</u>	<u>6,815,600</u>	<u>8,794,800</u>	<u>6,815,600</u>
Total	<u>8,800,000</u>	<u>6,815,600</u>	<u>8,794,800</u>	<u>6,815,600</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Technology	<u>5,200</u>	<u>0</u>
Total	<u>5,200</u>	<u>0</u>



# TECHNOLOGY

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
E-Government Initiatives	25,000,000	25,000,000	0	0
Technology	55,579,000	5,471,700	140,000	120,000
Total	<u>80,579,000</u>	<u>30,471,700</u>	<u>140,000</u>	<u>120,000</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Technology	230,000	205,000	35,263,000	2,693,700
Total	<u>230,000</u>	<u>205,000</u>	<u>35,263,000</u>	<u>2,693,700</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
E-Government Initiatives	0	0	25,000,000	25,000,000
Technology	150,000	104,000	19,796,000	2,349,000
Total	<u>150,000</u>	<u>104,000</u>	<u>44,796,000</u>	<u>27,349,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
E-Government Initiatives	10,000,000	10,000,000	10,000,000	10,000,000
Technology	172,030,000	8,045,400	172,030,000	8,045,400
Total	<u>182,030,000</u>	<u>18,045,400</u>	<u>182,030,000</u>	<u>18,045,400</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 New York City, Malta in Saratoga County, 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 during 2001-02. Approximately 86 percent of these positions are paid for by State tax dollars from the General Fund and 14 percent are supported by Federal Medicaid and Veterans' Education funds.

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

The 2001-02 recommendation of nearly \$11.5 million for the Division of Veterans' Affairs will fund veterans' counseling services at current levels. The Blind Veteran Annuity Assistance Program, increased in 2000-01, will be maintained at \$3.4 million. In addition, State aid is continued for local county and city veterans' service agencies, which defrays the operating costs of these organizations, and Federal appropriations are increased to match actual Federal support for the Veterans' Education Program.

## ***PROGRAM HIGHLIGHTS***

During 2001-02, the Division of Veterans' Affairs will operate three principal programs. The largest provides veterans' counseling and claims services through a statewide network of approximately 61 State Veterans' Counselors — all veterans — and 28 support staff. The counselors help veterans complete applications for benefits and services, file for Federal, State, local and private veterans' benefits, and access the services provided by 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 various state agencies to better identify veterans and their dependents on public assistance to assist them in securing Federal veterans' benefits to which they are entitled, and to advise senior citizens of veterans' benefits and services that could improve the quality of their lives.

The Division of Veterans' Affairs is responsible for securing a substantial portion of the more than \$900 million in recurring Federal VA payments made directly to New York State veterans and their dependents. During 1999, State Veterans' Counselors made more than 130,000 contacts — an average of over 2,100 annually per counselor — and

## VETERANS' AFFAIRS

provided some 250,000 services, filing nearly 11,000 applications for benefits for New York's veterans and their dependents. In doing so, State Veterans' Counselors obtained 4,500 VA benefits awards worth approximately \$44 million in Federal payments, most of which are recurring.

Effective October 1, 2000, the Blind Veteran Annuity Assistance Program, which serves more than 3,100 visually impaired veterans and unremarried surviving spouses, was enhanced by raising the value of the annuity from \$500 to \$1,000.

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 investigate and certify post-secondary educational and vocational institutions for eligibility for student veterans' education benefits.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available	Appropriations	Change	Reappropriations
	2000-01	Recommended 2001-02		Recommended 2001-02
State Operations	7,038,300	7,345,000	306,700	2,297,000
Aid To Localities	7,100,400	4,125,000	(2,975,400)	0
Capital Projects	0	0	0	0
Total	14,138,700	11,470,000	(2,668,700)	2,297,000

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

#### Full-Time Equivalent Positions (FTE)

Program	2000-01	2001-02	FTE Change
	Estimated FTEs 03/31/01	Estimated FTEs 03/31/02	
Administration			
General Fund	13	13	0
Higher Education			
Special Revenue Funds - Federal	13	13	0
Veteran Counseling Services Program			
General Fund	102	102	0
Total	128	128	0

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	5,603,300	5,855,000	251,700
Special Revenue Funds - Federal	<u>1,435,000</u>	<u>1,490,000</u>	<u>55,000</u>
Total	<u>7,038,300</u>	<u>7,345,000</u>	<u>306,700</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(454,000)		
Special Revenue Funds - Federal	<u>(74,000)</u>		
Appropriated 2000-01	<u>6,510,300</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	884,000	913,000	29,000
Higher Education			
Special Revenue Funds - Federal	1,171,000	1,226,000	55,000
Veteran Counseling Services Program			
General Fund	4,719,300	4,942,000	222,700
Special Revenue Funds - Federal	<u>264,000</u>	<u>264,000</u>	<u>0</u>
Total	<u>7,038,300</u>	<u>7,345,000</u>	<u>306,700</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<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	779,000	0	779,000	0
Veteran Counseling Services Program	<u>4,646,000</u>	<u>43,700</u>	<u>4,646,000</u>	<u>43,700</u>
Total	<u>5,425,000</u>	<u>43,700</u>	<u>5,425,000</u>	<u>43,700</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	134,000	29,000	134,000	29,000
Veteran Counseling Services Program	<u>560,000</u>	<u>179,000</u>	<u>495,000</u>	<u>179,000</u>
Total	<u>694,000</u>	<u>208,000</u>	<u>629,000</u>	<u>208,000</u>

<u>Program</u>	<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>
Veteran Counseling Services Program	<u>65,000</u>	<u>0</u>
Total	<u>65,000</u>	<u>0</u>

# VETERANS' AFFAIRS

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Higher Education	1,226,000	55,000	732,000	(18,000)
Veteran Counseling Services Program	264,000	0	0	0
Total	<u>1,490,000</u>	<u>55,000</u>	<u>732,000</u>	<u>(18,000)</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Higher Education	494,000	73,000	0	0
Veteran Counseling Services Program	0	0	264,000	0
Total	<u>494,000</u>	<u>73,000</u>	<u>264,000</u>	<u>0</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	7,100,400	4,125,000	(2,975,400)
Total	<u>7,100,400</u>	<u>4,125,000</u>	<u>(2,975,400)</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Blind Veteran Annuity Assistance			
General Fund	3,400,000	3,400,000	0
Veteran Counseling Services Program			
General Fund	1,125,000	725,000	(400,000)
Community Projects			
General Fund	2,575,400	0	(2,575,400)
Total	<u>7,100,400</u>	<u>4,125,000</u>	<u>(2,975,400)</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 improved workplace safety and reduced average workers' compensation rates by nearly 40 percent since enactment of the reforms.

The Board continues to work to reduce costs and improve services. Among other advances, the Board increased the number of hearings held, made greater use of such electronic tools as video conferencing, electronic signatures and internet access to various forms and created a new performance measurement system for claims processing. At the Governor's direction, the Board also created a new Workers' Compensation Inspector General with staff located across the State. In 1999, the Inspector General's office received 1,500 alleged fraud case referrals, investigated and closed 1,223 cases and submitted over 450 cases to various authorities for criminal prosecution or other appropriate action.

## **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 30 additional customer service centers located throughout the State. The Board will have a workforce of 1,688 positions for 2001-02.

## **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 2001-02 Executive Budget recommends approximately \$159.7 million for the Board, an increase of \$3.4 million. The recommended funding will enable the Board to continue to fulfill the Governor's commitment to improve service to businesses and injured workers. Major recommendations are as follows:

- Expanded use of electronic data exchanges with customers will reduce costs and provide recipients with faster notice.
- Funding to continue several multi-year technology projects in 2001-02, including 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.

## ***WORKERS' COMPENSATION***

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- Additional staff for enhanced Inspector General investigation activities which will further reduce employer costs.
- Funding is also continued for the relocation of the Brooklyn district office to three new, smaller offices which will make the Board more accessible to its customers. Relocation to the new Queens and Brooklyn locations is expected to be completed this year and the Manhattan move will occur by the end of 2001-02.

### ***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 workers' 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 imposes 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	156,282,400	159,724,400	3,442,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>156,282,400</u>	<u>159,724,400</u>	<u>3,442,000</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Disability Benefits			
Special Revenue Funds - Other	59	57	(2)
Systems Modernization			
Special Revenue Funds - Other	83	83	0
Workers' Compensation			
Special Revenue Funds - Other	1,568	1,548	(20)
Total	<u>1,710</u>	<u>1,688</u>	<u>(22)</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	156,282,400	159,724,400	3,442,000
Total	<u>156,282,400</u>	<u>159,724,400</u>	<u>3,442,000</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	(8,703,000)		
Appropriated 2000-01	<u>147,579,400</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Disability Benefits			
Special Revenue Funds - Other	7,502,700	7,641,900	139,200
Systems Modernization			
Special Revenue Funds - Other	37,893,500	37,354,300	(539,200)
Workers' Compensation			
Special Revenue Funds - Other	110,886,200	114,728,200	3,842,000
Total	<u>156,282,400</u>	<u>159,724,400</u>	<u>3,442,000</u>



# **WORKERS' COMPENSATION**

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**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Disability Benefits	7,641,900	139,200	4,371,100	56,200
Systems Modernization	37,354,300	(539,200)	4,589,400	144,200
Workers' Compensation	114,728,200	3,842,000	65,600,700	1,420,000
<b>Total</b>	<b>159,724,400</b>	<b>3,442,000</b>	<b>74,561,200</b>	<b>1,620,400</b>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Disability Benefits	3,270,800	83,000	0	0
Systems Modernization	32,764,900	(683,400)	0	0
Workers' Compensation	48,527,500	2,591,400	600,000	(169,400)
<b>Total</b>	<b>84,563,200</b>	<b>1,991,000</b>	<b>600,000</b>	<b>(169,400)</b>

***MISCELLANEOUS***



# MISCELLANEOUS

## ALL STATE APPROPRIATION FOR SERVICES, EXPENSES OR GRANTS

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	0	0	0	0
Aid To Localities	4,000,000	0	(4,000,000)	6,854,000
Capital Projects	0	0	0	0
Total	<u>4,000,000</u>	<u>0</u>	<u>(4,000,000)</u>	<u>6,854,000</u>

## CASH MANAGEMENT IMPROVEMENT ACT

### ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	0	15,000,000	15,000,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>0</u>	<u>15,000,000</u>	<u>15,000,000</u>	<u>0</u>

## COLLECTIVE BARGAINING AGREEMENTS

### PROGRAM HIGHLIGHTS

The recommendations for the Collective Bargaining Agreements include \$37,164,700 in General Fund support for labor/management initiatives funded pursuant to the multi-year agreements that have been reached with employee unions. This funding supports such initiatives as joint labor/management committees, certain employee benefits, training, safety and health, child care, and employee assistance.

A total of \$250,000 in Special Revenue-Other funding is recommended for the administrative costs of the NYS Flex Spending Accounts. 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 (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	77,858,750	37,414,700	(40,444,050)	64,452,850
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>77,858,750</u>	<u>37,414,700</u>	<u>(40,444,050)</u>	<u>64,452,850</u>

# MISCELLANEOUS

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Negotiated Agreements			
General Fund	60	60	0
Total	<u>60</u>	<u>60</u>	<u>0</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	77,598,750	37,164,700	(40,434,050)
Special Revenue Funds - Other	<u>260,000</u>	<u>250,000</u>	<u>(10,000)</u>
Total	<u>77,858,750</u>	<u>37,414,700</u>	<u>(40,444,050)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	<u>(67,560,750)</u>
Appropriated 2000-01	<u>10,298,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Negotiated Agreements			
General Fund	77,598,750	37,164,700	(40,434,050)
Special Revenue Funds - Other	<u>260,000</u>	<u>250,000</u>	<u>(10,000)</u>
Total	<u>77,858,750</u>	<u>37,414,700</u>	<u>(40,444,050)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Negotiated Agreements	<u>37,164,700</u>	<u>(40,434,050)</u>	<u>37,164,700</u>	<u>(40,434,050)</u>
Total	<u>37,164,700</u>	<u>(40,434,050)</u>	<u>37,164,700</u>	<u>(40,434,050)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2001-02 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Negotiated Agreements	<u>250,000</u>	<u>(10,000)</u>	<u>250,000</u>	<u>(10,000)</u>
Total	<u>250,000</u>	<u>(10,000)</u>	<u>250,000</u>	<u>(10,000)</u>

## **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 2001-02 will provide continued support for the current operations of the Deferred Compensation Board. The recommended funding includes \$154,000 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 \$527,000 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 \$5.6 billion. In 2000, the Board made substantial changes by expanding the investment options available to participants and improving communication through the establishment of a web site which allows transactional processing by participants. 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  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	650,000	681,000	31,000	200,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	650,000	681,000	31,000	200,000

**MISCELLANEOUS**

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

<b>Full-Time Equivalent Positions (FTE)</b>			
<b>Program</b>	<b>2000-01 Estimated FTEs 03/31/01</b>	<b>2001-02 Estimated FTEs 03/31/02</b>	<b>FTE Change</b>
Operations			
Special Revenue Funds - Other	4	4	0
Total	<u>4</u>	<u>4</u>	<u>0</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Operations			
General Fund	150,000	154,000	4,000
Special Revenue Funds - Other	500,000	527,000	27,000
Total	<u>650,000</u>	<u>681,000</u>	<u>31,000</u>

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	330,000	0	(330,000)
Total	<u>330,000</u>	<u>0</u>	<u>(330,000)</u>

**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  
(dollars)**

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	301,000,000	326,000,000	25,000,000
Total	<u>301,000,000</u>	<u>326,000,000</u>	<u>25,000,000</u>

**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  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	233,600,000	258,600,000	25,000,000
Total	233,600,000	258,600,000	25,000,000

**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, judgments against the State, and defense and indemnification of State employees.

**BUDGET AND PROGRAM HIGHLIGHTS**

The recommended 2001-02 appropriation of \$2.25 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.

Recommended 2001-02 appropriations for General State Charges do not include funding for fringe benefit costs of State University hospitals effective July 1, 2001. Beginning in the 2001-02 academic year, State University hospitals will assume direct responsibility for payment of employee fringe benefits. Sufficient appropriations have been included in the hospitals' budgets to accommodate this change.

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. 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 20 health maintenance organizations (HMOs). Approximately 79 percent of State employees choose the Empire Plan for



## **MISCELLANEOUS**

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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 2001-02 Health Insurance appropriation of \$1.16 billion reflects an 11.2 percent increase in the 2001 health insurance premium rates.

**Pension Benefits:** The New York State and Local Retirement Systems, with approximately \$129 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 three percent of salary from employees with less than ten years of service, 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 2001-02 appropriation for the State's annual contribution to the retirement systems is \$37.9 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 2001-02 appropriation for Social Security and Medicare benefits is \$494.5 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 2001-02 appropriation for workers' compensation is \$192.8 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 2001-02 appropriation for these funds is \$46.0 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 2001-02 appropriation for dental insurance is \$46.8 million.

### **FIXED COSTS**

The fixed costs portion of General State Charges primarily includes taxes on certain State-owned lands, judgments 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 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 3.9 million acres of land throughout the State as well as transition assessments on tax-exempt State-owned lands.

The recommended 2001-02 appropriation for payments to local governments for taxes on State-owned lands is \$112.9 million.

**Court of Claims Judgments:** Annual appropriations are provided for negotiated settlements and judgments 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 2001-02 appropriation for Court of Claims judgments is \$75.0 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 2001-02 appropriation for defense and indemnification of State employees is \$25.0 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 2001-02 portion of a multi-year abandoned property settlement.

The recommended appropriation for these settlements is \$23.2 million.

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	2,183,932,400	2,253,572,200	69,639,800
Total	2,183,932,400	2,253,572,200	69,639,800
Adjustments:			
Recommended Deficiency			
General State Charges			
General Fund	(23,500,000)		
Transfer(s) From			
General State Charges			
Special Revenue Funds - Other	(250,000,000)		
Special Pay Bill			
General Fund	(65,011,000)		
Transfer(s) To			
General State Charges			
General Fund	250,000,000		
State University of New York			
Special Revenue Funds - Other	81,285,000		
Appropriated 2000-01	2,176,706,400		

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
General State Charges	2,253,572,200	69,639,800
Total	2,253,572,200	69,639,800

**MISCELLANEOUS**

**GOVERNMENTAL ACCOUNTING STANDARDS BOARD**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	0	2,500,000	2,500,000
Total	0	2,500,000	2,500,000

**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 2001-02 Executive Budget recommends a General Fund appropriation of \$2,394,000, the same level of funding provided in 2000-01.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,394,000	2,394,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	2,394,000	2,394,000	0	0

**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 \$304,000 from the General Fund for operational support of the Conservancy. This incorporates an increase of \$82,000, or 37 percent, in State operations over 2000-01 to provide additional administrative and legal support to strengthen the Conservancy's planning and grant implementation efforts.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	222,000	304,000	82,000	0
Aid To Localities	200,000	0	(200,000)	0
Capital Projects	0	0	0	0
Total	422,000	304,000	(118,000)	0

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	222,000	304,000	82,000
Total	<u>222,000</u>	<u>304,000</u>	<u>82,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	200,000	0	(200,000)
Total	<u>200,000</u>	<u>0</u>	<u>(200,000)</u>

**HEALTH INSURANCE CONTINGENCY RESERVE**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	280,100,000	333,800,000	53,700,000
Total	<u>280,100,000</u>	<u>333,800,000</u>	<u>53,700,000</u>

**HEALTH INSURANCE RESERVE RECEIPTS FUND**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Fiduciary Funds	74,650,000	78,300,000	3,650,000
Total	<u>74,650,000</u>	<u>78,300,000</u>	<u>3,650,000</u>

**HIGHER EDUCATION**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	566,000	568,000	2,000
Total	<u>566,000</u>	<u>568,000</u>	<u>2,000</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	20,235,000	0	(20,235,000)
Total	<u>20,235,000</u>	<u>0</u>	<u>(20,235,000)</u>

**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 \$830,000 in 2001-02 to support the Council's administration, technical assistance, and local planning grants programs. This represents an increase of \$125,600, or 50 percent, in State operations over 2000-01 to provide additional support for increased legal and planning staff and operating expenses and an increase of \$250,000, or 122 percent, in local assistance for increased local community grants program that support both greenway community project planning and implementation activities.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	250,400	376,000	125,600	0
Aid To Localities	204,000	454,000	250,000	474,000
Capital Projects	0	0	0	0
Total	<u>454,400</u>	<u>830,000</u>	<u>375,600</u>	<u>474,000</u>

ALL FUND TYPES  
PROJECTED LEVELS OF EMPLOYMENT BY PROGRAM  
FILLED ANNUAL SALARIED POSITIONS

Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Operations			
General Fund	3	5	2
Total	<u>3</u>	<u>5</u>	<u>2</u>

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	250,400	376,000	125,600
Total	<u>250,400</u>	<u>376,000</u>	<u>125,600</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(18,000)		
Appropriated 2000-01	<u>232,400</u>		

STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)

<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>
Operations	307,000	112,600	307,000	112,600
Total	<u>307,000</u>	<u>112,600</u>	<u>307,000</u>	<u>112,600</u>

STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)

<u>Program</u>	<u>Total Nonpersonal Service</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations	69,000	13,000	69,000	13,000
Total	<u>69,000</u>	<u>13,000</u>	<u>69,000</u>	<u>13,000</u>

AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	204,000	454,000	250,000
Total	<u>204,000</u>	<u>454,000</u>	<u>250,000</u>

## MISCELLANEOUS

### INSURANCE AND SECURITIES FUNDS RESERVE GUARANTEE

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	1,672,000,000	1,672,000,000	0
Total	<u>1,672,000,000</u>	<u>1,672,000,000</u>	<u>0</u>

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Aggregate Trust Fund			
General Fund	220,000,000	220,000,000	0
Stock Workmen's Compensation Security Fund			
General Fund	67,000,000	67,000,000	0
Property/Casualty Insurance Security Fund			
General Fund	90,000,000	90,000,000	0
State Insurance Fund			
General Fund	1,295,000,000	1,295,000,000	0
Total	<u>1,672,000,000</u>	<u>1,672,000,000</u>	<u>0</u>

### LOCAL GOVERNMENT ASSISTANCE

The following appropriations provide unrestricted aid to all classes of local governments. Of the total miscellaneous local government assistance, only 4.7 percent is appropriated from the General Fund. The remaining 95.3 percent is appropriated as fiduciary funds with no General Fund impact.

Executive Budget recommendations for 2001-02 include the following:

- General Purpose State Aid funding for cities, towns and villages is continued at SFY 2000-01 levels totaling over \$561.6 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 Supplemental Municipal Aid are also continued at 2000-01 levels: \$20.8 million, \$26.4 million, and \$189 million, respectively.
- Local Government Aid to Counties is increased by \$12 million for a total of \$17 million to be disbursed to counties proportionately by population in SFY 2001-02.
- Stock Transfer Incentive funding of \$114 million for New York City is eliminated.
- Fiduciary appropriations totaling over \$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  
(dollars)**

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	2,950,600	3,008,000	57,400	0
Aid To Localities	25,166,699,699	25,269,974,002	103,274,303	0
Capital Projects	0	0	0	0
Total	<u>25,169,650,299</u>	<u>25,272,982,002</u>	<u>103,331,703</u>	<u>0</u>

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

Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTE's 03/31/01</u>	<u>2001-02 Estimated FTE's 03/31/02</u>	<u>FTE Change</u>
Financial Control Board for the City of New York			
Special Revenue Funds - Other	19	19	0
Total	<u>19</u>	<u>19</u>	<u>0</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	2,950,600	3,008,000	57,400
Total	<u>2,950,600</u>	<u>3,008,000</u>	<u>57,400</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
Special Revenue Funds - Other	(178,000)
Appropriated 2000-01	<u>2,772,600</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS  
(dollars)**

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Financial Control Board for the City of New York			
Special Revenue Funds - Other	2,950,600	3,008,000	57,400
Total	<u>2,950,600</u>	<u>3,008,000</u>	<u>57,400</u>



## MISCELLANEOUS

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Aid to Counties			
General Fund	5,000,000	17,000,000	12,000,000
Emergency Financial Aid to Certain Cities			
General Fund	26,474,000	26,474,000	0
Emergency Financial Assistance to Eligible Municipalities			
General Fund	20,813,800	20,814,000	200
General Purpose Local Government Aid			
General Fund	781,321,597	781,322,000	403
Miscellaneous Financial Assistance			
General Fund	6,259,000	630,000	(5,629,000)
Municipal Assistance State Aid Fund			
Fiduciary Funds	560,300,000	563,300,000	3,000,000
Municipal Assistance Tax Fund			
Fiduciary Funds	13,310,000,000	13,512,000,000	202,000,000
Nassau County Interim Finance Authority			
General Fund	30,000,000	25,000,000	(5,000,000)
Stock Transfer Incentive Fund			
General Fund	114,037,800	0	(114,037,800)
Stock Transfer Tax Fund			
Fiduciary Funds	10,000,000,000	10,000,000,000	0
Supplemental Municipal Aid			
General Fund	189,034,002	189,034,002	0
Yonkers EIP I and II Court Order			
General Fund	121,407,000	134,400,000	12,993,000
Legislative Initiatives			
General Fund	2,052,500	0	(2,052,500)
Total	<u>25,166,699,699</u>	<u>25,269,974,002</u>	<u>103,274,303</u>

## MISCELLANEOUS GUARANTEE APPROPRIATIONS

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	917,457,600	972,505,000	55,047,400
Total	<u>917,457,600</u>	<u>972,505,000</u>	<u>55,047,400</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 2001-02 Executive Budget recommends an appropriation of \$30 million in anticipation of the receipt of continued Federal funding for this program. New State funding of \$332,000 is also recommended to meet match requirements for the Office's administration grant.

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	0	332,000	332,000
Special Revenue Funds - Federal	30,053,000	30,000,000	(53,000)
Total	30,053,000	30,332,000	279,000

Adjustments:

Transfer(s) From			
Children and Family Services Office of			
Special Revenue Funds - Federal	(53,000)		
Appropriated 2000-01	30,000,000		

**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 \$88,000 to support the Commission's operations in 2001-02.

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	86,000	88,000	2,000
Total	86,000	88,000	2,000

Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(5,000)		
Appropriated 2000-01	81,000		

**MISCELLANEOUS**

**PETROLEUM STORAGE TANKS - COPS  
REPAYMENT**

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	4,365,000	3,800,000	(565,000)
Total	<u>4,365,000</u>	<u>3,800,000</u>	<u>(565,000)</u>

**RESERVE FOR FEDERAL AUDIT DISALLOWANCES**

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	50,000,000	50,000,000	0
Total	<u>50,000,000</u>	<u>50,000,000</u>	<u>0</u>

**SPECIAL EMERGENCY APPROPRIATION**

ALL FUNDS  
APPROPRIATIONS  
(dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	50,000,000	50,000,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>50,000,000</u>	<u>50,000,000</u>	<u>0</u>	<u>0</u>

**SPECIAL PAY BILL**

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Federal	3,155,300	0	(3,155,300)
Special Revenue Funds - Other	449,800	0	(449,800)
Enterprise Funds	0	0	0
Internal Service Funds	2,400	0	(2,400)
Fiduciary Funds	9,087,000	0	(9,087,000)
Capital Projects Funds - Federal	419,900	0	(419,900)
Capital Projects Funds - Other	36,761,000	0	(36,761,000)
Total	<u>49,875,400</u>	<u>0</u>	<u>(49,875,400)</u>

Adjustments:

Transfer(s) To	
Adirondack Park Agency	
General Fund	270,000

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Advocate for Persons with Disabilities, Office of			
General Fund	70,000		
Special Revenue Funds - Federal	19,000		
Expendable Trust Funds	5,000		
Aging, Office for the			
General Fund	219,000		
Special Revenue Funds - Federal	588,000		
Agriculture and Markets, Department of			
General Fund	1,375,000		
Special Revenue Funds - Federal	95,000		
Special Revenue Funds - Other	513,000		
Enterprise Funds	47,000		
Expendable Trust Funds	35,000		
Alcoholic Beverage Control, Division of			
Special Revenue Funds - Other	968,000		
Alcoholism and Substance Abuse Services, Office of			
General Fund	4,201,000		
Special Revenue Funds - Federal	316,000		
Special Revenue Funds - Other	43,000		
Arts, Council on the			
General Fund	299,000		
Special Revenue Funds - Federal	39,000		
Audit and Control, Department of			
General Fund	6,382,000		
Special Revenue Funds - Other	295,000		
Internal Service Funds	86,000		
Pension Trust Funds	3,190,000		
Banking Department			
Special Revenue Funds - Other	4,528,000		
Budget, Division of the			
General Fund	2,719,000		
Special Revenue Funds - Other	27,000		
Capital Defender Office			
General Fund	349,000		
Children and Families, Council on			
General Fund	78,000		
Special Revenue Funds - Federal	9,000		
Children and Family Services Office of			
General Fund	14,378,000		
Special Revenue Funds - Federal	1,607,000		
Special Revenue Funds - Other	752,000		
Expendable Trust Funds	17,000		
Civil Service, Department of			
General Fund	1,959,000		
Internal Service Funds	1,238,000		
Collective Bargaining Agreements			
General Fund	67,560,750		
Consumer Protection Board, State			
General Fund	27,000		
Special Revenue Funds - Other	151,000		
Correction, Commission of			
General Fund	184,000		
Correctional Services, Department of			
General Fund	135,767,000		
Special Revenue Funds - Federal	379,000		
Enterprise Funds	455,700		
Internal Service Funds	3,114,000		
Crime Victims Board			
General Fund	271,000		
Special Revenue Funds - Federal	65,000		

# MISCELLANEOUS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	12,000		
Criminal Justice Services, Division of			
General Fund	2,215,000		
Special Revenue Funds - Federal	652,000		
Developmental Disabilities Planning			
Council			
Special Revenue Funds - Federal	86,000		
Economic Development, Department of			
General Fund	1,097,000		
Special Revenue Funds - Other	61,000		
Education - School for the Blind			
Special Revenue Funds - Other	530,000		
Education - School for the Deaf			
Special Revenue Funds - Other	418,000		
Education Department, State			
General Fund	3,349,000		
Special Revenue Funds - Federal	7,781,000		
Special Revenue Funds - Other	3,264,000		
Internal Service Funds	639,000		
Expendable Trust Funds	5,000		
Elections, State Board of			
General Fund	206,000		
Employee Relations, Office of			
General Fund	257,000		
Internal Service Funds	179,000		
Environmental Conservation, Department of			
General Fund	6,807,000		
Special Revenue Funds - Other	9,856,000		
Environmental Facilities Corporation			
Special Revenue Funds - Other	450,000		
Executive Chamber			
General Fund	1,414,000		
General Services, Office of			
General Fund	4,342,000		
Special Revenue Funds - Other	223,000		
Enterprise Funds	53,000		
Internal Service Funds	4,054,000		
General State Charges			
General Fund	65,011,000		
Health, Department of			
General Fund	12,601,000		
Special Revenue Funds - Federal	4,662,000		
Special Revenue Funds - Other	10,974,000		
Higher Education Services Corporation, New York State			
General Fund	582,000		
Special Revenue Funds - Other	3,297,000		
Housing and Community Renewal, Division of			
General Fund	2,083,000		
Special Revenue Funds - Federal	342,000		
Special Revenue Funds - Other	2,657,000		
Hudson River Valley Greenway Communities Council			
General Fund	18,000		
Human Rights, Division of			
General Fund	696,000		
Special Revenue Funds - Federal	141,000		
Inspector General, Office of the			
General Fund	391,000		
Special Revenue Funds - Other	99,000		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Insurance Department			
Special Revenue Funds - Other	7,034,700		
Interest on Lawyer Account			
Expendable Trust Funds	32,000		
Investigation, Temporary State Commission of			
General Fund	165,000		
Judicial Commissions			
General Fund	137,000		
Labor, Department of			
General Fund	860,000		
Special Revenue Funds - Federal	20,102,000		
Special Revenue Funds - Other	652,000		
Law, Department of			
General Fund	6,939,000		
Special Revenue Funds - Federal	1,315,000		
Special Revenue Funds - Other	932,000		
Internal Service Funds	358,000		
Lieutenant Governor, Office of the			
General Fund	46,000		
Lobbying, Temporary State Commission			
General Fund	64,000		
Local Government Assistance			
Special Revenue Funds - Other	178,000		
Lottery, Division of the			
Special Revenue Funds - Other	1,667,000		
Mental Health, Office of			
General Fund	74,015,000		
Enterprise Funds	29,000		
Internal Service Funds	84,000		
Mental Retardation and Developmental Disabilities, Office of			
General Fund	70,815,000		
Special Revenue Funds - Other	124,000		
Enterprise Funds	7,000		
Military and Naval Affairs, Division of			
General Fund	1,219,000		
Special Revenue Funds - Federal	1,308,000		
Special Revenue Funds - Other	202,000		
Motor Vehicles, Department of			
General Fund	7,996,000		
Special Revenue Funds - Federal	78,000		
Special Revenue Funds - Other	3,304,000		
Northeastern Queens Nature and Historical Preserve Commission			
General Fund	5,000		
Parks, Recreation and Historic Preservation, Office of			
General Fund	7,360,000		
Special Revenue Funds - Federal	88,000		
Special Revenue Funds - Other	352,000		
Nonexpendable Trust Funds	3,000		
Parole, Division of			
General Fund	9,821,000		
Prevention of Domestic Violence, Office for			
General Fund	159,000		
Probation and Correctional Alternatives, Division of			
General Fund	147,000		
Public Employment Relations Board			
General Fund	270,000		

# MISCELLANEOUS

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)**

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Public Service Department			
Special Revenue Funds - Federal	39,000		
Special Revenue Funds - Other	4,346,000		
Quality of Care for the Mentally Disabled, Commission on			
General Fund	201,000		
Special Revenue Funds - Federal	125,000		
Special Revenue Funds - Other	158,000		
Racing and Wagering Board, State			
General Fund	220,000		
Special Revenue Funds - Other	286,000		
Real Property Services, Office of			
General Fund	1,527,000		
Special Revenue Funds - Other	807,000		
Regulatory Reform, Governor's Office of			
General Fund	191,000		
Science, Technology and Academic Research, Office of			
General Fund	150,000		
State Police, Division of			
General Fund	3,735,000		
Special Revenue Funds - Federal	30,000		
Special Revenue Funds - Other	150,000		
State University Construction Fund			
Special Revenue Funds - Other	826,000		
State University of New York			
General Fund	49,229,000		
Special Revenue Funds - Other	20,956,000		
Expendable Trust Funds	23,000		
State, Department of			
General Fund	756,000		
Special Revenue Funds - Federal	345,000		
Special Revenue Funds - Other	1,888,300		
Tax Appeals, Division of			
General Fund	231,000		
Taxation and Finance, Department of			
General Fund	20,428,000		
Special Revenue Funds - Other	165,000		
Technology, Office for			
General Fund	350,000		
Internal Service Funds	15,000		
Temporary and Disability Assistance, Office of			
General Fund	5,657,000		
Special Revenue Funds - Federal	6,119,000		
Special Revenue Funds - Other	439,000		
Transportation, Department of			
General Fund	10,750,000		
Special Revenue Funds - Federal	375,000		
Special Revenue Funds - Other	847,000		
Internal Service Funds	136,000		
Veterans Affairs, Division of			
General Fund	454,000		
Special Revenue Funds - Federal	74,000		
Welfare Inspector General, Office of			
General Fund	59,000		
Workers Compensation Board			
Special Revenue Funds - Other	8,703,000		
Appropriated 2000-01	<u>814,727,850</u>		

**STATEWIDE ENERGY IMPROVEMENT**

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	1,500,000	1,900,000	400,000
Total	<u>1,500,000</u>	<u>1,900,000</u>	<u>400,000</u>

**STATEWIDE WIRELESS NETWORK**

The Statewide Wireless Network Task Force is responsible for the development and deployment of the new statewide emergency communications system network. The Executive Budget recommends a total of \$25.5 million for 2001-02 to support the development of a multi-agency radio communications network. The funding for the network is fully supported by a monthly surcharge on cellular telephones.

Many of the existing radio systems in New York State are antiquated, difficult to maintain, and incapable of communicating with neighboring jurisdictions. The Statewide Wireless Network Task Force is working cooperatively with State and local agencies to create an inventory of existing equipment and identified needs, and to develop a strategy to establish a statewide communications system. The new statewide emergency communications system will provide an integrated emergency communications network that will enable public safety agencies at all levels of government to coordinate emergency responses.

ALL FUNDS  
APPROPRIATIONS  
(dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	10,000,000	25,473,000	15,473,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>10,000,000</u>	<u>25,473,000</u>	<u>15,473,000</u>	<u>0</u>

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Special Revenue Funds - Other	10,000,000	25,473,000	15,473,000
Total	10,000,000	<u>25,473,000</u>	<u>15,473,000</u>

Adjustments:

Transfer(s) From	
State Police, Division of	
Special Revenue Funds - Other	(10,000,000)
Appropriated 2000-01	<u>0</u>



**MISCELLANEOUS**

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**WORKERS' COMPENSATION RESERVE**

STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS  
(dollars)

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	<u>43,128,000</u>	<u>37,200,000</u>	<u>(5,928,000)</u>
Total	<u>43,128,000</u>	<u>37,200,000</u>	<u>(5,928,000)</u>

# ***PART II***

## ***STATE DEBT SERVICE***



# **STATE DEBT SERVICE AND FINANCING AGREEMENT PAYMENTS**

## **DEBT REFORM ACT OF 2000 ENSURES DEBT COSTS ARE CONTROLLED AND AFFORDABLE**

Debt service appropriations for 2001-02 reflect the Governor's ongoing commitment to reform the State's debt practices with the implementation of the historic Debt Reform Act of 2000, the use of \$750 million in deposits to the Debt Reduction Reserve Fund (DRRF) and new initiatives that will continue to improve debt affordability.

Debt service projections on new debt issuances reflect a prudent balance between financing strategic capital investments with pay-as-you-go resources and State-supported bonds. That balance ensures that new debt issuances in both 2000-01 and over the remaining years of the Five-Year Capital Program and Financing Plan are well below the caps and limitations imposed by the Debt Reform Act, which, effective April 1, 2000:

- Imposed a phased-in cap on new debt outstanding of 4 percent of personal income, reflecting a one-third decline from the current level of 6 percent of State income.
- Imposed a phased-in cap on new debt service costs of 5 percent of All Funds receipts, ensuring that the amount of resources devoted to debt service costs remain affordable and stable.
- Restricted the use of debt to financing capital works and purposes.
- Reduced the maximum term of debt to 30 years, ensuring that exceptionally long maturities do not dramatically increase debt service costs.

## **CONSTITUTIONAL DEBT REFORM**

To ensure that the statutory caps and other debt limitations imposed by the Debt Reform Act of 2000 are made permanent, the Governor will resubmit his Constitutional Debt Reform bill. The bill, which has already unanimously passed the State Senate, will:

- Constitutionally mandate the State-supported debt outstanding and debt service caps now imposed by the Debt Reform Act of 2000.
- Ban "back door" borrowing.
- Constitutionally authorize a limited amount of revenue-backed debt and require that at least one-half of all new debt is approved by the voters.
- Authorize multiple general obligation bond act proposals.

## **DEBT REDUCTION RESERVE FUND DRAMATICALLY REDUCES DEBT SERVICE COSTS**

In 1998-99, the Governor proposed the Debt Reduction Reserve Fund (DRRF) as a prudent mechanism to set aside available resources to reduce State-supported debt and taxpayer costs. By the end of 2000-01, deposits to DRRF will reach \$750 million. The combined \$750 million DRRF investment will save taxpayers \$1.2 billion in lower debt service costs.

## **NEW DEBT REFORM INITIATIVES WILL FURTHER REDUCE COSTS**

To build upon the historic adoption of the Debt Reform Act and other debt management initiatives that have already reduced borrowing costs, the Executive Budget will recommend legislation that will improve the marketability and creditworthiness of State-supported

## **DEBT SERVICE**

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debt by proposing a new statutory Revenue Debt structure to gradually enhance the State's debt profile. This proposal will expand the State's existing "revenue-backed" debt to provide a structure that will "guarantee" the State will, subject to appropriation, satisfy the debt service obligation due on the new revenue-backed bonds. The proposal is designed to:

- Reduce borrowing costs and expand the investor base for State-supported obligations by providing the marketplace with a new, highly-rated, secure debt instrument.
- Permit the State to consolidate its current bonding programs and provide the statutory framework for the issuance of Constitutional Revenue Debt.

### **DEBT SERVICE APPROPRIATIONS FOR 2001-02**

The recommended debt service appropriations reflect the maximum estimated debt service payments for outstanding bonds and new 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. Debt service appropriations for new variable rate debt projected to be issued under the Urban Development Corporation's (UDC) Correctional Facilities and Youth Facilities bonding programs will also be appropriated at the maximum rate. 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 (DA) SUNY Educational Facilities program, as well as projected swap transactions for LGAC and the UDC Correctional Facilities bonding programs, are also appropriated at a maximum rate of 18 percent. Consistent with rating agency guidelines, the State will continue to diversify its debt portfolio by increasing the use of short-term debt instruments (i.e., variable rate debt and a limited amount of interest rate swaps) as a percentage of total debt outstanding.

The following sections discuss the recommended debt service appropriations in greater detail. The appropriations are grouped by fund.

### **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. In addition, appropriations are recommended from the Fund to pay for debt service on Revenue Debt. The Fund's moneys are provided from the General Fund, and other available transfers and revenues.

Appropriations from the General Debt Service Fund for general obligation bonds are recommended at \$715 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 2001. Payments for the State's continued issuance of variable rate general obligation bonds are also included.

Appropriations of \$2.4 billion are recommended from the General Debt Service Fund for lease purchase and other financing agreement payments due on State-appropriation backed bonds. The following appropriations may also be used to satisfy the debt service due on new Revenue Debt authorized to be issued for the bonding programs described below. Bond caps for such programs will be reduced by the amount of Revenue Debt issued for such program. The 2001-02 Debt Service Bill recommends appropriations for lease purchase and other financing obligations to the following authorities:

- Thruway Authority, for Local Highway and Bridge service contract bonds for local transportation purposes. Spending from this appropriation (\$235 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 (\$59 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, high technology research facilities and business incubators, projects at various university technology centers, the Higher Education Applied Technology (HEAT) program, and the Onondaga Convention Center (\$375 million). These include 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, the 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 certain State facilities (\$1 billion). The SUNY educational facilities appropriations also include interest rate swaps.
- Housing Finance Agency, pursuant to agreements between the State and HFA to finance the State's housing programs (\$138 million). This includes payments for variable rate housing 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 various authorities, including the UDC and the DA to finance the Community Enhancement Facilities Assistance Program (\$175 million) and the Strategic Investment Program (\$50 million).
- Lease purchase payments for various State facilities (\$62 million), including the 50 Wolf Road building in Albany, the new Department of Environmental Conservation building at 625 Broadway in Albany, and a new Department of Transportation Region One headquarters building to be located in Schenectady.
- Metropolitan Transportation Authority (MTA), for service contracts payments (\$165 million) on bonds issued to finance transit and commuter rail projects.
- Energy Research Development Authority, for service contract payments (\$16 million) on bonds issued to finance the West Valley Project.
- Dormitory Authority, for service contracts to finance the capital needs of financially distressed hospitals (\$95 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 2001-02.

**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 \$29 million appropriation is recommended for 2001-02.

**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

## ***DEBT SERVICE***

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construction and rehabilitation of SUNY dormitories has first claim on all dormitory revenues deposited in the Fund. An appropriation of \$55 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 their projects. Such payments are also deposited in the Mental Health Services Fund. The recommended appropriation from this Fund is \$355 million.

### ***HEALTH INCOME FUND***

The Department of Health (DOH) has entered into contractual agreements with the DA 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. Consistent with existing bonding pledges and statutory requirements, the Roswell Park Cancer Institute 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 2001-02, 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 2001-02 fiscal year.

### ***CENTRALIZED SERVICES FUND***

Certificates of Participation (COPs) have been issued 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 \$210 million is recommended to pay debt service on COPs.

**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 \$463 million represents anticipated debt service on all fixed-rate bonds, the maximum interest rate for outstanding variable rate bonds, 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 \$40 million is recommended from the School Capital Facilities Financing Reserve Fund, a fiduciary fund, to pay debt service on bonds issued by the DA on behalf of special act and certain other authorized types of local school districts. The districts have assigned State local assistance payments to the DA, which are deposited into the Fund and used to make debt service payments.

**DEDICATED HIGHWAY AND BRIDGE TRUST FUND**

An appropriation of \$525 million is recommended for 2001-02 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**

An appropriation of \$250 million is recommended to ensure that the Debt Reduction Reserve Fund will be used to further reduce taxpayer costs in 2001-02.

**GENERAL FUND - STATE PURPOSES ACCOUNT**

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. Also since the use of State commercial paper was replaced with additional general obligation bonds, an appropriation is no longer necessary for that purpose.



# DEBT SERVICE

## ALL FUNDS FISCAL REQUIREMENTS DEBT SERVICE AND FINANCING AGREEMENT PAYMENTS (dollars)

<u>Fund</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund			
State Purposes Account			
Rebates to Federal Government	15,000,000	15,000,000	0
General Obligation Notes	8,500,000	0	(8,500,000)
Redemption of General Obligation Bonds	<u>225,000,000</u>	<u>225,000,000</u>	<u>0</u>
Subtotal	248,500,000	240,000,000	(8,500,000)
Internal Service Funds			
Centralized Services Fund			
Financing Agreements	<u>205,000,000</u>	<u>210,000,000</u>	<u>5,000,000</u>
Subtotal	205,000,000	210,000,000	5,000,000
Fiduciary Funds			
School Capital Facilities Financing Reserve Fund			
Trust and Agency Financing	<u>30,000,000</u>	<u>40,000,000</u>	<u>10,000,000</u>
Subtotal	30,000,000	40,000,000	10,000,000
Debt Service Funds			
Mental Health Services Fund			
Financing Agreements	360,000,000	355,000,000	(5,000,000)
General Debt Service Fund			
General Obligation Bonds	703,000,000	715,000,000	12,000,000
Financing Agreements	2,250,800,000	2,457,600,000	206,800,000
Lease Purchase Payments	62,900,000	62,100,000	(800,000)
Housing Debt Fund			
General Obligation Bonds	31,000,000	29,000,000	(2,000,000)
Health Income Fund			
Financing Agreements	37,250,000	37,250,000	0
Financing Agreements	2,000,000	2,000,000	0
Emergency Highway Reconditioning and Preservation Fund			
Financing Agreements	32,000,000	32,000,000	0
State University Dormitory Income Fund			
Financing Agreements	53,500,000	55,000,000	1,500,000
Emergency Highway Construction and Reconstruction Fund			
Financing Agreements	32,000,000	32,000,000	0
Local Government Assistance Tax Fund			
Financing Agreements	<u>518,200,000</u>	<u>463,000,000</u>	<u>(55,200,000)</u>
Subtotal	4,082,650,000	4,239,950,000	157,300,000
Capital Projects Funds - Other			
Debt Reduction Reserve Fund			
Debt Reduction	500,000,000	250,000,000	(250,000,000)
Dedicated Highway and Bridge Trust Fund			
Financing Agreements	<u>450,000,000</u>	<u>525,000,000</u>	<u>75,000,000</u>
Subtotal	950,000,000	775,000,000	(175,000,000)
Total Fiscal Year	<u>5,516,150,000</u>	<u>5,504,950,000</u>	<u>(11,200,000)</u>
Appropriated 2000-01	<u>5,516,150,000</u>		

# ***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 2001-02. 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 appropriation request is \$1.68 billion, a \$119.6 million, or 7.7 percent increase over the current year. Of this amount, \$1.53 billion is requested from the State tax dollar supported General Fund, an increase of \$90.6 million or 6.3 percent over 2000-01.

The General Fund increase includes:

- \$49.4 million for negotiated salary increments and base level increases;
- \$28 million for the renovation and expansion of the Court of Appeals and Justice buildings in Albany;
- \$17.5 million for annualization of current year initiatives, including \$4.1 million for drug courts;
- \$15 million for increased fringe benefit costs;
- \$7.9 million for new initiatives or expansion of the Chief Judge's priority areas such as the Civil Justice, Family Justice, Domestic Violence and Court Security Programs (156 new positions);
- \$6.2 million for various inflationary increases;
- \$2 million for 14 certificated judges;
- \$1.6 million for increased costs for the Law Guardian Program; and
- \$800,000 for new judgeships established in 2000.

These increases are partially offset by a \$34.7 million decrease in non-recurring collective bargaining costs, a \$2.2 million decrease due to early retirement and attrition and \$900,000 in miscellaneous savings.

The All Funds appropriation growth also reflects a \$25.5 million increase in the Court Facilities Incentive Aid Fund which provides financial assistance to cities and counties for the construction, renovation, operation and maintenance of court facilities. Major new costs for the Fund include interest payments associated with the ongoing construction of court facilities in New York City and the scheduled increase — per existing legislation — of the State's share of local court operating and maintenance costs from 75 percent in 2000-01 to 100 percent in 2001-02.



# **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

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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,



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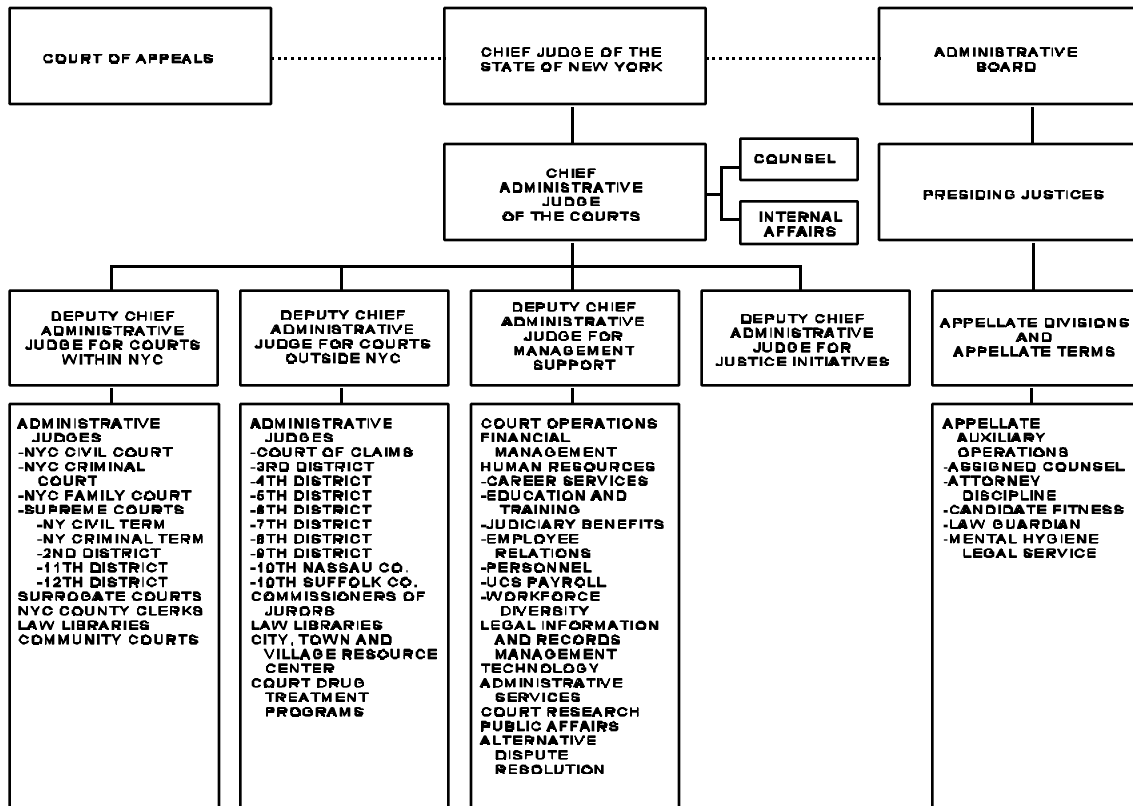
an Office of Internal Affairs, reporting directly to the Chief Administrative Judge, conducts internal audits and investigations to support the attainment of management's long term goals and priorities.

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 Judiciary is an independent branch of government, established 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 matters before the courts. The New York State Judiciary carries out its mission through 11 different trial courts, as well as through its intermediate appellate courts and its highest court, the Court of Appeals. 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.

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 personnel, bar leaders, and interested citizens. This budget reflects a rigorous review and analysis, culminating with a recommended budget amount that is fiscally prudent, yet providing the necessary resources to continue the programs that enhance efficient and effective case disposition and foster public trust and confidence in the courts.

### **THE 2001-02 JUDICIARY BUDGET REQUEST**

The budget request for the Judiciary General Fund Court and Agency Operations for fiscal year 2001-02 is \$1.28 billion. This amount will support a cash disbursement spending plan that exceeds the current year plan by 2.5 percent, less than the projected rate of inflation. The All Funds Court and Agency portion of the request, including the General Fund as well as Special Revenue Funds, is \$1.33 billion, which will support a cash disbursement increase of 2.7 percent, also less than the projected rate of inflation.

As in the past, the vast majority of the 2001-02 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, including general nonjudicial salary increases and other legislatively authorized collective bargaining enhancements. Adjustments are also reflected for 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; contractual security increases for ongoing locally provided security, judicial hearing officer and other per diem payments; Certificates of Participation (COPS)

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finance payments for prior year automation, furnishings, and equipment replacement programs; and other items necessary for the daily operations of the courts and court-related agencies in the New York State Unified Court System.

### **JUDICIARY PRIORITY INITIATIVES**

With this budget request, the New York State Judiciary continues its commitment to reforming court processes to deliver effective justice. Thus, funding is included to allow the courts to address the ongoing societal issues that bring families and defendants back to court repeatedly — issues such as substance abuse, domestic abuse, and the temporary placement of children in foster care — and to continue to provide tailored case processing to meet the needs of each case type.

The Judiciary's budget requests focus on innovation and problem solving, not simply processing cases. Problem-solving initiatives recognize that courts are in a unique position to use their authority to improve case outcomes for victims, defendants, litigants and communities. Problem-solving court programs feature intensive judicial supervision and the integration of treatment and other services into case resolution as a means of addressing the underlying social issues that return criminal defendants and families to court.

Included in this budget request are funds for targeted programs to address specific underlying social issues that contribute to crime and family distress. Among these are the Court Drug Treatment Programs, a comprehensive approach to provide court-mandated substance abuse treatment State-wide to non-violent offenders. Other problem-solving initiatives include programs addressing family justice, domestic violence, and community justice.

The courts' civil caseload, including matrimonial and commercial matters as well as personal injury cases, also is the focus of a targeted approach, with specialized parts, increased use of technology and specific case management initiatives used to resolve cases efficiently and appropriately.

#### ***Court Drug Treatment Programs***

Chief Judge Kaye and Chief Administrative Judge Lippman recently announced a comprehensive initiative to address the dramatic increase in the number of narcotics cases confronting New York's courts. In October 2000, Judge Joseph J. Traficanti, Jr., Deputy Chief Administrative Judge for Courts Outside of New York City, was named as the court system's first Statewide Director of Court Drug Treatment Programs.

The Programs' key features reflect recommendations made to Chief Judge Kaye by The Commission on Drugs and the Courts. The Commission studied the impact of drug cases on the courts, issuing a report in June 2000. In the report, the Commission called for a targeted, rigorous, and comprehensive substance abuse initiative to be used throughout the courts, including drug screening for criminal cases, court-mandated treatment for non-violent defendants and parents charged in Family Court child neglect cases, and the creation of specialized courts to target persistent misdemeanor offenders. As adopted by the Chief Judge and Chief Administrative Judge, this treatment-based approach will be integrated into all of the courts throughout the State over a three-year implementation period.

This budget request provides funding in the amount of \$13.1 million to support the ongoing and expanded services to establish the Drug Treatment Programs. Funds requested also support continuation and expansion of the 39 existing criminal and family treatment courts that will be in operation by the end of the current fiscal year. In a criminal drug 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. Family Courts also have successfully adopted the treatment court model for cases

involving neglect in which addiction is the underlying problem. Family Treatment Courts provide screening and assessment of parents with substance abuse problems, access to appropriate treatment and services and a system of sanctions to motivate compliance with court mandates. The budget seeks funds for new criminal and family treatment court programs and for new Criminal Court parts to provide enhanced screening and assessment of non-violent felony offenders and a program to address substance abuse problems of misdemeanants with a history of repeated arrests.

With the adoption of these groundbreaking programs for the assessment, screening and treatment of non-violent offenders and family treatment services throughout the State, New York will be the first State in the nation to take a system-wide approach to addressing the critical problem of drug abuse and its impact on the courts.

### ***Family Justice Program***

In the forefront of the court system's problem-solving programs are family justice initiatives intended to improve the delivery of services by focusing on specialized treatment and improved access to the courts. A total of \$9.2 million is included in the Judiciary's budget request for this purpose.

During the coming fiscal year, the court system will build upon its successful Family Court pilot initiatives, including model courts, which are designed to promote and expedite permanency for children, and the use of non-traditional hours of operation to ensure maximum access to the courts by the public. Funding is included in the Judiciary budget request to support expansion of these family-related initiatives to appropriate courts throughout the State.

Additionally, case management and technology improvements have been introduced to enhance the effectiveness of Family Courts including: a Special Victims Safety Check Unit with dedicated staff assigned to provide domestic violence and criminal history information in custody and visitation cases, child neglect and abuse cases, child guardianship cases, and family offense cases; and the development of a single Family Court case management system, which is currently being designed and implemented to take full advantage of the court system's State-wide CourtNet.

### ***Domestic Violence Program***

The court system's focus during the new fiscal year will include a comprehensive approach to domestic violence, with \$8.4 million included in the budget request for that purpose. Resolving domestic violence matters effectively often requires intensive court oversight to ensure that defendants comply with court mandates (orders of protection, conditions of bail, terms of probation) and that victims are protected. To accomplish this, specialized courts and court parts have been created to coordinate and monitor the responses of all the criminal justice and social service agencies involved in domestic violence matters.

The State's first Domestic Violence Court opened in Kings County Supreme Court in 1996. This felony domestic violence court expanded to two parts in October 1998. Specialized domestic violence parts also operate in the New York City Criminal Court city-wide. These parts combine the resources of all-purpose parts, trial parts and compliance parts devoted to misdemeanor domestic violence offenses and pre-indicted felony contempt cases based on the violation of orders of protection.

Model domestic violence court programs funded through federal Violence Against Women grants have been established, including the Bronx Domestic Violence Court (handling misdemeanors since June 1998 and felonies since October 1999), the Buffalo City Court (handling misdemeanors, opened March 1999), and the Westchester County

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Domestic Violence Court, which handles both felonies and misdemeanors in one courtroom (opened in March 1999). Successful Domestic Violence Courts also have opened in the Monroe County Family Court and the Suffolk County District Court.

During the coming fiscal year the court system will expand and enhance domestic violence case processing and services, including exploration of consolidating related domestic violence matters for a comprehensive approach by the courts.

### ***Community Justice Program***

The Judiciary's Community Courts have proven successful in addressing another justice problem — meeting the needs of communities affected by crime on the local level. The budget request includes \$5.5 million to support existing and expanded Community Court Programs. There currently are three community courts operating in New York City and a fourth community court is in Hempstead, Nassau County. The Midtown Community Court, the first community court in the State, provides on-site opportunities for community service and resources for defendants to end the cycle of criminal behavior. This court, which was independently evaluated and found to provide speedy and responsive justice to the local community, serves as a national model. The community-based court in the Red Hook Justice Center is an expansion of the initial court, which handles criminal matters only. Red Hook, in contrast, is a multi-jurisdictional court hearing criminal, family and housing matters and providing an array of services to restore community safety and quality of life. The Harlem Community Justice Center, which was developed to meet the unique needs of that community, offers a coordinated response to youth crime and housing issues. This budget supports these existing Community Court programs and seeks funds to develop new community courts in the New York City metropolitan area and upstate.

### ***Civil Justice***

The Judiciary's problem-solving approach to the millions of cases brought before the State courts includes the civil caseload. This approach — targeting case treatment to the specific needs of the case type — has led to new initiatives designed to resolve civil cases in a fair and expeditious manner, giving each case the attention it needs. The amount of \$12.7 million is included in the Judiciary's budget request to support the civil justice initiatives.

Specialized parts for specific case types have proven successful, including commercial parts, matrimonial parts, motor vehicle parts, and City parts for cases in which New York City is a defendant. The use of specialized parts will continue, with appropriate support. In matrimonial parts, for example, the addition of social workers to assist families in addressing related custody and visitation disputes has improved the quality and the timeliness of the case resolution. For commercial cases, the Commercial Division operates in New York, Erie, Monroe, Nassau and Westchester County Supreme Courts.

Personal injury and other civil cases have benefitted from the introduction of differentiated case management. This initiative allows the courts to categorize cases based on their complexity and establish appropriate time frames for completion of key events in the case process. Nonjudicial Case Managers oversee case tracking for Judges, allowing Judges to devote their time to case resolution.

The civil caseload also has felt the impact of automation, with the introduction of "e-courts." The e-courts program provides both the bench and the Bar with internet access to Supreme Court calendars, decisions, and future court appearances. It also allows for the filing of court papers over the internet — all electronically — in New York, Monroe and Westchester Counties.

**ACCESS TO JUSTICE**

The Judiciary continues to focus on efforts to improve public trust and confidence and has developed a statewide strategy to improve access to justice, including community outreach and education programs.

Community outreach has involved a series of outreach initiatives and educational efforts designed to inform the public about courts and foster partnerships between courts and local governments, communities and civic groups. These efforts have included media seminars conducted in New York City and each Judicial District outside New York City. Work is also underway on an education video that will be made available to schools and community groups and development of a curriculum package of educational tools to distribute to school districts throughout New York State. The outreach program has also included local actions including many successful community events that were held throughout the State at the Judicial District and County level. Such events, including Law Day ceremonies and Local Court Open House Days, are providing important opportunities to introduce the public to the courts and to build relationships with local officials. The court system also provides important facts and information to the public through its internet Website, [www.courts.state.ny.us](http://www.courts.state.ny.us). Website information includes background on the structure and operation of the New York State Courts and court forms, directories, publications and press releases.

Access to Justice and Community Outreach Initiatives will continue in the coming fiscal year and will be enhanced by additional services to self-represented litigants. Also, a two-day conference to provide a forum for facilitating development of collaborative approaches to the delivery of justice services is planned. The budget request also seeks seed funding for the Justice Access Board.

**OTHER INITIATIVES AND PROGRAMS**

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 priority initiatives described above — proposals for the Court Drug Treatment Programs, Family Court initiatives, expansion of the Domestic Violence Courts, Community Courts, Civil Justice, and strategies to improve public trust and confidence and access to the justice system — justice services continues other programs and initiatives designed to improve the court system for New Yorkers. These initiatives are briefly described below.

***Alternative Dispute Resolution Programs***

Among the Judiciary's priorities is the continuation and expansion of appropriate alternative methods of dispute resolution. The court system's Alternative Dispute Resolution (ADR) programs encompass a wide variety of processes and programs, including voluntary community and family dispute mediation, civil case early neutral evaluation, and neutral evaluation for matrimonial matters. Tailored to local needs and conditions, the various 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. This budget supports continuation of ADR initiatives and seeks funds to increase these services and to initiate new mini-grant programs.

***Center for Court Innovation***

The Center for Court Innovation is a unique public-private partnership created by the Unified Court System to foster innovation. Through the Center, the court system continues

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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 in the administration of justice, the Unified Court System was the recipient of an Innovations in Government award from the Ford Foundation and Harvard's Kennedy School of Government. The Center's first project, the Midtown Community Court, is the model for over 20 community courts currently being established nationwide. Because of its many accomplishments, the Center is often called upon to provide technical assistance to other States interested in court reform.

### ***Jury System Reforms***

Ongoing reforms to make jury duty as meaningful and productive as possible remain a high priority of the court system. In early 2001, the Unified Court System and the National Center for State Courts will host a ground-breaking jury summit in New York City. The jury summit is intended to bring together Judges, attorneys, court administrators, scholars and former jurors to help develop a better understanding of the jury system and plan for its continued improvement.

Other initiatives underway to enhance juror service include implementation of recommendations to improve the grand juror experience. The first step has been the undertaking of a series of voluntary pilot projects across the state to test the feasibility of reducing the grand jury term of service. Pilot projects for reduced terms of service are currently under way in cooperation with the District Attorneys of Albany, Kings, Monroe, Onondaga and Saratoga Counties. Also, to ensure that grand jurors understand their responsibilities, a grand jury handbook and orientation film are being developed and grand juror questionnaires are being produced.

Jury administration also continues to benefit from technology advancements such as automated juror status call-in systems, bar coded summonses, attendance scanning systems and one-step summoning. Public awareness efforts, including a new juror handbook and the availability of a toll-free telephone line to assist with questions and complaints regarding jury duty are another feature of New York's jury improvement effort.

The budget request of the Unified Court System seeks to maintain the momentum for reform through several continuing initiatives, as well as new efforts to reform the Grand Jury process.

### ***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. As a result of the program, the Court has dramatically increased its trial readiness, with cases being disposed of more quickly and with fewer court appearances.

### ***Court Technology***

Technology plays a key role in allowing the Judiciary to deal effectively and efficiently with its high-volume and complex caseload and enhances the court system's capacity to be accessible and responsive to the public. The court system relies on computer technology to perform a wide range of case management functions and for reporting case

disposition information to the Division of Criminal Justice Services (DCJS). Case management applications that are supported by centralized computer operations include the Criminal Records and Information Management System, Civil Case Information System, Jury Management System, and systems to support New York City Family and Housing Courts and the New York City County Clerks.

New applications and systems are also being developed by using CourtNet, the court system's internal intranet, which electronically connects Judges, court personnel and court system administrators across the State. CourtNet has over 11,000 users who can send and receive electronic mail and related documents and access the intranet web site and other network applications. As part of the CourtNet initiative, connectivity has been provided to 270 court locations throughout the State.

The court system's automation program also incorporates a number of multi-year projects to upgrade and modernize centralized computer operations and to develop a new universal case management application. The budget request reflects ongoing funding for these projects and 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 expansion and maintenance of CourtNet; continued development of the court system's Universal Case Management System to replace existing separate case processing applications; additional state-of-the-art technology courtroom sites, which feature realtime transcription and courtroom access to computerized case information, and technology to provide animated evidentiary presentations; ongoing replacement of desktop and laptop computers and file servers; 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. Funds are included for replacement of the antiquated court telephone system in the New York City Courts with modern equipment. New equipment funding is also proposed to provide the New York City Supreme and Criminal Courts with time-saving video arraignment capacity, including central office connections for video technology and equipment set ups for courtrooms and appearance rooms.

### ***Permanent Judicial Commission on Justice for Children***

The Permanent Judicial Commission on Justice for Children was created in 1988 to address the need for systematic change in the way Family Courts and the entire juvenile justice system affect children. 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 New York Court of Appeals has designated the Commission to spearhead New York's implementation of the federal Court Improvement Project. One of the Court Improvement Project's reform efforts was the implementation of Model Family Courts in New York and Erie Counties as pilots designed to promote and expedite permanency for children who are subjects of neglect and abuse proceedings. Such a focus is mandated by New York's enabling legislation for the federal Adoption and Safe Families Act.

The proposed budget continues funding for the Permanent Judicial Commission on Justice for Children. The budget request provides for staff support to the Commission and related expenses. The Commission's staff also oversees the administration of the courts' child care center 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.



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### ***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 justice system. The Commission is focusing on several issues, including the participation of minorities in the jury process, the number of minority Judges in the State courts, the awareness of the bench and Bar of alternatives to incarceration, and 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 courthouse has historically been a center of the community as well as a physical home for court functions. Unfortunately, financial and social stresses led many local governments to neglect these once-proud symbols of self-government and others to defer, delay and postpone needed facilities improvements. As a result, by the 1980s, the State faced a major facilities crisis. Across the state, court buildings were dilapidated, neglected and simply inadequate.

In 1987, the State responded by enacting the Court Facilities Act, which reaffirmed the principle that providing, maintaining and improving court facilities remained a local responsibility, while creating a capital planning process to ensure that needed improvements were made. The Act also provided technical assistance from the Office of Court Administration and the State Dormitory Authority and, for the first time, provided some State financial aid to local governments to meet this need.

The result has been a renaissance of court facilities across the State, involving 119 different local governments, and a total capital construction program of over \$3.5 billion. Across the State, dilapidated court buildings have been replaced with new court complexes, fully renovated historic court structures, and adaptive and imaginative efforts to reuse historic structures of various kinds to meet new court needs. Fifty-two cities and thirty-eight counties have substantially completed court renovation programs, while others are in the final stages of planning, design or construction of new and renovated facilities. In New York City, real progress is being made. A number of new buildings have already opened, including the award-winning new Queens Civil Courthouse, and more are in planning or about to begin construction, including two of the largest court complexes in North America: the new Bronx Criminal Court Complex and the new Brooklyn Criminal and Family Court Complex—two buildings which together will cost over one billion dollars.

The State's share of this massive \$3.5 billion effort is relatively small. Under the Act, as it has been amended over the last thirteen years, the State provides an interest subsidy, ranging from 33 percent to 25 percent of interest costs, to defray the cost of borrowing; 100 percent of the cost of cleaning court facilities and making minor repairs to them, and 100 percent of the costs of providing and maintaining facilities for the Appellate Division. As local governments have made the financial commitment needed to renew court facilities across the State, the State's contribution has risen from less than \$10 million in the first year of the program to over \$84 million in the coming year.

***Justice Court Assistance Program***

The Justice Court Assistance Program, enacted by the Legislature during the 1999 session, provides financial assistance to Town and Village Courts for various purposes, including automation, training for Judges and court staff, purchasing law books, and improving court access and the courtroom environment. Magistrates' Associations, which represent town and village Justices, are also eligible to apply for funds from this grant program 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. The grants being made under the program will supplement local funding to address specific needs, such as automation equipment and training of court personnel. This initiative is intended to increase the efficiency of town and village court operations and enhance the administration of justice on a local level. The budget request for the Judiciary continues funding for this program of grant assistance at the current year level.

***Criminal History Intensive Reconciliation Project***

The Criminal History Intensive Reconciliation Project is a comprehensive effort undertaken by the Unified Court System in conjunction with the Division of Criminal Justice Services (DCJS) to reconcile more than 1,000,000 unmatched criminal cases. As of Fall 2000, over 200,000 of these open arrests have been resolved using resources provided for this program in the current year. The court system currently maintains Criminal Record and Information System to record reportable criminal activities. This system receives automated arrest information from and provides disposition information to DCJS. The Town and Village Courts submit disposition information directly to DCJS.

Significant work still remains to be done to address unmatched cases. The court system seeks to increase the funds committed to this project and will support the efforts of DCJS to enhance resources to address these cases as well. The most intensive part of the project that remains to be completed involves data collection necessary at the individual court level. For 2001-02, funds are being requested to allow the UCS to hire full-time temporary staff to resolve remaining open cases.

***COURT SYSTEM WORKLOAD***

The court system is handling record level caseloads. In 1999, there were 3,324,595 new cases filed in the trial courts of the Unified Court System, excluding traffic and parking cases, an increase of over 621,950 cases or 23 percent since 1993. Based on data from the first three quarters of 2000, projections indicate continued caseload growth over the 1999 level.

Filings and dispositions in 1999, by case type, were as follows:

***Criminal Cases***

***Criminal Term of Supreme and County Courts***

- Filings - 55,425
- Dispositions - 59,899

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## Criminal Court of the City of New York

- Filings (arrest cases) - 363,080
- Dispositions (arrest cases) - 368,324
- Filings (summons cases) - 467,591
- Dispositions (summons cases) - 324,591

## City and District Courts Outside New York City

- Filings - 286,583
- Dispositions - 276,658

## Civil Cases

### Civil Term of Supreme Court

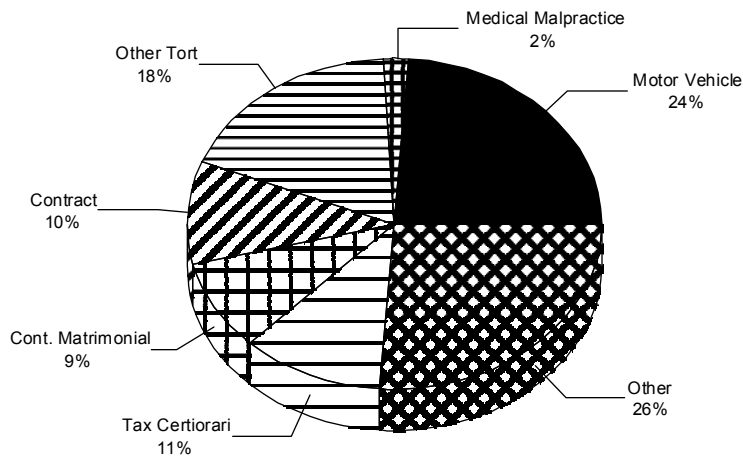
#### Civil Actions

- Filings - 399,827
- Dispositions - 428,516

#### Small Claims Assessment Review Program (SCAR)

- Filings - 53,276
- Dispositions - 53,268

**Supreme Civil New Case Filings  
By Case Type - 1999**



**Civil Court of the City of New York**

Civil Actions

- Filings - 208,008
- Dispositions - 117,636

Small Claims/Commercial Claims

- Filings - 50,250
- Dispositions - 52,169

Housing Court

- Filings - 327,513
- Dispositions - 284,425

**City and District Courts Outside New York City**

Civil Actions

- Filings - 109,612
- Dispositions - 96,249

Small Claims/Commercial Claims

- Filings - 54,212
- Dispositions - 55,717

Landlord/Tenant

- Filings - 71,511
- Dispositions - 72,228

**County Courts**

- Filings - 22,191
- Dispositions - 22,506

**Court of Claims**

- Filings - 2,297
- Dispositions - 2,637

**Arbitration Program**

- Filings - 8,214<sup>1</sup>
- Dispositions - 8,411

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<sup>1</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.

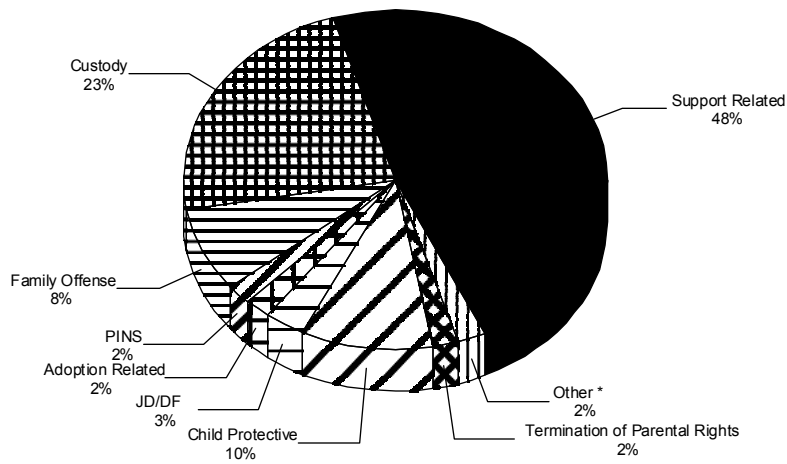
# JUDICIARY

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## Family Courts

- Filings - 689,749
- Dispositions - 681,650

**Family Court Filings  
By Case Type - 1999**



\* Includes Guardianship, Foster Care, Physically Handicapped, Consent to Marry, Other

## Surrogate's Courts

- Filings - 163,470
- Dispositions - 137,864

## **2001-02 JUDICIARY BUDGET REQUEST**

### **ANALYSIS OF CHANGE**

The Judiciary's 2001-02 Court and Agency Operations - General Fund base budget increase totals \$43.1 million. The chief components of the base change in the Court and Agency Operations- General Fund budget are:

- salary increases, increments and other collective bargaining increases to eligible nonjudicial employees as provided by collective bargaining contracts; \$48.3 million
- temporary service increases to support current usage; \$2.9 million
- funding to meet the full annual cost of new judgeships established during prior legislative sessions and made effective on January 1, 2001; \$.8 million
- a net increase of 14 certificated justices pursuant to section 115 of the Judiciary Law; \$2.0 million
- funding for the full annual cost of new nonjudicial positions approved by the Legislature in the current fiscal year; \$5.1 million
- funding associated with a study of the Unified Court System's nonjudicial classification structure; \$2.5 million
- personal service savings and other miscellaneous adjustments including annualized savings from the Early Retirement Incentive program and normal attrition; \$-2.2 million
- Law Guardian Program increases in Legal Aid contracts; \$1.6 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 research (CALR) usage; \$2.9 million
- contract security increase amounts necessary for annualization of contract staffing levels approved in 2000-01 and to pay for collective bargaining increases approved or anticipated to be approved by local governments; \$2.7 million
- license fees and related costs for new Universal Case Management System; \$1.5 million
- education and training costs to support current judicial education, nonjudicial training and Town and Village Courts Programs; \$.6 million
- expansion of the Criminal History Intensive Reconciliation Project; \$.3 million
- contractual services increases for the Community Dispute Resolution Program grants and court-based mediation programs to existing centers; \$.6 million
- costs related to conduct a new Court Security Title Examination including required physical and psychological testing; \$1.1 million
- an increase in jury meal and lodging costs and other jury initiatives; \$.6 million
- increased costs for Certificates of Participation (COPS) installment payments related to the COPS Automation initiatives; \$3.0 million
- costs associated with the contractual services operations of Community Courts; \$.3 million
- costs associated with Drug Treatment Program Courts for both personnel and contractual services; \$4.1 million
- cost savings and other miscellaneous adjustments; \$-.9 million
- non-recurring collective bargaining costs; \$-34.7 million

The Judiciary General Fund - Court and Agency Operations Budget includes \$4.8 million in 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, and the expansion and improvement of court security services. Funds requested in the Judiciary budget include:

**Additional Personnel:** Funds for 156 new personnel related to family justice and other court system initiatives and workload related staffing needs: \$1.9 million

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**Automation:** The request includes \$0.7 million in COPS financing for the continuation of Court System Automation Initiatives, and \$.4 million for Appellate Court and Auxiliary agency initiatives; \$1.1 million

**Court Security Enhancements:** A request is made for additional contractual security personnel \$.6 million; state-paid court officer positions (52; \$.5 million) are included in the 156 "additional personnel"

**Furnishing and Equipment:** A request is made for COPS financing to upgrade and replace badly deteriorated and new furnishings; \$.3 million

**Records Management:** Funding for records management projects in the trial courts; \$.5 million

**Access to Justice Board:** Funding for administrative expenses; \$.3 million

**Move from the AESOB :** Expenses associated with the move from the Alfred E. Smith Building; \$.1 million

***THE JUDICIARY BUDGET - 2001-02***

Following is the Summary of the 2001-02 fiscal requirements of the Judiciary as approved by the Court of Appeals and certified by Chief Judge Judith S. Kaye. Also included is a legislative bill copy and financial plan in support of the Judiciary's budget request.



# JUDICIARY

**Unified Court System  
2001-02 Budget Request  
All Funds Appropriation Requirements  
Major Purpose / Fund Summary**

<u>Catagory/Fund/Major Purpose</u>	<u>2000-2001 Available</u>	<u>2001-02 Requested</u>	<u>Change</u>
<b><u>Court &amp; Agency Operations:</u></b>			
<i>Courts of Original Jurisdiction</i>	1,038,603,820	1,109,684,769	71,080,949
<i>Court of Appeals</i>	11,740,625	12,725,244	984,619
<i>Appellate Court Operations</i>	53,829,279	56,399,653	2,570,374
<i>Appellate Auxiliary Operations</i>	69,771,837	72,790,540	3,018,703
<i>Administration &amp; General Support</i>	17,634,063	18,335,138	701,075
<i>Judiciary Wide Maintenance Undistributed</i>	40,790,736	10,262,685	(30,528,051)
<b><u>CT. &amp; AG. Operations-General Fund-Total</u></b>	<b>1,232,370,360</b>	<b>1,280,198,029</b>	<b>47,827,669</b>
<b><u>Special Revenue Fund-Federal</u></b>			
<i>Miscellaneous Federal Grants</i>	6,000,000	4,000,000	(2,000,000)
<b><u>Special Revenue Fund-Other</u></b>			
<i>New York City County Clerks Offset Fund</i>	16,422,401	16,906,225	483,824
<i>Data Processing Offset Fund</i>	9,547,555	10,243,971	696,416
<i>Miscellaneous Special Revenue Grants</i>	1,000,000	2,000,000	1,000,000
<i>Attorney Licensing Fund</i>	16,566,234	18,596,815	2,030,581
<i>Court Facilities Incentive Aid Fund</i>	1,514,246	2,405,105	890,859
<b><u>Court &amp; Agency-All Funds-Total</u></b>	<b>1,283,420,796</b>	<b>1,334,350,145</b>	<b>50,929,349</b>
<b><u>General State Charges</u></b>			
<i>General Fund</i>	196,782,322	211,788,132	15,005,810
<i>Lawyer's Fund-Client Protection</i>	98,000	98,000	0
<i>Attorney Licensing Fund</i>	1,939,244	2,086,627	147,383
<i>Court Facilities Incentive Aid Fund</i>	199,362	214,514	15,152
<i>Data Processing Offset Fund</i>	1,667,387	1,794,108	126,721
<i>New York City County Clerks Offset Fund</i>	2,374,214	2,554,654	180,440
<b><u>General State Charges - All Funds Total</u></b>	<b>203,060,529</b>	<b>218,536,035</b>	<b>15,475,506</b>
<b><u>Lawyer's Fund-Client Protection</u></b>			
<i>Lawyer's Fund Client Protection</i>	9,007,616	8,988,637	(18,979)
<b><u>Lawyer's Fund All Funds -Total</u></b>	<b>9,007,616</b>	<b>8,988,637</b>	<b>(18,979)</b>
<b><u>Aid to Localities</u></b>			
<i>General Fund-Courts of Original Jurisdiction</i>	775,000	500,000	(275,000)
<i>Court Facilities Incentive Aid Fund</i>	59,318,556	84,768,898	25,450,342
<b><u>Aid to Localities - All Funds -Total</u></b>	<b>60,093,556</b>	<b>85,268,898</b>	<b>25,175,342</b>
<b><u>Capital Projects</u></b>			
<i>Capital Construction - All Funds - Total</i>	7,775,000	35,825,000	28,050,000
<b><u>Capital Construction - All Funds - Total</u></b>	<b>7,775,000</b>	<b>35,825,000</b>	<b>28,050,000</b>

**Unified Court System  
2001-02 Budget Request  
All Funds Appropriation Requirements  
(Fund Detail)**

<u>Catagory/Fund/Major Purpose</u>	<u>2000-2001 Available</u>	<u>2001-02 Requested</u>	<u>Change</u>
<b><u>Court and Agency Operations:</u></b>			
Courts of Original Jurisdiction			
<i>General Fund</i>	1,038,603,820	1,109,684,769	71,080,949
<i>Special Revenue Funds</i>	33,076,921	33,581,122	504,201
<i>Total - All Funds</i>	1,071,680,741	1,143,265,891	71,585,150
Court of Appeals			
<i>General Fund</i>	11,740,625	12,725,244	984,619
<i>Special Revenue Funds</i>	0	0	0
<i>Total - All Funds</i>	11,740,625	12,725,244	984,619
Appellate Court Operations			
<i>General Fund</i>	53,829,279	56,399,653	2,570,374
<i>Special Revenue Funds</i>	0	0	0
<i>Total - All Funds</i>	53,829,279	56,399,653	2,570,374
Appellate Auxiliary Operations			
<i>General Fund</i>	69,771,837	72,790,540	3,018,703
<i>Special Revenue Funds</i>	14,870,714	15,662,359	791,645
<i>Total - All Funds</i>	84,642,551	88,452,899	3,810,348
Administration and General Support			
<i>General Fund</i>	17,634,063	18,335,138	701,075
<i>Special Revenue Funds</i>	2,161,453	2,741,318	579,865
<i>Total - All Funds</i>	19,795,516	21,076,456	1,280,940
Judiciary Wide Maintenance Undistributed			
<i>General Fund</i>	40,790,736	10,262,685	(30,528,051)
<i>Special Revenue Funds</i>	941,348	2,167,317	1,225,969
<i>Total - All Funds</i>	41,732,084	12,430,002	(29,302,082)
<b>Court &amp; Agency Operations -Total</b>			
<i>General Fund</i>	1,232,370,360	1,280,198,029	47,827,669
<i>Special Revenue Funds</i>	51,050,436	54,152,116	3,101,680
<i>Total - All Funds</i>	<b>1,283,420,796</b>	<b>1,334,350,145</b>	<b>50,929,349</b>
<b><u>General State Charges</u></b>			
<b><u>Employee Fringe Benefits</u></b>			
<i>General Fund</i>	196,782,322	211,788,132	15,005,810
<i>Special Revenue Funds</i>	6,278,207	6,747,903	469,696
<i>Total - All Funds</i>	<b>203,060,529</b>	<b>218,536,035</b>	<b>15,475,506</b>
<b><u>Lawyer's Fund for Client Protection</u></b>			
<i>General Fund</i>	0	0	0
<i>Special Revenue Funds</i>	9,007,616	8,988,637	(18,979)
<i>Total - All Funds</i>	<b>9,007,616</b>	<b>8,988,637</b>	<b>(18,979)</b>
<b><u>Aid to Localities</u></b>			
<i>General Fund</i>	775,000	500,000	(275,000)
<i>Special Revenue Funds</i>	59,318,556	84,768,898	25,450,342
<i>Total - All Funds</i>	<b>60,093,556</b>	<b>85,268,898</b>	<b>25,175,342</b>
<b><u>Capital Projects</u></b>			
<i>General Fund</i>	7,775,000	35,825,000	28,050,000
<i>Special Revenue Funds</i>	0	0	0
<i>Total - All Funds</i>	<b>7,775,000</b>	<b>35,825,000</b>	<b>28,050,000</b>

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**Unified Court System  
2001-2002 Budget Request  
All Funds Disbursement Requirements**

<u>Category / Fund</u>	<u>2000 - 2001 Projected</u>	<u>2001 - 2002 Projected</u>	<u>Change</u>
<b>Court &amp; Agency Operations:</b>			
<b>General Fund</b>	1,233,387,831	1,264,657,484	31,269,653
<b>Special Revenue Federal</b>			
Miscellaneous Federal Grants	3,643,344	3,820,000	176,656
<b>Special Revenue Funds - Other</b>			
NYC County Clerks' Operations Offset Fund	16,379,104	16,912,301	533,197
Judiciary Data Processing Offset Fund	9,285,405	9,798,493	513,088
Miscellaneous Special Revenue	110,940	110,940	0
Attorney Licensing Fund	17,494,148	19,320,839	1,826,691
Court Facilities Incentive Aid Fund	1,499,000	1,994,312	495,312
<b>Court &amp; Agency Operations - All Funds Total</b>	<b>1,281,799,772</b>	<b>1,316,614,369</b>	<b>34,814,597</b>
<b>General State Charges</b>			
General Fund	193,205,423	211,488,015	18,282,593
Lawyers' Fund for Client Protection	98,000	98,000	0
Attorney Licensing Fund	1,939,244	2,086,627	147,383
Court Facilities Incentive Aid Fund	199,362	214,514	15,152
Judiciary Data Processing Offset Fund	1,543,877	1,667,387	123,510
NYC County Clerks' Operations Offset Fund	2,374,214	2,554,654	180,440
<b>General State Charges - All Funds Total</b>	<b>199,360,120</b>	<b>218,109,197</b>	<b>18,749,078</b>
<b>Lawyers' Fund for Client Protection</b>			
Lawyers' Fund for Client Protection	9,708,453	8,828,000	(880,453)
<b>Lawyers' Fund for Client Protection - Total</b>	<b>9,708,453</b>	<b>8,828,000</b>	<b>(880,453)</b>
<b>Aid to Localities</b>			
General Fund - Courts of Original Jurisdiction	775,000	500,000	(275,000)
Court Facilities Incentive Aid Fund	61,715,000	82,200,000	20,485,000
<b>Aid to Localities - All Funds Total</b>	<b>62,490,000</b>	<b>82,700,000</b>	<b>20,210,000</b>
<b>Capital Projects</b>			
Courthouse Improvements	1,778,274	17,928,685	16,150,411
<b>Capital Construction - All Funds Total</b>	<b>1,778,274</b>	<b>17,928,685</b>	<b>16,150,411</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 \$206,735,159 for fiscal year 2001-02 for the Legislature represents a modest increase of \$8,065,314 or 4.06 percent above the amount appropriated for FY 2000-2001. The Legislature's budget request for FY 2001-02 represents an overall increase of 12.72 percent over the past eleven years. Over this same period, the Consumer Price Index will have increased by 35.7 percent.

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## **Legislative Budget Summary General Fund Appropriations**

<b><u>Entity</u></b>	<b><u>Available FY 00-01</u></b>	<b><u>Recommended FY 01-02</u></b>	<b><u>Change</u></b>
Lt. Governor	\$285,989	\$285,989	\$0
Senate	\$78,666,501	\$81,813,161	+\$3,146,660
Assembly	\$93,492,920	\$97,232,637	+\$3,739,717
Fiscal Committees	\$10,337,164	\$10,750,652	+\$413,488
Joint Legislative Entities	\$15,887,271	\$16,652,720	+\$765,449
<b>LEGISLATURE TOTAL</b>	<b>\$198,669,845</b>	<b>\$206,735,159</b>	<b>+\$8,065,314</b>

## **Legislative Budget History Fiscal Year 1990-91 to 2001-02 General Fund Appropriations**

<b><u>FY 90-91 Approp.</u></b>	<b><u>FY 00-01 Approp.</u></b>	<b><u>FY 01-02 Recommended</u></b>	<b><u>Change from FY 00-01 Approp. (%)</u></b>	<b><u>Change from FY 90-91 Approp. (%)</u></b>
\$183,405,313	\$198,669,845	\$206,735,159	+\$8,065,314 (+4.06%)	+\$23,329,846 (+12.72%)

## **Legislative Budget General Fund Appropriations Comparison to Consumer Price Index Fiscal Year 1990-91 through Fiscal Year 2001-2002**

	<b><u>FY 1990-91</u></b>	<b><u>FY 2000-01</u></b>	<b><u>FY 2001-02</u></b>	<b><u>% Change 90-91 to 01-02</u></b>
Legislative Budget	\$183,405,313	\$198,669,845	\$206,735,159	12.72%
Consumer Price Index	138.5	182.6*	187.9*	35.7%

\* estimated

The recommended Special Revenue Fund-Other appropriation of \$1,600,000 for FY 2001-02 represents no change from the amount appropriated for FY 2000-01. No tax revenues are required for Special Revenue Funds.

The recommended Grants and Bequests Fund appropriation of \$500,000 for FY 2001-02 represents no change from the amount appropriated for FY 2000-01. 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 2001-02 for the Lieutenant Governor represents no change from the amount appropriated for FY 2000-01.

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**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 \$81,813,161 for FY 2001-02 represents a modest 4.0 percent increase. The \$3,146,660 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, the expected postal rate increases 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 \$10,948,694 or 15.45 percent from the \$70,864,467 appropriated in FY 1990-91. Over the same eleven year period, the consumer price index has increased by 35.7 percent.

In the past six years, the Senate has reduced its staff by 336 employees or 18.4 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

## **LEGISLATURE**

each Member. The Senate has also granted an across-the-board cost-of-living increase for its staff in only six of the past eleven 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 2001-02  
General Fund Appropriations**

	<b>FY 90-91 <u>Approp.</u></b>	<b>FY 00-01 <u>Available</u></b>	<b>FY 01-02 <u>Recommended</u></b>	<b>Change from FY 00-01 (%)</b>	<b>Change from FY 90-91 (%)</b>
Senate Budget	\$67,238,167	\$78,666,501	\$81,813,161		
Senate Commissions	\$3,626,300	\$0	\$0		
<b>TOTAL</b>	<b>\$70,864,467</b>	<b>\$78,666,501</b>	<b>\$81,813,161</b>	<b>+\$3,146,660 (+4.0%)</b>	<b>+\$10,948,694 (+15.45%)</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 2001-02 of \$97,232,637 represents an increase of \$3,739,717 above the amount appropriated for FY 2000-01. This increase of 4.0 percent is required to fund anticipated increases in staff salaries and for other anticipated increases in nonpersonal services expenditures.

Over the past eleven years, as detailed below, the Assembly's budget (including Assembly Commissions for which funding was eliminated in FY 1995-96) has increased by 15.3 percent, while over the same period, the Consumer Price Index has increased by 35.7 percent. The Assembly has been able to keep its spending over the past eleven 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 2001-2002  
General Fund Appropriations**

	<u>FY 90-91 Approp.</u>	<u>FY 00-01 Available</u>	<u>FY 01-02 Recommended</u>	<u>Change from FY 00-01 (%)</u>	<u>Change from FY 90-91 (%)</u>
Assembly Budget	\$80,732,868	\$93,492,920	\$97,232,637		
Assembly Commissions	\$3,569,700	\$0	\$0		
<b>TOTAL</b>	<b>\$84,302,568</b>	<b>\$93,492,920</b>	<b>\$97,232,637</b>	<b>+\$3,739,717 (+4.0%)</b>	<b>+\$12,930,069 (+15.3%)</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.



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### ***BUDGET HIGHLIGHTS***

The recommended appropriation of \$5,375,326 for fiscal year 2001-02 for both the Senate Finance Committee and the Assembly Ways and Means Committee represents an increase of \$206,744 above the amount appropriated for FY 2000-2001.

## ***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 2001-02 for the Legislative Ethics Committee represents no change from the amount appropriated for FY 2000-01.

### ***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 \$184,369 for FY 2001-02 for the Legislative Health Service represents an increase of \$7,092 above the amount appropriated for FY 2000-01.

### ***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 \$763,375 for FY 2001-02 for the Legislative Library represents an increase of \$29,361 from the amount appropriated for FY 2000-01.

**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 \$709,819 for FY 2001-02 represents an increase of \$27,301 above the amount appropriated for FY 2000-2001.

**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 \$12,157,549 for fiscal year 2001-02 for the Legislative Bill Drafting Commission represents an increase of \$467,598 above the amount appropriated for FY 2000-01, which is required for anticipated increases in funding requirements.

An appropriation of \$1,500,000 for FY 2001-02 is recommended for the Legislative Computer Services Fund. This recommended appropriation represents no change from the amount appropriated for FY 2000-01. 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

## ***LEGISLATURE***

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decennial 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 \$2,183,166 for fiscal year 2001-02 for the Legislative Task Force on Demographic Research and Reapportionment represents an increase of \$226,276 above the amount available for FY 2000-01. This increase is required for the acquisition of computer equipment, additional staffing and other costs associated with 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 \$284,442 for fiscal year 2001-02 for the National Conference of State Legislatures dues represents an increase of \$7,821 above the amount appropriated for FY 2000-01.

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## ALL FUNDS REQUIREMENTS FOR THE LEGISLATURE

<u>FUND/ENTITY/MAJOR PURPOSE</u>	<u>AVAILABLE 2000-01</u>	<u>RECOMMENDED 2001-02</u>	<u>CHANGE</u>
Lt. Governor	\$285,989	\$285,989	\$0
Senate	78,666,501	81,813,161	3,146,660
Assembly	93,492,920	97,232,637	3,739,717
Senate Finance Committee	5,168,582	5,375,326	206,744
Assembly Ways and Means Committee	5,168,582	5,375,326	206,744
Joint Entities:			
Legislative Ethics Commission	370,000	370,000	0
National Conference of State Legislatures Dues	276,621	284,442	7,821
Legislative Health Service	177,277	184,369	7,092
Legislative Library	734,014	763,375	29,361
Legislative Messenger Service	682,518	709,819	27,301
Legislative Bill Drafting Commission	11,689,951	12,157,549	467,598
Legislative Task Force on Demographic Research and Reapportionment	1,956,890	2,183,166	226,276
<b>Joint Entities Total</b>	<b><u>\$15,887,271</u></b>	<b><u>\$16,652,720</u></b>	<b><u>\$765,449</u></b>
<b>GENERAL FUND TOTAL</b>	<b>\$198,669,846</b>	<b>\$206,735,159</b>	<b>\$8,065,314</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>

# **LEGISLATURE**

## **SCHEDULE OF APPROPRIATIONS**

<u>Title of Appropriation</u>	<u>Appropriated for 2000-01</u>	<u>Requested for 2001-2002</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, 2001) . . .	<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 .....	\$9,041,221	\$9,357,564	\$316,343
For personal service of employees and for temporary and expert services of members' offices and of standing committees .....	\$27,443,584	\$28,403,909	\$960,325
For personal service of employees and for temporary and expert services for administrative support operations .	\$13,399,422	\$13,868,306	\$468,884
For personal service of employees and for temporary and expert services for the senate student program office .	\$449,532	\$465,266	\$15,734
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 .....	\$56,746,875	\$58,508,161	\$1,761,286

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<u>Title of Appropriation</u>	<u>Appropriated for 2000-01</u>	<u>Requested for 2001-2002</u>	<u>Change</u>
<b>Nonpersonal Service</b>			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 2001)			
Non-employee services .....	\$354,626	\$375,000	\$20,374
Supplies and Materials .....	\$2,250,000	\$2,400,000	\$150,000
Travel .....	\$1,350,000	\$1,425,000	\$75,000
Rentals .....	\$1,450,000	\$1,550,000	\$100,000
Equipment maintenance and repairs .....	\$1,500,000	\$1,600,000	\$100,000
Office and space leases .....	\$3,200,000	\$3,400,000	\$200,000
Utilities .....	\$900,000	\$950,000	\$50,000
Postage and shipping .....	\$3,600,000	\$4,000,000	\$400,000
Printing .....	\$310,000	\$330,000	\$20,000
Telephone and telegraph .....	\$2,580,000	\$2,625,000	\$45,000
Miscellaneous contractual services .....	\$425,000	\$450,000	\$25,000
Equipment .....	<u>\$3,000,000</u>	<u>\$3,200,000</u>	<u>\$200,000</u>
Total Nonpersonal Service .....	\$20,919,626	\$22,305,000	\$1,385,374
<b>Maintenance Undistributed</b>			
For services and expenses, including travel outside the state .....	<u>\$1,000,000</u>	<u>\$1,000,000</u>	<u>\$0</u>
Grand Total--The Senate .....	<u>\$78,666,501</u>	<u>\$81,813,161</u>	<u>\$3,146,660</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 .....	\$26,545,296	\$27,474,381	\$929,085
For personal service of employees and for temporary and expert services for administrative and program support operations .....	\$30,174,148	\$31,230,243	\$1,056,095

# **LEGISLATURE**

<u>Title of Appropriation</u>	<u>Appropriated for 2000-01</u>	<u>Requested for 2001-2002</u>	<u>Change</u>
For the Assembly Intern and Youth Participation Program for personal service of employees and for temporary and expert services .....	<u>\$747,976</u>	<u>\$777,976</u>	<u>\$30,000</u>
 Total Personal Service .....	 \$70,984,920	 \$73,000,100	 \$2,015,180
 <b>Nonpersonal Service</b>			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 2001)			
Non-employee services .....	\$65,000	\$65,000	\$0
Supplies and Materials .....	\$2,312,000	\$2,400,000	\$88,000
Travel .....	\$2,526,000	\$2,630,000	\$104,000
Rentals .....	\$1,255,000	\$1,255,000	\$0
Equipment maintenance and repairs .....	\$1,470,000	\$1,470,000	\$0
Office and space leases .....	\$4,632,000	\$4,850,000	\$218,000
Utilities .....	\$670,000	\$700,000	\$30,000
Postage and shipping .....	\$3,500,000	\$4,200,000	\$700,000
Printing .....	\$113,000	\$113,000	\$0
Telephone and telegraph .....	\$2,490,000	\$2,600,000	\$110,000
Miscellaneous contractual services .....	\$673,000	\$673,000	\$0
Equipment .....	<u>\$1,400,000</u>	<u>\$1,800,000</u>	<u>\$400,000</u>
 Total Nonpersonal Service .....	 \$21,106,000	 \$22,756,000	 \$1,650,000
 <b>Maintenance Undistributed</b>			
For services and expenses, including travel outside the state .....	<u>\$1,402,000</u>	<u>\$1,476,537</u>	<u>\$74,537</u>
 Grand Total--The Assembly .....	 <u>\$93,492,920</u>	 <u>\$97,232,637</u>	 <u>\$3,739,717</u>

## **SENATE FINANCE COMMITTEE**

For personal service, temporary and special services (including liabilities incurred prior to April 1, 2001) . . .	\$5,168,582	\$5,375,326	\$206,744
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## **ASSEMBLY WAYS & MEANS COMMITTEE**

For personal service, temporary and special services (including liabilities incurred prior to April 1, 2001) . . .	\$5,168,582	\$5,375,326	\$206,744
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# LEGISLATURE

<u>Title of Appropriation</u>	<u>Appropriated for 2000-01</u>	<u>Requested for 2001-2002</u>	<u>Change</u>
<b><u>SENATE AND ASSEMBLY JOINT ENTITIES</u></b>			
<b>LEGISLATIVE ETHICS COMMITTEE</b>			
For services and expenses of the legislative ethics committee pursuant to section 80 of the legislative law .....	\$370,000	\$370,000	\$0
<b>NATIONAL CONFERENCE OF STATE LEGISLATURES</b>			
For a contribution to the National Conference of State Legislatures .....	\$276,621	\$284,442	\$7,821
<b>LEGISLATIVE HEALTH SERVICE</b>			
For services and expenses for the operation of the legislative health service .....	\$177,277	\$184,369	\$7,092
<b>LEGISLATIVE LIBRARY</b>			
For services and expenses and for temporary and special services for the operation of the legislative library ...	\$734,014	\$763,375	\$29,361
<b>LEGISLATIVE MESSENGER SERVICE</b>			
For services and expenses for the operation of the legislative messenger service .....	\$682,518	\$709,819	\$27,301
<b>LEGISLATIVE BILL DRAFTING COMMISSION</b>			
For services and expenses, temporary and special services, and for expenses of maintenance and operation			
<b>Schedule</b>			
Personal Service-Regular & Temporary .....	\$7,720,879	\$8,006,500	\$285,621
Nonpersonal Service .....	\$3,870,818	\$4,014,018	\$143,200
Legislative Digest Contract Administration .....	\$244,593	\$253,642	\$9,049
Legislative Printing Contract Administration .....	<u>\$803,661</u>	<u>\$833,389</u>	<u>\$29,728</u>
Total .....	\$12,639,951	\$13,107,549	\$467,598
Less Transfer from Legislative Computer Services Fund .....	<u>(\$950,000)</u>	<u>(\$950,000)</u>	<u>\$0</u>
Total available .....	<u>\$11,689,951</u>	<u>\$12,157,549</u>	<u>\$467,598</u>
<b>LEG. TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT</b>			
<b>Maintenance Undistributed</b>			
For services and expenses (including liabilities incurred prior to April 1, 2001) of the task force for senate purposes .....	\$328,445	\$341,583	\$13,138



# **LEGISLATURE**

<u>Title of Appropriation</u>	<u>Appropriated for 2000-01</u>	<u>Requested for 2001-2002</u>	<u>Change</u>
For services and expenses (including liabilities incurred prior to April 1, 2001) of the task force for assembly purposes .....	\$328,445	\$341,583	\$13,138
For services and expenses (including liabilities incurred prior to April 1, 2001) of the task force for joint operations .....	<u>\$1,300,000</u>	<u>\$1,500,000</u>	<u>\$200,000</u>
Amount available .....	<u>\$1,956,890</u>	<u>\$2,183,166</u>	<u>\$226,276</u>
 Grand Total--Senate and Assembly Joint Entities .....	 <u>\$15,887,271</u>	 <u>\$16,652,720</u>	 <u>\$765,449</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
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**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
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**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
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**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
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**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
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# ***PART IV***

## ***SUMMARY OF APPROPRIATIONS***



# SUMMARY OF APPROPRIATIONS

ALL FUNDS  
RECOMMENDED 2001-02  
COMPARED TO 2000-01 AVAILABLE  
(dollars)

	Available 2000-01	State Operations Recom- mended 2001-02	Aid to Localities Recom- mended 2001-02	Capital Projects Recom- mended 2001-02	Total Recom- mended 2001-02	Change From 2000-01
Adirondack Park Agency	4,365,700	4,295,000	50,000	0	4,345,000	(20,700)
Advocate for Persons with Disabilities, Office of	1,721,000	1,590,000	0	0	1,590,000	(131,000)
Aging, Office for the	189,695,102	13,946,000	167,562,000	0	181,508,000	(8,187,102)
Agriculture and Markets, Department of	118,430,600	87,789,200	22,450,200	2,600,000	112,839,400	(5,591,200)
Alcoholic Beverage Control, Division of	14,300,900	13,664,000	0	0	13,664,000	(636,900)
Arts, Council on the	75,577,700	28,300,400	44,335,000	0	72,635,400	(2,942,300)
Audit and Control, Department of	193,996,100	199,686,400	20,902,000	0	220,588,400	26,592,300
Banking Department	66,936,500	67,263,000	0	0	67,263,000	326,500
Budget, Division of the	42,781,000	41,031,000	0	0	41,031,000	(1,750,000)
Capital Defender Office	15,546,500	14,706,000	0	0	14,706,000	(840,500)
Children and Families, Council on	2,965,000	2,913,000	0	0	2,913,000	(52,000)
Children and Family Services Office of	3,401,652,869	464,571,000	2,830,032,000	94,700,000	3,389,303,000	(12,349,869)
City University of New York	1,846,625,000	1,117,468,000	752,408,000	0	1,869,876,000	23,251,000
Civil Service, Department of	72,096,500	75,853,800	0	0	75,853,800	3,757,300
Consumer Protection Board, State	2,947,300	2,685,000	0	0	2,685,000	(262,300)
Correction, Commission of	2,511,000	2,558,100	0	0	2,558,100	47,100
Correctional Services, Department of	2,307,962,100	2,035,707,700	21,537,000	235,000,000	2,292,244,700	(15,717,400)
Crime Victims Board	56,277,300	5,523,900	55,089,000	0	60,612,900	4,335,600
Criminal Justice Services, Division of	231,785,515	92,114,700	108,920,500	0	201,035,200	(30,750,315)
Developmental Disabilities Planning Council	4,336,000	4,300,000	0	0	4,300,000	(36,000)
Economic Development, Department of	65,790,250	44,139,900	11,974,000	0	56,113,900	(9,676,350)
Education Department, State	19,107,916,285	331,464,300	20,291,155,800	4,000,000	20,626,620,100	1,518,703,815
Elections, State Board of	3,338,100	3,625,000	0	0	3,625,000	286,900
Empire State Development Corporation	230,858,100	0	143,604,100	100,000,000	243,604,100	12,746,000
Employee Relations, Office of	6,863,900	6,900,000	0	0	6,900,000	36,100
Energy Research and Development Authority, New York State	32,373,000	16,556,000	0	15,367,000	31,923,000	(450,000)
Environmental Conservation, Department of	1,005,775,218	411,005,000	4,813,300	643,898,000	1,059,716,300	53,941,082
Environmental Facilities Corporation	7,938,600	8,253,200	0	6,542,000	14,795,200	6,856,600
Executive Chamber	17,028,400	18,255,000	0	0	18,255,000	1,226,600
General Services, Office of	439,040,100	409,256,600	0	122,200,000	531,456,600	92,416,500
Health, Department of	29,158,323,093	3,975,558,000	27,585,333,000	115,259,000	31,676,150,000	2,517,826,907
Higher Education Services Corporation, New York State	778,685,000	98,262,000	682,348,000	0	780,610,000	1,925,000
Housing and Community Renewal, Division of	365,957,149	87,819,200	152,983,000	100,200,000	341,002,200	(24,954,949)
Housing Finance Agency	1,700,000	0	700,000	0	700,000	(1,000,000)
Mortgage Agency, State of New York	172,781,000	76,800,000	93,791,100	0	170,591,100	(2,189,900)
Hudson River Park Trust	65,000,000	0	0	20,000,000	20,000,000	(45,000,000)
Human Rights, Division of	15,023,000	16,129,000	0	0	16,129,000	1,106,000
Inspector General, Office of the	6,496,600	6,417,000	0	0	6,417,000	(79,600)
Insurance Department	108,432,200	117,288,000	0	0	117,288,000	8,855,800
Interest on Lawyer Account	16,140,000	1,443,000	14,950,000	0	16,393,000	253,000
Investigation, Temporary State Commission of Judicial Commissions	3,164,000 2,264,500	3,121,000 2,280,000	0 0	0 0	3,121,000 2,280,000	(43,000) 15,500
Labor, Department of	3,552,592,200	3,119,275,400	341,563,900	0	3,460,839,300	(91,752,900)
Law, Department of	166,143,800	175,187,000	0	0	175,187,000	9,043,200
Lieutenant Governor, Office of the	519,200	523,000	0	0	523,000	3,800
Lobbying, Temporary State Commission on	1,199,000	1,330,000	0	0	1,330,000	131,000
Lottery, Division of the	112,284,400	115,418,000	0	0	115,418,000	3,133,600
Mental Hygiene, Department of	0	17,200,000	0	0	17,200,000	17,200,000
Mental Health, Office of	2,050,014,650	1,148,262,000	839,317,000	174,735,000	2,162,314,000	112,299,350
Mental Retardation and Developmental Disabilities, Office of	2,253,627,684	1,140,152,000	1,163,599,000	92,836,000	2,396,587,000	142,959,316
Alcoholism and Substance Abuse Services, Office of	505,077,781	70,432,000	394,497,000	30,940,000	495,869,000	(9,208,781)
Metropolitan Transportation Authority	711,397,000	0	437,600,000	0	437,600,000	(273,797,000)
Military and Naval Affairs, Division of	74,081,450	58,533,100	7,150,000	9,725,000	75,408,100	1,326,650
Motor Vehicles, Department of	226,713,600	220,219,100	10,920,000	0	231,139,100	4,425,500
Olympic Regional Development Authority	7,902,000	8,354,000	0	0	8,354,000	452,000
Parks, Recreation and Historic Preservation, Office of	255,183,045	157,159,200	34,722,000	49,682,000	241,563,200	(13,619,845)
Parole, Division of	202,685,500	153,632,000	48,924,000	0	202,556,000	(129,500)
Prevention of Domestic Violence, Office for Probation and Correctional Alternatives, Division of	2,678,000 91,656,300	1,967,600 2,774,400	755,000 87,350,500	0 0	2,722,600 90,124,900	44,600 (1,531,400)

# SUMMARY OF APPROPRIATIONS

## ALL FUNDS RECOMMENDED 2001-02 COMPARED TO 2000-01 AVAILABLE (dollars)

	Available 2000-01	State Operations Recommended 2001-02	Aid to Localities Recommended 2001-02	Capital Projects Recommended 2001-02	Total Recommended 2001-02	Change From 2000-01
Public Employment Relations Board	4,058,000	4,014,000	0	0	4,014,000	(44,000)
Public Service Department	69,601,300	65,399,000	400,000	0	65,799,000	(3,802,300)
Quality of Care for the Mentally Disabled, Commission on	10,253,000	10,595,000	468,000	0	11,063,000	810,000
Racing and Wagering Board, State	15,413,300	14,739,000	0	0	14,739,000	(674,300)
Real Property Services, Office of	58,060,400	43,501,000	26,000,000	0	69,501,000	11,440,600
Regulatory Reform, Governor's Office of	3,300,300	4,093,000	0	0	4,093,000	792,700
Science, Technology and Academic Research, Office of	91,125,000	4,100,000	54,270,000	0	58,370,000	(32,755,000)
State, Department of	142,386,648	57,277,500	52,950,000	340,000	110,567,500	(31,819,148)
State Police, Division of	372,139,400	382,978,000	0	4,500,000	387,478,000	15,338,600
State University of New York	4,010,116,000	3,860,063,000	328,485,000	185,000,000	4,373,548,000	363,432,000
State University Construction Fund	10,826,000	10,900,000	0	0	10,900,000	74,000
Taxation and Finance, Department of	407,378,000	412,479,000	750,000	0	413,229,000	5,851,000
Tax Appeals, Division of	3,407,000	3,454,000	0	0	3,454,000	47,000
Temporary and Disability Assistance, Office of	4,715,183,500	531,683,000	4,307,792,000	0	4,839,475,000	124,291,500
Technology, Office for	216,076,300	271,409,000	0	0	271,409,000	55,332,700
Thruway Authority, New York State	2,000,000	0	0	2,000,000	2,000,000	0
Transportation, Department of	9,884,793,075	50,237,000	1,738,446,000	3,874,462,000	5,663,145,000	(4,221,648,075)
Veterans Affairs, Division of	14,138,700	7,345,000	4,125,000	0	11,470,000	(2,668,700)
Welfare Inspector General, Office of	951,000	1,021,000	0	0	1,021,000	70,000
Workers Compensation Board	156,282,400	159,724,400	0	0	159,724,400	3,442,000
Subtotal	<u>90,664,643,114</u>	<u>22,195,969,100</u>	<u>62,885,022,400</u>	<u>5,883,986,000</u>	<u>90,964,977,500</u>	<u>300,334,386</u>
Miscellaneous--All State Departments and Agencies						
Miscellaneous - Strategic Investment Program	225,000,000	0	0	0	0	(225,000,000)
Cash Management Improvement Act	0	15,000,000	0	0	15,000,000	15,000,000
Collective Bargaining Agreements	77,858,750	37,414,700	0	0	37,414,700	(40,444,050)
Deferred Compensation Board	650,000	681,000	0	0	681,000	31,000
Development Authority of the North Country	330,000	0	0	0	0	(330,000)
Emergency Highway Construction and Reconstruction	301,000,000	0	326,000,000	0	326,000,000	25,000,000
Emergency Highway Reconditioning and Preservation	233,600,000	0	258,600,000	0	258,600,000	25,000,000
General State Charges	2,183,932,400	2,253,572,200	0	0	2,253,572,200	69,639,800
Governmental Accounting Standards Board	0	2,500,000	0	0	2,500,000	2,500,000
Green Thumb	2,394,000	2,394,000	0	0	2,394,000	0
Greenway Heritage Conservancy for the Hudson River Valley	422,000	304,000	0	0	304,000	(118,000)
Health Insurance Contingency Reserve	280,100,000	333,800,000	0	0	333,800,000	53,700,000
Health Insurance Reserve Receipts Fund	74,650,000	78,300,000	0	0	78,300,000	3,650,000
Higher Education - Miscellaneous	20,801,000	568,000	0	0	568,000	(20,233,000)
Hudson River Valley Greenway Communities Council	454,400	376,000	454,000	0	830,000	375,600
Insurance and Securities Funds Reserve Guarantee	1,672,000,000	1,672,000,000	0	0	1,672,000,000	0
Local Government Assistance	25,169,650,299	3,008,000	25,269,974,002	0	25,272,982,002	103,331,703
Miscellaneous Guarantee Appropriations	917,457,600	972,505,000	0	0	972,505,000	55,047,400
Municipal/NFP Services and Expenses	1,900,000	0	0	0	0	(1,900,000)
National and Community Service	30,053,000	30,332,000	0	0	30,332,000	279,000
Northeastern Queens Nature and Historical Preserve Commission	86,000	88,000	0	0	88,000	2,000
Petroleum Storage Tanks - COPs Repayment	4,365,000	3,800,000	0	0	3,800,000	(565,000)
Reserve for Federal Audit Disallowances	50,000,000	50,000,000	0	0	50,000,000	0
Services, Expenses or Grants	4,000,000	0	0	0	0	(4,000,000)
Statewide Energy Improvement	1,500,000	1,900,000	0	0	1,900,000	400,000
Statewide Wireless Network	10,000,000	25,473,000	0	0	25,473,000	15,473,000
Workers Compensation Reserve	43,128,000	37,200,000	0	0	37,200,000	(5,928,000)
Special Pay Bill	49,875,400	0	0	0	0	(49,875,400)
Subtotal	<u>31,355,207,849</u>	<u>5,521,215,900</u>	<u>25,855,028,002</u>	<u>0</u>	<u>31,376,243,902</u>	<u>21,036,053</u>
Judiciary	1,563,357,497	1,561,874,817	85,268,898	35,825,000	1,682,968,715	119,611,218
Legislature	200,769,845	208,835,159	0	0	208,835,159	8,065,314
Subtotal	<u>1,764,127,342</u>	<u>1,770,709,976</u>	<u>85,268,898</u>	<u>35,825,000</u>	<u>1,891,803,874</u>	<u>127,676,532</u>
Debt Reduction Reserve Fund	<u>500,000,000</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>(500,000,000)</u>
Total	<u>124,283,978,305</u>	<u>29,487,894,976</u>	<u>88,825,319,300</u>	<u>5,919,811,000</u>	<u>124,233,025,276</u>	<u>(50,953,029)</u>

## SUMMARY OF APPROPRIATIONS

ALL FUNDS  
RECOMMENDED 2001-02  
COMPARED TO 2000-01 AVAILABLE  
(dollars)

	<u>Available</u> <u>2000-01</u>	<u>State</u> <u>Operations</u> <u>Recom-</u> <u>mended</u> <u>2001-02</u>	<u>Aid to</u> <u>Localities</u> <u>Recom-</u> <u>mended</u> <u>2001-02</u>	<u>Capital</u> <u>Projects</u> <u>Recom-</u> <u>mended</u> <u>2001-02</u>	<u>Total</u> <u>Recom-</u> <u>mended</u> <u>2001-02</u>	<u>Change From</u> <u>2000-01</u>
Debt Service	5,516,150.000	0	0	0	5,504,950.000	(11,200.000)
Grand Total	<u>129,800,128.305</u>	<u>29,487,894.976</u>	<u>88,825,319.300</u>	<u>5,919,811.000</u>	<u>129,737,975.276</u>	<u>(62,153.029)</u>
Special Emergency Appropriation	<u>50,000.000</u>				<u>50,000.000</u>	

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS RECAPITULATION OF 2001-02 RECOMMENDATIONS BY FUND TYPE (dollars)

	<u>General</u>	<u>Special Revenue Federal</u>	<u>Special Revenue Other</u>	<u>Enterprise</u>	<u>Internal Service</u>	<u>Fiduciary</u>	<u>Total</u>
Adirondack Park Agency	4,295,000	0	0	0	0	0	4,295,000
Advocate for Persons with Disabilities, Office of	1,030,000	460,000	0	25,000	0	75,000	1,590,000
Aging, Office for the	3,096,000	10,150,000	0	200,000	0	500,000	13,946,000
Agriculture and Markets, Department of	25,046,300	12,192,000	30,419,900	18,384,200	0	1,746,800	87,789,200
Alcoholic Beverage Control, Division of	0	0	13,664,000	0	0	0	13,664,000
Arts, Council on the	17,053,200	4,396,700	2,135,400	0	3,949,100	766,000	28,300,400
Audit and Control, Department of	127,433,200	0	4,225,600	0	3,090,500	64,937,100	199,686,400
Banking Department	0	0	64,563,000	0	0	2,700,000	67,263,000
Budget, Division of the	31,354,000	0	8,227,000	0	1,300,000	150,000	41,031,000
Capital Defender Office	14,706,000	0	0	0	0	0	14,706,000
Children and Families, Council on	1,013,000	1,600,000	0	0	0	300,000	2,913,000
Children and Family Services Office of	260,572,000	82,248,000	117,926,000	500,000	100,000	3,225,000	464,571,000
City University of New York	0	0	90,000,000	0	0	1,027,468,000	1,117,468,000
Civil Service, Department of	32,340,800	0	1,500,000	0	41,713,000	300,000	75,853,800
Consumer Protection Board, State	479,000	0	2,206,000	0	0	0	2,685,000
Correction, Commission of	2,558,100	0	0	0	0	0	2,558,100
Correctional Services, Department of	1,799,322,000	83,344,000	0	62,856,700	90,167,000	18,000	2,035,707,700
Crime Victims Board	3,286,100	1,471,000	766,800	0	0	0	5,523,900
Criminal Justice Services, Division of	44,877,300	45,787,400	300,000	0	0	1,150,000	92,114,700
Developmental Disabilities Planning Council	0	4,300,000	0	0	0	0	4,300,000
Economic Development, Department of	38,730,000	1,000,000	4,409,900	0	0	0	44,139,900
Education Department, State	56,532,300	160,392,400	98,014,500	0	15,499,100	1,026,000	331,464,300
Elections, State Board of	3,605,000	0	20,000	0	0	0	3,625,000
Employee Relations, Office of	4,100,000	0	463,000	0	2,337,000	0	6,900,000
Energy Research and Development Authority, New York State	0	1,900,000	14,656,000	0	0	0	16,556,000
Environmental Conservation, Department of	109,040,600	94,822,400	207,107,000	0	35,000	0	411,005,000
Environmental Facilities Corporation	0	0	8,253,200	0	0	0	8,253,200
Executive Chamber	18,155,000	0	0	0	0	100,000	18,255,000
General Services, Office of	145,786,600	6,400,000	14,854,700	1,308,700	239,814,400	1,092,200	409,256,600
Health, Department of	227,995,000	3,392,061,000	351,527,000	10,000	0	3,965,000	3,975,558,000
Higher Education Services Corporation, New York State	9,593,000	5,000,000	83,669,000	0	0	0	98,262,000
Housing and Community Renewal, Division of	33,196,200	8,696,500	45,926,500	0	0	0	87,819,200
Mortgage Agency, State of New York	76,800,000	0	0	0	0	0	76,800,000
Human Rights, Division of	13,139,000	2,900,000	70,000	0	0	20,000	16,129,000
Inspector General, Office of the	5,018,000	0	1,399,000	0	0	0	6,417,000
Insurance Department	0	0	117,288,000	0	0	0	117,288,000
Interest on Lawyer Account	0	0	0	0	0	1,443,000	1,443,000
Investigation, Temporary State Commission of	2,921,000	0	200,000	0	0	0	3,121,000
Judicial Commissions	2,280,000	0	0	0	0	0	2,280,000
Labor, Department of	11,951,500	554,873,900	52,450,000	0	0	2,500,000,000	3,119,275,400
Law, Department of	119,574,000	28,573,000	19,835,000	0	7,205,000	0	175,187,000
Lieutenant Governor, Office of the	523,000	0	0	0	0	0	523,000
Lobbying, Temporary State Commission on	1,130,000	0	200,000	0	0	0	1,330,000
Lottery, Division of the	0	0	115,418,000	0	0	0	115,418,000
Mental Hygiene, Department of	0	0	17,200,000	0	0	0	17,200,000
Mental Health, Office of	731,413,000	1,258,000	404,772,000	8,015,000	2,234,000	570,000	1,148,262,000
Mental Retardation and Developmental Disabilities, Office of	153,296,000	80,000	983,521,000	2,350,000	150,000	755,000	1,140,152,000
Alcoholism and Substance Abuse Services, Office of	46,941,000	5,663,000	17,828,000	0	0	0	70,432,000
Military and Naval Affairs, Division of	14,429,400	32,812,300	10,719,400	0	0	572,000	58,533,100
Motor Vehicles, Department of	127,942,400	7,967,300	82,809,400	0	1,500,000	0	220,219,100

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS RECAPITULATION OF 2001-02 RECOMMENDATIONS BY FUND TYPE (dollars)

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Olympic Regional Development Authority	8,004,000	0	150,000	0	0	200,000	8,354,000
Parks, Recreation and Historic Preservation, Office of	102,555,000	3,982,300	46,879,400	2,500,000	0	1,242,500	157,159,200
Parole, Division of	147,007,000	5,800,000	400,000	0	0	425,000	153,632,000
Prevention of Domestic Violence, Office for	1,797,600	100,000	20,000	0	0	50,000	1,967,600
Probation and Correctional Alternatives, Division of	2,414,400	360,000	0	0	0	0	2,774,400
Public Employment Relations Board	3,811,000	0	203,000	0	0	0	4,014,000
Public Service Department	0	1,445,000	63,954,000	0	0	0	65,399,000
Quality of Care for the Mentally Disabled, Commission on	2,987,000	4,894,000	2,694,000	20,000	0	0	10,595,000
Racing and Wagering Board, State	9,427,000	0	5,312,000	0	0	0	14,739,000
Real Property Services, Office of	26,841,000	0	16,660,000	0	0	0	43,501,000
Regulatory Reform, Governor's Office of	4,093,000	0	0	0	0	0	4,093,000
Science, Technology and Academic Research, Office of	3,600,000	0	500,000	0	0	0	4,100,000
State, Department of	14,819,700	7,034,400	35,323,400	0	0	100,000	57,277,500
State Police, Division of	295,563,000	9,825,000	77,582,000	0	0	8,000	382,978,000
State University of New York	1,231,198,000	138,650,000	2,426,415,000	0	6,000,000	57,800,000	3,860,063,000
State University Construction Fund	0	0	10,900,000	0	0	0	10,900,000
Taxation and Finance, Department of	302,960,000	572,000	40,061,000	0	68,886,000	0	412,479,000
Tax Appeals, Division of	3,454,000	0	0	0	0	0	3,454,000
Temporary and Disability Assistance, Office of	83,420,000	311,670,000	135,593,000	0	1,000,000	0	531,683,000
Technology, Office for	89,379,000	5,000,000	5,000,000	0	172,030,000	0	271,409,000
Transportation, Department of	0	9,143,000	36,539,000	0	4,555,000	0	50,237,000
Veterans Affairs, Division of	5,855,000	1,490,000	0	0	0	0	7,345,000
Welfare Inspector General, Office of	651,000	0	370,000	0	0	0	1,021,000
Workers Compensation Board	0	0	159,724,400	0	0	0	159,724,400
Subtotal	<u>6,662,390,700</u>	<u>5,050,314,600</u>	<u>6,052,824,500</u>	<u>96,169,600</u>	<u>661,565,100</u>	<u>3,672,704,600</u>	<u>22,195,969,100</u>
<b>Miscellaneous--All State Departments and Agencies</b>							
Cash Management Improvement Act	15,000,000	0	0	0	0	0	15,000,000
Collective Bargaining Agreements	37,164,700	0	250,000	0	0	0	37,414,700
Deferred Compensation Board	154,000	0	527,000	0	0	0	681,000
General State Charges	2,253,572,200	0	0	0	0	0	2,253,572,200
Governmental Accounting Standards Board	2,500,000	0	0	0	0	0	2,500,000
Green Thumb	2,394,000	0	0	0	0	0	2,394,000
Greenway Heritage Conservancy for the Hudson River Valley	304,000	0	0	0	0	0	304,000
Health Insurance Contingency Reserve	333,800,000	0	0	0	0	0	333,800,000
Health Insurance Reserve Receipts Fund	0	0	0	0	0	78,300,000	78,300,000
Higher Education - Miscellaneous	568,000	0	0	0	0	0	568,000
Hudson River Valley Greenway Communities Council	376,000	0	0	0	0	0	376,000
Insurance and Securities Funds Reserve Guarantee	1,672,000,000	0	0	0	0	0	1,672,000,000
Local Government Assistance	0	0	3,008,000	0	0	0	3,008,000
Miscellaneous Guarantee Appropriations	972,505,000	0	0	0	0	0	972,505,000
National and Community Service	332,000	30,000,000	0	0	0	0	30,332,000
Northeastern Queens Nature and Historical Preserve Commission	88,000	0	0	0	0	0	88,000
Petroleum Storage Tanks - COPs Repayment	3,800,000	0	0	0	0	0	3,800,000
Reserve for Federal Audit Disallowances	50,000,000	0	0	0	0	0	50,000,000



# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS RECAPITULATION OF 2001-02 RECOMMENDATIONS BY FUND TYPE (dollars)

	<u>General</u>	<u>Special Revenue Federal</u>	<u>Special Revenue Other</u>	<u>Enterprise</u>	<u>Internal Service</u>	<u>Fiduciary</u>	<u>Total</u>
Statewide Energy Improvement	0	0	1,900,000	0	0	0	1,900,000
Statewide Wireless Network	0	0	25,473,000	0	0	0	25,473,000
Workers Compensation Reserve	<u>37,200,000</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>37,200,000</u>
Subtotal	<u>5,381,757,900</u>	<u>30,000,000</u>	<u>31,158,000</u>	<u>0</u>	<u>0</u>	<u>78,300,000</u>	<u>5,521,215,900</u>
Judiciary	1,491,986,161	4,000,000	65,888,656	0	0	0	1,561,874,817
Legislature	<u>206,735,159</u>	<u>0</u>	<u>1,600,000</u>	<u>0</u>	<u>0</u>	<u>500,000</u>	<u>208,835,159</u>
Subtotal	<u>1,698,721,320</u>	<u>4,000,000</u>	<u>67,488,656</u>	<u>0</u>	<u>0</u>	<u>500,000</u>	<u>1,770,709,976</u>
Total	<u>13,742,869,920</u>	<u>5,084,314,600</u>	<u>6,151,471,156</u>	<u>96,169,600</u>	<u>661,565,100</u>	<u>3,751,504,600</u>	<u>29,487,894,976</u>

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS GENERAL FUND (dollars)

	Available 2000-01	Recommended 2001-02	Change
Adirondack Park Agency	4,015,700	4,295,000	279,300
Advocate for Persons with Disabilities, Office of	1,135,000	1,030,000	(105,000)
Aging, Office for the	2,922,000	3,096,000	174,000
Agriculture and Markets, Department of	24,181,200	25,046,300	865,100
Arts, Council on the	16,642,000	17,053,200	411,200
Audit and Control, Department of	106,625,400	127,433,200	20,807,800
Budget, Division of the	33,104,000	31,354,000	(1,750,000)
Capital Defender Office	15,546,500	14,706,000	(840,500)
Children and Families, Council on	1,006,000	1,013,000	7,000
Children and Family Services Office of	255,488,100	260,572,000	5,083,900
Civil Service, Department of	30,581,100	32,340,800	1,759,700
Consumer Protection Board, State	438,300	479,000	40,700
Correction, Commission of	2,511,000	2,558,100	47,100
Correctional Services, Department of	1,809,810,100	1,799,322,000	(10,488,100)
Crime Victims Board	3,546,200	3,286,100	(260,100)
Criminal Justice Services, Division of	43,235,600	44,877,300	1,641,700
Economic Development, Department of	35,515,900	38,730,000	3,214,100
Education Department, State	56,535,600	56,532,300	(3,300)
Elections, State Board of	3,318,100	3,605,000	286,900
Employee Relations, Office of	4,063,500	4,100,000	36,500
Environmental Conservation, Department of	102,681,600	109,040,600	6,359,000
Executive Chamber	16,928,400	18,155,000	1,226,600
General Services, Office of	123,392,100	145,786,600	22,394,500
Health, Department of	206,406,800	227,995,000	21,588,200
Higher Education Services Corporation, New York State	10,007,000	9,593,000	(414,000)
Housing and Community Renewal, Division of	30,422,000	33,196,200	2,774,200
Mortgage Agency, State of New York	76,800,000	76,800,000	0
Human Rights, Division of	11,992,000	13,139,000	1,147,000
Inspector General, Office of the	5,097,600	5,018,000	(79,600)
Investigation, Temporary State Commission of	2,964,000	2,921,000	(43,000)
Judicial Commissions	2,264,500	2,280,000	15,500
Labor, Department of	12,192,700	11,951,500	(241,200)
Law, Department of	112,821,800	119,574,000	6,752,200
Lieutenant Governor, Office of the	519,200	523,000	3,800
Lobbying, Temporary State Commission on	1,099,000	1,130,000	31,000
Mental Health, Office of	611,749,000	731,413,000	119,664,000
Mental Retardation and Developmental Disabilities, Office of	202,337,000	153,296,000	(49,041,000)
Alcoholism and Substance Abuse Services, Office of	49,444,000	46,941,000	(2,503,000)
Military and Naval Affairs, Division of	13,488,050	14,429,400	941,350
Motor Vehicles, Department of	124,752,500	127,942,400	3,189,900
Olympic Regional Development Authority	7,552,000	8,004,000	452,000
Parks, Recreation and Historic Preservation, Office of	108,550,900	102,555,000	(5,995,900)
Parole, Division of	144,713,900	147,007,000	2,293,100
Prevention of Domestic Violence, Office for	1,753,000	1,797,600	44,600
Probation and Correctional Alternatives, Division of	2,371,500	2,414,400	42,900
Public Employment Relations Board	3,865,500	3,811,000	(54,500)
Quality of Care for the Mentally Disabled, Commission on	3,134,000	2,987,000	(147,000)
Racing and Wagering Board, State	9,948,000	9,427,000	(521,000)
Real Property Services, Office of	23,158,400	26,841,000	3,682,600
Regulatory Reform, Governor's Office of	3,300,300	4,093,000	792,700
Science, Technology and Academic Research, Office of	3,750,000	3,600,000	(150,000)
State, Department of	18,814,800	14,819,700	(3,995,100)
State Police, Division of	282,320,800	295,563,000	13,242,200
State University of New York	1,194,139,000	1,231,198,000	37,059,000
Taxation and Finance, Department of	301,620,000	302,960,000	1,340,000
Tax Appeals, Division of	3,407,000	3,454,000	47,000
Temporary and Disability Assistance, Office of	82,216,000	83,420,000	1,204,000
Technology, Office for	52,091,700	89,379,000	37,287,300
Transportation, Department of	170,012,000	0	(170,012,000)
Veterans Affairs, Division of	5,603,300	5,855,000	251,700
Welfare Inspector General, Office of	581,000	651,000	70,000
Subtotal	<u>6,590,483,650</u>	<u>6,662,390,700</u>	<u>71,907,050</u>
<b>Miscellaneous--All State Departments and Agencies</b>			
Cash Management Improvement Act	0	15,000,000	15,000,000
Collective Bargaining Agreements	77,598,750	37,164,700	(40,434,050)
Deferred Compensation Board	150,000	154,000	4,000
General State Charges	2,183,932,400	2,253,572,200	69,639,800
Governmental Accounting Standards Board	0	2,500,000	2,500,000
Green Thumb	2,394,000	2,394,000	0
Greenway Heritage Conservancy for the Hudson River Valley	222,000	304,000	82,000

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS GENERAL FUND (dollars)

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Health Insurance Contingency Reserve	280,100,000	333,800,000	53,700,000
Higher Education - Miscellaneous	566,000	568,000	2,000
Hudson River Valley Greenway Communities Council	250,400	376,000	125,600
Insurance and Securities Funds Reserve Guarantee	1,672,000,000	1,672,000,000	0
Miscellaneous Guarantee Appropriations	917,457,600	972,505,000	55,047,400
National and Community Service	0	332,000	332,000
Northeastern Queens Nature and Historical Preserve Commission	86,000	88,000	2,000
Petroleum Storage Tanks - COPs Repayment	4,365,000	3,800,000	(565,000)
Reserve for Federal Audit Disallowances	50,000,000	50,000,000	0
Workers Compensation Reserve	<u>43,128,000</u>	<u>37,200,000</u>	<u>(5,928,000)</u>
Subtotal	<u>5,232,250,150</u>	<u>5,381,757,900</u>	<u>149,507,750</u>
Judiciary	1,431,787,449	1,491,986,161	60,198,712
Legislature	<u>198,669,845</u>	<u>206,735,159</u>	<u>8,065,314</u>
Total	13,453,191,094	<u>13,742,869,920</u>	<u>289,678,826</u>
Adjustments			
Recommended Deficiencies	(23,500,000)		
Transfer From:			
Agency Trust Funds	(4,687,000)		
Special Revenue Funds - Other	(366,200,000)		
General Fund (Aid To Localities)	(4,197,000)		
Transfer To:			
Special Revenue Funds - Other	<u>106,666,100</u>		
Appropriated 2000-01	<u>13,161,273,194</u>		

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS SPECIAL REVENUE FUNDS - FEDERAL (dollars)

	Available 2000-01	Recommended 2001-02	Change
Adirondack Park Agency	300,000	0	(300,000)
Advocate for Persons with Disabilities, Office of	479,000	460,000	(19,000)
Aging, Office for the	10,787,000	10,150,000	(637,000)
Agriculture and Markets, Department of	9,692,000	12,192,000	2,500,000
Arts, Council on the	4,491,950	4,396,700	(95,250)
Children and Families, Council on	1,659,000	1,600,000	(59,000)
Children and Family Services Office of	113,364,000	82,248,000	(31,116,000)
Correctional Services, Department of	61,939,000	83,344,000	21,405,000
Crime Victims Board	1,475,300	1,471,000	(4,300)
Criminal Justice Services, Division of	49,809,700	45,787,400	(4,022,300)
Developmental Disabilities Planning Council	4,336,000	4,300,000	(36,000)
Economic Development, Department of	1,000,000	1,000,000	0
Education Department, State	162,309,950	160,392,400	(1,917,550)
Energy Research and Development Authority, New York State	1,500,000	1,900,000	400,000
Environmental Conservation, Department of	79,729,400	94,822,400	15,093,000
General Services, Office of	6,050,000	6,400,000	350,000
Health, Department of	3,275,044,400	3,392,061,000	117,016,600
Higher Education Services Corporation, New York State	3,930,000	5,000,000	1,070,000
Housing and Community Renewal, Division of	7,642,000	8,696,500	1,054,500
Human Rights, Division of	2,941,000	2,900,000	(41,000)
Labor, Department of	636,277,500	554,873,900	(81,403,600)
Law, Department of	26,631,000	28,573,000	1,942,000
Mental Health, Office of	929,000	1,258,000	329,000
Mental Retardation and Developmental Disabilities, Office of	80,000	80,000	0
Alcoholism and Substance Abuse Services, Office of	5,922,000	5,663,000	(259,000)
Military and Naval Affairs, Division of	31,515,000	32,812,300	1,297,300
Motor Vehicles, Department of	9,941,400	7,967,300	(1,974,100)
Parks, Recreation and Historic Preservation, Office of	3,446,600	3,982,300	535,700
Parole, Division of	1,639,900	5,800,000	4,160,100
Prevention of Domestic Violence, Office for	100,000	100,000	0
Probation and Correctional Alternatives, Division of	0	360,000	360,000
Public Service Department	1,188,000	1,445,000	257,000
Quality of Care for the Mentally Disabled, Commission on	4,147,000	4,894,000	747,000
State, Department of	7,330,000	7,034,400	(295,600)
State Police, Division of	16,274,700	9,825,000	(6,449,700)
State University of New York	136,150,000	138,650,000	2,500,000
Taxation and Finance, Department of	500,000	572,000	72,000
Temporary and Disability Assistance, Office of	303,989,000	311,670,000	7,681,000
Technology, Office for	0	5,000,000	5,000,000
Transportation, Department of	7,439,000	9,143,000	1,704,000
Veterans Affairs, Division of	1,435,000	1,490,000	55,000
National and Community Service	30,053,000	30,000,000	(53,000)
Special Pay Bill	3,155,300	0	(3,155,300)
Judiciary	6,000,000	4,000,000	(2,000,000)
Total	5,032,623,100	5,084,314,600	51,691,500
Adjustments			
Transfer From:			
Special Revenue Funds - Other	(50,000)		
Special Revenue Funds - Federal (Aid To Localities)	(1,233,000)		
Transfer To:			
Special Revenue Funds - Other	1,659,100		
Appropriated 2000-01	5,032,999,200		

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS SPECIAL REVENUE FUNDS - OTHER (dollars)

	Available 2000-01	Recommended 2001-02	Change
Agriculture and Markets, Department of	26,469,900	30,419,900	3,950,000
Alcoholic Beverage Control, Division of	14,300,900	13,664,000	(636,900)
Arts, Council on the	2,087,750	2,135,400	47,650
Audit and Control, Department of	4,314,800	4,225,600	(89,200)
Banking Department	64,236,500	64,563,000	326,500
Budget, Division of the	8,227,000	8,227,000	0
Children and Family Services Office of	110,425,000	117,926,000	7,501,000
City University of New York	90,000,000	90,000,000	0
Civil Service, Department of	1,500,000	1,500,000	0
Consumer Protection Board, State	2,509,000	2,206,000	(303,000)
Crime Victims Board	768,800	766,800	(2,000)
Criminal Justice Services, Division of	300,000	300,000	0
Economic Development, Department of	4,720,900	4,409,900	(311,000)
Education Department, State	79,719,450	98,014,500	18,295,050
Elections, State Board of	20,000	20,000	0
Employee Relations, Office of	450,000	463,000	13,000
Energy Research and Development Authority, New York State	14,656,000	14,656,000	0
Environmental Conservation, Department of	211,317,800	207,107,000	(4,210,800)
Environmental Facilities Corporation	7,646,600	8,253,200	606,600
General Services, Office of	17,631,000	14,854,700	(2,776,300)
Health, Department of	350,117,400	351,527,000	1,409,600
Higher Education Services Corporation, New York State	82,400,000	83,669,000	1,269,000
Housing and Community Renewal, Division of	44,711,000	45,926,500	1,215,500
Human Rights, Division of	70,000	70,000	0
Inspector General, Office of the	1,399,000	1,399,000	0
Insurance Department	108,432,200	117,288,000	8,855,800
Investigation, Temporary State Commission of	200,000	200,000	0
Labor, Department of	50,019,300	52,450,000	2,430,700
Law, Department of	19,461,000	19,835,000	374,000
Lobbying, Temporary State Commission on	100,000	200,000	100,000
Lottery, Division of the	112,284,400	115,418,000	3,133,600
Mental Hygiene, Department of	0	17,200,000	17,200,000
Mental Health, Office of	516,239,000	404,772,000	(111,467,000)
Mental Retardation and Developmental Disabilities, Office of	911,535,000	983,521,000	71,986,000
Alcoholism and Substance Abuse Services, Office of	17,221,000	17,828,000	607,000
Military and Naval Affairs, Division of	11,396,400	10,719,400	(677,000)
Motor Vehicles, Department of	77,719,700	82,809,400	5,089,700
Olympic Regional Development Authority	150,000	150,000	0
Parks, Recreation and Historic Preservation, Office of	43,531,000	46,879,400	3,348,400
Parole, Division of	400,000	400,000	0
Prevention of Domestic Violence, Office for	20,000	20,000	0
Public Employment Relations Board	192,500	203,000	10,500
Public Service Department	64,013,300	63,954,000	(59,300)
Quality of Care for the Mentally Disabled, Commission on	2,484,000	2,694,000	210,000
Racing and Wagering Board, State	5,265,300	5,312,000	46,700
Real Property Services, Office of	16,302,000	16,660,000	358,000
Science, Technology and Academic Research, Office of	500,000	500,000	0
State, Department of	33,891,600	35,323,400	1,431,800
State Police, Division of	70,836,400	77,582,000	6,745,600
State University of New York	2,295,643,000	2,426,415,000	130,772,000
State University Construction Fund	10,826,000	10,900,000	74,000
Taxation and Finance, Department of	36,533,000	40,061,000	3,528,000
Temporary and Disability Assistance, Office of	130,020,000	135,593,000	5,573,000
Technology, Office for	0	5,000,000	5,000,000
Transportation, Department of	42,556,000	36,539,000	(6,017,000)
Welfare Inspector General, Office of	370,000	370,000	0
Workers Compensation Board	156,282,400	159,724,400	3,442,000
Collective Bargaining Agreements	260,000	250,000	(10,000)
Deferred Compensation Board	500,000	527,000	27,000
Local Government Assistance	2,950,600	3,008,000	57,400
Statewide Energy Improvement	1,500,000	1,900,000	400,000
Statewide Wireless Network	10,000,000	25,473,000	15,473,000
Special Pay Bill	449,800	0	(449,800)
Judiciary	57,701,492	65,888,656	8,187,164
Legislature	1,600,000	1,600,000	0
Total	<u>5,949,385,192</u>	<u>6,151,471,156</u>	<u>202,085,964</u>
Adjustments			
Recommended Deficiencies		(96,800,000)	

# **SUMMARY OF APPROPRIATIONS**

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**STATE OPERATIONS  
SPECIAL REVENUE FUNDS - OTHER  
(dollars)**

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Transfer From:			
Special Revenue Funds - Federal	(1,659,100)		
General Fund	(106,666,100)		
Transfer To:			
General Fund	366,200,000		
Special Revenue Funds - Federal	<u>50,000</u>		
Appropriated 2000-01	<u>6,110,509,992</u>		

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS FIDUCIARY FUNDS (dollars)

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Advocate for Persons with Disabilities, Office of	82,000	75,000	(7,000)
Aging, Office for the	953,000	500,000	(453,000)
Agriculture and Markets, Department of	1,707,100	1,746,800	39,700
Arts, Council on the	748,500	766,000	17,500
Audit and Control, Department of	59,967,600	64,937,100	4,969,500
Banking Department	2,700,000	2,700,000	0
Budget, Division of the	150,000	150,000	0
Children and Families, Council on	300,000	300,000	0
Children and Family Services Office of	3,242,000	3,225,000	(17,000)
City University of New York	1,018,368,000	1,027,468,000	9,100,000
Civil Service, Department of	300,000	300,000	0
Correctional Services, Department of	18,000	18,000	0
Criminal Justice Services, Division of	1,150,000	1,150,000	0
Education Department, State	988,500	1,026,000	37,500
Executive Chamber	100,000	100,000	0
General Services, Office of	972,000	1,092,200	120,200
Health, Department of	2,725,000	3,965,000	1,240,000
Human Rights, Division of	20,000	20,000	0
Interest on Lawyer Account	1,190,000	1,443,000	253,000
Labor, Department of	2,500,000,000	2,500,000,000	0
Mental Health, Office of	570,000	570,000	0
Mental Retardation and Developmental Disabilities, Office of	555,000	755,000	200,000
Military and Naval Affairs, Division of	552,000	572,000	20,000
Olympic Regional Development Authority	200,000	200,000	0
Parks, Recreation and Historic Preservation, Office of	1,206,200	1,242,500	36,300
Parole, Division of	425,000	425,000	0
Prevention of Domestic Violence, Office for	50,000	50,000	0
State, Department of	2,000,000	100,000	(1,900,000)
State Police, Division of	7,500	8,000	500
State University of New York	51,123,000	57,800,000	6,677,000
Health Insurance Reserve Receipts Fund	74,650,000	78,300,000	3,650,000
Special Pay Bill	9,087,000	0	(9,087,000)
Legislature	500,000	500,000	0
Total	<u>3,736,607,400</u>	<u>3,751,504,600</u>	<u>14,897,200</u>
Adjustments			
Recommended Deficiencies	(3,159,600)		
Transfer To:			
General Fund	<u>4,687,000</u>		
Appropriated 2000-01	<u>3,738,134,800</u>		

## SUMMARY OF APPROPRIATIONS

### STATE OPERATIONS INTERNAL SERVICE FUNDS (dollars)

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Arts, Council on the	3,912,500	3,949,100	36,600
Audit and Control, Department of	3,074,300	3,090,500	16,200
Budget, Division of the	1,300,000	1,300,000	0
Children and Family Services Office of	100,000	100,000	0
Civil Service, Department of	39,715,400	41,713,000	1,997,600
Correctional Services, Department of	85,670,000	90,167,000	4,497,000
Education Department, State	14,378,300	15,499,100	1,120,800
Employee Relations, Office of	2,350,400	2,337,000	(13,400)
Environmental Conservation, Department of	30,000	35,000	5,000
General Services, Office of	218,250,000	239,814,400	21,564,400
Law, Department of	7,030,000	7,205,000	175,000
Mental Health, Office of	2,051,000	2,234,000	183,000
Mental Retardation and Developmental Disabilities, Office of	0	150,000	150,000
Motor Vehicles, Department of	1,500,000	1,500,000	0
State University of New York	5,000,000	6,000,000	1,000,000
Taxation and Finance, Department of	67,975,000	68,886,000	911,000
Temporary and Disability Assistance, Office of	1,000,000	1,000,000	0
Technology, Office for	163,984,600	172,030,000	8,045,400
Transportation, Department of	4,739,000	4,555,000	(184,000)
Special Pay Bill	2,400	0	(2,400)
Total	<u>622,062,900</u>	<u>661,565,100</u>	<u>39,502,200</u>
Adjustments			
Recommended Deficiencies		(420,000)	
Appropriated 2000-01		<u>621,642,900</u>	

### STATE OPERATIONS ENTERPRISE FUNDS (dollars)

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Advocate for Persons with Disabilities, Office of	25,000	25,000	0
Aging, Office for the	200,000	200,000	0
Agriculture and Markets, Department of	16,271,900	18,384,200	2,112,300
Children and Family Services Office of	500,000	500,000	0
Correctional Services, Department of	60,590,700	62,856,700	2,266,000
General Services, Office of	1,270,000	1,308,700	38,700
Health, Department of	10,000	10,000	0
Mental Health, Office of	7,842,000	8,015,000	173,000
Mental Retardation and Developmental Disabilities, Office of	1,957,000	2,350,000	393,000
Parks, Recreation and Historic Preservation, Office of	2,500,000	2,500,000	0
Quality of Care for the Mentally Disabled, Commission on	20,000	20,000	0
Total	<u>91,186,600</u>	<u>96,169,600</u>	<u>4,983,000</u>
Appropriated 2000-01		<u>91,186,600</u>	



# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES RECAPITULATION OF 2001-02 RECOMMENDATIONS BY FUND TYPE (dollars)

	General	Special Revenue Federal	Special Revenue Other	Internal Service	Fiduciary	Total
Adirondack Park Agency	50,000	0	0	0	0	50,000
Aging, Office for the	63,962,000	101,600,000	0	0	2,000,000	167,562,000
Agriculture and Markets, Department of	12,450,200	10,000,000	0	0	0	22,450,200
Arts, Council on the	44,000,000	135,000	0	0	200,000	44,335,000
Audit and Control, Department of	20,902,000	0	0	0	0	20,902,000
Children and Family Services Office of	1,107,594,000	1,703,908,000	15,000,000	0	3,530,000	2,830,032,000
City University of New York	752,408,000	0	0	0	0	752,408,000
Correctional Services, Department of	21,537,000	0	0	0	0	21,537,000
Crime Victims Board	0	30,149,700	24,899,300	0	40,000	55,089,000
Criminal Justice Services, Division of	56,387,500	47,433,000	5,100,000	0	0	108,920,500
Economic Development, Department of	11,974,000	0	0	0	0	11,974,000
Education Department, State	13,527,487,800	2,561,368,000	4,202,300,000	0	0	20,291,155,800
Empire State Development Corporation	143,604,100	0	0	0	0	143,604,100
Environmental Conservation, Department of	4,813,300	0	0	0	0	4,813,300
Health, Department of	6,820,080,000	18,113,784,000	1,801,469,000	0	850,000,000	27,585,333,000
Higher Education Services Corporation, New York State	672,948,000	2,400,000	7,000,000	0	0	682,348,000
Housing and Community Renewal, Division of	59,533,000	83,450,000	0	0	10,000,000	152,983,000
Housing Finance Agency	700,000	0	0	0	0	700,000
Mortgage Agency, State of New York	93,791,100	0	0	0	0	93,791,100
Interest on Lawyer Account	0	0	0	0	14,950,000	14,950,000
Labor, Department of	4,690,700	336,628,200	245,000	0	0	341,563,900
Mental Health, Office of	733,109,000	31,673,000	74,535,000	0	0	839,317,000
Mental Retardation and Developmental Disabilities, Office of	699,955,000	0	461,644,000	0	2,000,000	1,163,599,000
Alcoholism and Substance Abuse Services, Office of	254,730,000	131,767,000	8,000,000	0	0	394,497,000
Metropolitan Transportation Authority	0	0	437,600,000	0	0	437,600,000
Military and Naval Affairs, Division of	0	5,500,000	1,650,000	0	0	7,150,000
Motor Vehicles, Department of	0	10,920,000	0	0	0	10,920,000
Parks, Recreation and Historic Preservation, Office of	28,652,000	4,170,000	1,900,000	0	0	34,722,000
Parole, Division of	40,931,000	2,743,000	0	5,250,000	0	48,924,000
Prevention of Domestic Violence, Office for	755,000	0	0	0	0	755,000
Probation and Correctional Alternatives, Division of	87,350,500	0	0	0	0	87,350,500
Public Service Department	0	0	400,000	0	0	400,000
Quality of Care for the Mentally Disabled, Commission on	95,000	0	373,000	0	0	468,000
Real Property Services, Office of	26,000,000	0	0	0	0	26,000,000
Science, Technology and Academic Research, Office of	49,270,000	5,000,000	0	0	0	54,270,000
State, Department of	0	50,750,000	300,000	0	1,900,000	52,950,000
State University of New York	328,485,000	0	0	0	0	328,485,000
Taxation and Finance, Department of	750,000	0	0	0	0	750,000
Temporary and Disability Assistance, Office of	1,433,892,000	2,454,500,000	409,400,000	0	10,000,000	4,307,792,000
Transportation, Department of	185,345,000	32,096,000	1,521,005,000	0	0	1,738,446,000
Veterans Affairs, Division of	4,125,000	0	0	0	0	4,125,000
Subtotal	<u>27,292,357,200</u>	<u>25,719,974,900</u>	<u>8,972,820,300</u>	<u>5,250,000</u>	<u>894,620,000</u>	<u>62,885,022,400</u>
Miscellaneous--All State Departments and Agencies						
Emergency Highway Construction and Reconstruction	326,000,000	0	0	0	0	326,000,000
Emergency Highway Reconditioning and Preservation	258,600,000	0	0	0	0	258,600,000
Hudson River Valley Greenway Communities Council	454,000	0	0	0	0	454,000
Local Government Assistance	<u>1,194,674,002</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>24,075,300,000</u>	<u>25,269,974,002</u>
Subtotal	<u>1,779,728,002</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>24,075,300,000</u>	<u>25,855,028,002</u>
Judiciary	500,000	0	84,768,898	0	0	85,268,898
Total	<u>29,072,585,202</u>	<u>25,719,974,900</u>	<u>9,057,589,198</u>	<u>5,250,000</u>	<u>24,969,920,000</u>	<u>88,825,319,300</u>

# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES GENERAL FUND (dollars)

	Available 2000-01	Recommended 2001-02	Change
Adirondack Park Agency	50,000	50,000	0
Aging, Office for the	76,133,102	63,962,000	(12,171,102)
Agriculture and Markets, Department of	19,008,500	12,450,200	(6,558,300)
Arts, Council on the	47,400,000	44,000,000	(3,400,000)
Audit and Control, Department of	20,014,000	20,902,000	888,000
Children and Family Services Office of	1,071,313,769	1,107,594,000	36,280,231
City University of New York	738,257,000	752,408,000	14,151,000
Correctional Services, Department of	69,934,300	21,537,000	(48,397,300)
Crime Victims Board	570,000	0	(570,000)
Criminal Justice Services, Division of	85,158,615	56,387,500	(28,771,115)
Economic Development, Department of	24,553,450	11,974,000	(12,579,450)
Education Department, State	12,969,387,485	13,527,487,800	558,100,315
Empire State Development Corporation	165,858,100	143,604,100	(22,254,000)
Energy Research and Development Authority, New York State	2,200,000	0	(2,200,000)
Environmental Conservation, Department of	10,442,418	4,813,300	(5,629,118)
General Services, Office of	75,000	0	(75,000)
Health, Department of	6,320,167,893	6,820,080,000	499,912,107
Higher Education Services Corporation, New York State	672,948,000	672,948,000	0
Housing and Community Renewal, Division of	70,457,149	59,533,000	(10,924,149)
Housing Finance Agency	1,700,000	700,000	(1,000,000)
Mortgage Agency, State of New York	95,981,000	93,791,100	(2,189,900)
Labor, Department of	12,505,700	4,690,700	(7,815,000)
Law, Department of	200,000	0	(200,000)
Mental Health, Office of	706,313,650	733,109,000	26,795,350
Mental Retardation and Developmental Disabilities, Office of	626,058,684	699,955,000	73,896,316
Alcoholism and Substance Abuse Services, Office of	257,136,781	254,730,000	(2,406,781)
Military and Naval Affairs, Division of	255,000	0	(255,000)
Parks, Recreation and Historic Preservation, Office of	54,095,345	28,652,000	(25,443,345)
Parole, Division of	47,514,300	40,931,000	(6,583,300)
Prevention of Domestic Violence, Office for	755,000	755,000	0
Probation and Correctional Alternatives, Division of	89,284,800	87,350,500	(1,934,300)
Quality of Care for the Mentally Disabled, Commission on	95,000	95,000	0
Racing and Wagering Board, State	200,000	0	(200,000)
Real Property Services, Office of	18,600,000	26,000,000	7,400,000
Science, Technology and Academic Research, Office of	71,875,000	49,270,000	(22,605,000)
State, Department of	29,802,248	0	(29,802,248)
State University of New York	328,061,000	328,485,000	424,000
Taxation and Finance, Department of	750,000	750,000	0
Temporary and Disability Assistance, Office of	1,700,858,500	1,433,892,000	(266,966,500)
Transportation, Department of	230,041,075	185,345,000	(44,696,075)
Veterans Affairs, Division of	7,100,400	4,125,000	(2,975,400)
Subtotal	<u>26,643,112,264</u>	<u>27,292,357,200</u>	<u>649,244,936</u>
<u>Miscellaneous--All State Departments and Agencies</u>			
Development Authority of the North Country	330,000	0	(330,000)
Emergency Highway Construction and Reconstruction	301,000,000	326,000,000	25,000,000
Emergency Highway Reconditioning and Preservation	233,600,000	258,600,000	25,000,000
Greenway Heritage Conservancy for the Hudson River Valley	200,000	0	(200,000)
Higher Education - Miscellaneous	20,235,000	0	(20,235,000)
Hudson River Valley Greenway Communities Council	204,000	454,000	250,000
Local Government Assistance	1,296,399,699	1,194,674,002	(101,725,697)
Municipal/NFP Services and Expenses	1,900,000	0	(1,900,000)
Services, Expenses or Grants	4,000,000	0	(4,000,000)
Subtotal	<u>1,857,868,699</u>	<u>1,779,728,002</u>	<u>(78,140,697)</u>
Judiciary	<u>775,000</u>	<u>500,000</u>	<u>(275,000)</u>
Total	<u>28,501,755,963</u>	<u>29,072,585,202</u>	<u>570,829,239</u>
Adjustments			
Transfer To:			
General Fund (State Operations)	<u>4,197,000</u>		
Appropriated 2000-01	<u>28,505,952,963</u>		

# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES SPECIAL REVENUE FUNDS - FEDERAL (dollars)

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Aging, Office for the	95,600,000	101,600,000	6,000,000
Agriculture and Markets, Department of	18,000,000	10,000,000	(8,000,000)
Arts, Council on the	95,000	135,000	40,000
Children and Family Services Office of	1,777,890,000	1,703,908,000	(73,982,000)
Crime Victims Board	28,977,700	30,149,700	1,172,000
Criminal Justice Services, Division of	47,031,600	47,433,000	401,400
Education Department, State	2,236,382,000	2,561,368,000	324,986,000
Health, Department of	16,559,793,500	18,113,784,000	1,553,990,500
Higher Education Services Corporation, New York State	2,400,000	2,400,000	0
Housing and Community Renewal, Division of	81,525,000	83,450,000	1,925,000
Labor, Department of	341,352,000	336,628,200	(4,723,800)
Mental Health, Office of	27,126,000	31,673,000	4,547,000
Alcoholism and Substance Abuse Services, Office of	132,168,000	131,767,000	(401,000)
Military and Naval Affairs, Division of	5,500,000	5,500,000	0
Motor Vehicles, Department of	12,800,000	10,920,000	(1,880,000)
Parks, Recreation and Historic Preservation, Office of	1,870,000	4,170,000	2,300,000
Parole, Division of	2,742,400	2,743,000	600
Science, Technology and Academic Research, Office of	5,000,000	5,000,000	0
State, Department of	43,000,000	50,750,000	7,750,000
Temporary and Disability Assistance, Office of	2,400,700,000	2,454,500,000	53,800,000
Transportation, Department of	<u>27,568,000</u>	<u>32,096,000</u>	<u>4,528,000</u>
Total	<u>23,847,521,200</u>	<u>25,719,974,900</u>	<u>1,872,453,700</u>
Adjustments			
Transfer To:			
Special Revenue Funds - Federal (State Operations)	<u>1,233,000</u>		
Appropriated 2000-01	<u>23,848,754,200</u>		

## AID TO LOCALITIES SPECIAL REVENUE FUNDS - OTHER (dollars)

	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Children and Family Services Office of	21,000,000	15,000,000	(6,000,000)
Crime Victims Board	20,899,300	24,899,300	4,000,000
Criminal Justice Services, Division of	5,100,000	5,100,000	0
Education Department, State	3,533,150,000	4,202,300,000	669,150,000
Environmental Conservation, Department of	800,000	0	(800,000)
Health, Department of	1,673,981,100	1,801,469,000	127,487,900
Higher Education Services Corporation, New York State	7,000,000	7,000,000	0
Labor, Department of	245,000	245,000	0
Mental Health, Office of	43,075,000	74,535,000	31,460,000
Mental Retardation and Developmental Disabilities, Office of	445,988,000	461,644,000	15,656,000
Alcoholism and Substance Abuse Services, Office of	8,000,000	8,000,000	0
Metropolitan Transportation Authority	391,397,000	437,600,000	46,203,000
Military and Naval Affairs, Division of	1,650,000	1,650,000	0
Parks, Recreation and Historic Preservation, Office of	1,500,000	1,900,000	400,000
Public Service Department	4,400,000	400,000	(4,000,000)
Quality of Care for the Mentally Disabled, Commission on	373,000	373,000	0
State, Department of	3,300,000	300,000	(3,000,000)
Temporary and Disability Assistance, Office of	86,400,000	409,400,000	323,000,000
Transportation, Department of	1,400,778,000	1,521,005,000	120,227,000
Judiciary	<u>59,318,556</u>	<u>84,768,898</u>	<u>25,450,342</u>
Total	<u>7,708,354,956</u>	<u>9,057,589,198</u>	<u>1,349,234,242</u>
Appropriated 2000-01	<u>7,708,354,956</u>		

## SUMMARY OF APPROPRIATIONS

### AID TO LOCALITIES FIDUCIARY FUNDS (dollars)

	Available 2000-01	Recommended 2001-02	Change
Aging, Office for the	3,100,000	2,000,000	(1,100,000)
Arts, Council on the	200,000	200,000	0
Children and Family Services Office of	3,530,000	3,530,000	0
Crime Victims Board	40,000	40,000	0
Health, Department of	650,000,000	850,000,000	200,000,000
Housing and Community Renewal, Division of	10,000,000	10,000,000	0
Interest on Lawyer Account	14,950,000	14,950,000	0
Mental Retardation and Developmental Disabilities, Office of	2,000,000	2,000,000	0
State, Department of	3,900,000	1,900,000	(2,000,000)
Temporary and Disability Assistance, Office of	10,000,000	10,000,000	0
Local Government Assistance	<u>23,870,300,000</u>	<u>24,075,300,000</u>	<u>205,000,000</u>
Total	<u>24,568,020,000</u>	<u>24,969,920,000</u>	<u>401,900,000</u>
Appropriated 2000-01	<u>24,568,020,000</u>		

### AID TO LOCALITIES INTERNAL SERVICE FUNDS (dollars)

	Available 2000-01	Recommended 2001-02	Change
Parole, Division of	5,250,000	5,250,000	0
Total	<u>5,250,000</u>	<u>5,250,000</u>	<u>0</u>
Appropriated 2000-01	<u>5,250,000</u>		

# SUMMARY OF APPROPRIATIONS

**CAPITAL PROJECTS APPROPRIATIONS  
ALL FUNDS  
APPROPRIATED 2000-01  
(dollars)**

	<u>Capital Projects Funds</u>	<u>Special Revenue Funds</u>	<u>Fiduciary Funds</u>	<u>Total</u>
Agriculture and Markets, Department of	3,100,000	0	0	3,100,000
Children and Family Services Office of	44,800,000	0	0	44,800,000
Correctional Services, Department of	220,000,000	0	0	220,000,000
Education Department, State	55,065,000	0	0	55,065,000
Empire State Development Corporation	65,000,000	0	0	65,000,000
Energy Research and Development Authority, New York State	14,017,000	0	0	14,017,000
Environmental Conservation, Department of	597,774,000	3,000,000	0	600,774,000
Environmental Facilities Corporation	292,000	0	0	292,000
General Services, Office of	71,400,000	0	0	71,400,000
Health, Department of	120,077,000	0	0	120,077,000
Housing and Community Renewal, Division of	121,200,000	0	0	121,200,000
Hudson River Park Trust	65,000,000	0	0	65,000,000
Mental Health, Office of	134,120,000	0	0	134,120,000
Mental Retardation and Developmental Disabilities, Office of	63,117,000	0	0	63,117,000
Alcoholism and Substance Abuse Services, Office of	35,186,000	0	0	35,186,000
Metropolitan Transportation Authority	320,000,000	0	0	320,000,000
Military and Naval Affairs, Division of	9,725,000	0	0	9,725,000
Parks, Recreation and Historic Preservation, Office of	32,483,000	0	6,000,000	38,483,000
Science, Technology and Academic Research, Office of	10,000,000	0	0	10,000,000
State, Department of	348,000	0	0	348,000
State Police, Division of	2,700,000	0	0	2,700,000
Thruway Authority, New York State	2,000,000	0	0	2,000,000
Transportation, Department of	7,900,882,000	50,778,000	50,000,000	8,001,660,000
Miscellaneous - Strategic Investment Program	225,000,000	0	0	225,000,000
Judiciary	7,775,000	0	0	7,775,000
Debt Reduction Reserve Fund	500,000,000	0	0	500,000,000
Total	<u>10,621,061,000</u>	<u>53,778,000</u>	<u>56,000,000</u>	<u>10,730,839,000</u>

## SUMMARY OF APPROPRIATIONS

### CAPITAL PROJECTS NEW APPROPRIATIONS AND REAPPROPRIATIONS ALL FUNDS RECOMMENDED 2001-02 (dollars)

	Total Recom- mended Appro- priations 2001-02	Total Recom- mended Reappro- priations 2001-02	Capital Projects Fund	Capital Projects Fund Advances	Federal Capital Projects Fund	All Other Fund Types (a)	Total Capital Projects 2001-02
Agriculture and Markets, Department of	2,600,000	4,812,000	3,912,000	0	0	3,500,000	7,412,000
Children and Family Services Office of	94,700,000	100,992,000	48,616,000	0	0	147,076,000	195,692,000
City University of New York Correctional Services, Department of	0	1,065,539,000	77,258,000	985,546,000	0	2,735,000	1,065,539,000
Education Department, State	235,000,000	813,101,000	3,000,000	0	75,646,000	969,455,000	1,048,101,000
Empire State Development Corporation	4,000,000	174,826,000	141,651,000	37,175,000	0	0	178,826,000
Energy Research and Development Authority, New York State	100,000,000	409,000,000	165,000,000	0	0	344,000,000	509,000,000
Environmental Conservation, Department of	15,367,000	0	15,250,000	0	0	117,000	15,367,000
Environmental Facilities Corporation	643,898,000	4,130,591,000	242,232,000	113,831,000	600,635,000	3,817,791,000	4,774,489,000
General Services, Office of Health, Department of	6,542,000	14,500,000	20,750,000	0	0	292,000	21,042,000
Housing and Community Renewal, Division of	122,200,000	138,681,000	255,401,000	5,480,000	0	0	260,881,000
Hudson River Park Trust	115,259,000	208,352,000	39,429,000	26,500,000	189,750,000	67,932,000	323,611,000
Mental Health, Office of Mental Retardation and Developmental Disabilities, Office of	100,200,000	513,375,000	20,945,000	0	40,687,000	551,943,000	613,575,000
Alcoholism and Substance Abuse Services, Office of	20,000,000	52,000,000	0	72,000,000	0	0	72,000,000
Metropolitan Transportation Authority	174,735,000	548,061,000	107,170,000	0	0	615,626,000	722,796,000
Military and Naval Affairs, Division of	92,836,000	110,542,000	90,958,000	0	0	112,420,000	203,378,000
Parks, Recreation and Historic Preservation, Office of	30,940,000	132,172,000	34,925,000	0	0	128,187,000	163,112,000
Science, Technology and Academic Research, Office of	0	36,000,000	0	36,000,000	0	0	36,000,000
State, Department of	9,725,000	16,230,000	14,600,000	0	11,355,000	0	25,955,000
State Police, Division of	49,682,000	88,584,000	300,000	0	5,784,000	132,182,000	138,266,000
State University of New York Temporary and Disability Assistance, Office of	0	57,500,000	57,500,000	0	0	0	57,500,000
Thruway Authority, New York State	340,000	1,219,000	1,559,000	0	0	0	1,559,000
Transportation, Department of	4,500,000	7,987,000	12,487,000	0	0	0	12,487,000
Miscellaneous - Strategic Investment Program	185,000,000	2,067,149,000	155,109,000	1,710,269,000	0	386,771,000	2,252,149,000
EC - Miscellaneous State Agencies	0	12,611,000	12,611,000	0	0	0	12,611,000
Judiciary	2,000,000	2,450,000	0	0	0	4,450,000	4,450,000
Total	3,874,462,000	8,651,406,000	0	24,781,000	5,879,583,000	6,621,504,000	12,525,868,000
	0	225,000,000	225,000,000	0	0	0	225,000,000
	0	25,000,000	25,000,000	0	0	0	25,000,000
	35,825,000	6,100,000	41,925,000	0	0	0	41,925,000
<b>Total</b>	<b>5,919,811,000</b>	<b>19,613,780,000</b>	<b>1,812,588,000</b>	<b>3,011,582,000</b>	<b>6,803,440,000</b>	<b>13,905,981,000</b>	<b>25,533,591,000</b>

(a) Includes Other Capital Projects Funds, Special Revenue Funds - Other, Fiduciary Funds, Enterprise Funds, and Bond Funds.

# SUMMARY OF APPROPRIATIONS

## CAPITAL PROJECTS NEW APPROPRIATIONS ALL FUNDS RECOMMENDED 2001-02 (dollars)

	Recommended for 2001-02				Total Recom- mended- 2001-02	Change From 2000-01
	Total Appropriated 2000-01	Capital Projects Funds	Special Revenue Funds	Fiduciary Funds		
Agriculture and Markets, Department of	3,100,000	2,600,000	0	0	2,600,000	(500,000)
Children and Family Services Office of	44,800,000	94,700,000	0	0	94,700,000	49,900,000
Correctional Services, Department of	220,000,000	235,000,000	0	0	235,000,000	15,000,000
Education Department, State	55,065,000	4,000,000	0	0	4,000,000	(51,065,000)
Empire State Development Corporation	65,000,000	100,000,000	0	0	100,000,000	35,000,000
Energy Research and Development Authority, New York State	14,017,000	15,367,000	0	0	15,367,000	1,350,000
Environmental Conservation, Department of	600,774,000	640,898,000	3,000,000	0	643,898,000	43,124,000
Environmental Facilities Corporation	292,000	6,542,000	0	0	6,542,000	6,250,000
General Services, Office of	71,400,000	122,200,000	0	0	122,200,000	50,800,000
Health, Department of	120,077,000	115,259,000	0	0	115,259,000	(4,818,000)
Housing and Community Renewal, Division of	121,200,000	100,200,000	0	0	100,200,000	(21,000,000)
Hudson River Park Trust	65,000,000	20,000,000	0	0	20,000,000	(45,000,000)
Mental Health, Office of	134,120,000	174,735,000	0	0	174,735,000	40,615,000
Mental Retardation and Developmental Disabilities, Office of	63,117,000	92,836,000	0	0	92,836,000	29,719,000
Alcoholism and Substance Abuse Services, Office of	35,186,000	30,940,000	0	0	30,940,000	(4,246,000)
Metropolitan Transportation Authority	320,000,000	0	0	0	0	(320,000,000)
Military and Naval Affairs, Division of	9,725,000	9,725,000	0	0	9,725,000	0
Parks, Recreation and Historic Preservation, Office of	38,483,000	34,232,000	0	15,450,000	49,682,000	11,199,000
Science, Technology and Academic Research, Office of	10,000,000	0	0	0	0	(10,000,000)
State, Department of	348,000	340,000	0	0	340,000	(8,000)
State Police, Division of	2,700,000	4,500,000	0	0	4,500,000	1,800,000
State University of New York	0	185,000,000	0	0	185,000,000	185,000,000
Thruway Authority, New York State	2,000,000	2,000,000	0	0	2,000,000	0
Transportation, Department of	8,001,660,000	3,770,825,000	53,637,000	50,000,000	3,874,462,000	(4,127,198,000)
Miscellaneous - Strategic Investment Program	225,000,000	0	0	0	0	(225,000,000)
Judiciary	7,775,000	35,825,000	0	0	35,825,000	28,050,000
Debt Reduction Reserve Fund	500,000,000	0	0	0	0	(500,000,000)
Total	<u>10,730,839,000</u>	<u>5,797,724,000</u>	<u>56,637,000</u>	<u>65,450,000</u>	<u>5,919,811,000</u>	<u>(4,811,028,000)</u>

# ***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 2001-02 Executive Budget is presented in three volumes. The first volume includes the Budget Message, an overview which describes: the major themes and initiatives contained in the budget, 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 Five-Year 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.

A statutorily-required Tax Expenditure Report, also part of the Budget documents, is published separately shortly after formal submission of the Budget.

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 554 villages. In addition, the State is divided into 704 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.

## ***USER'S GUIDE***

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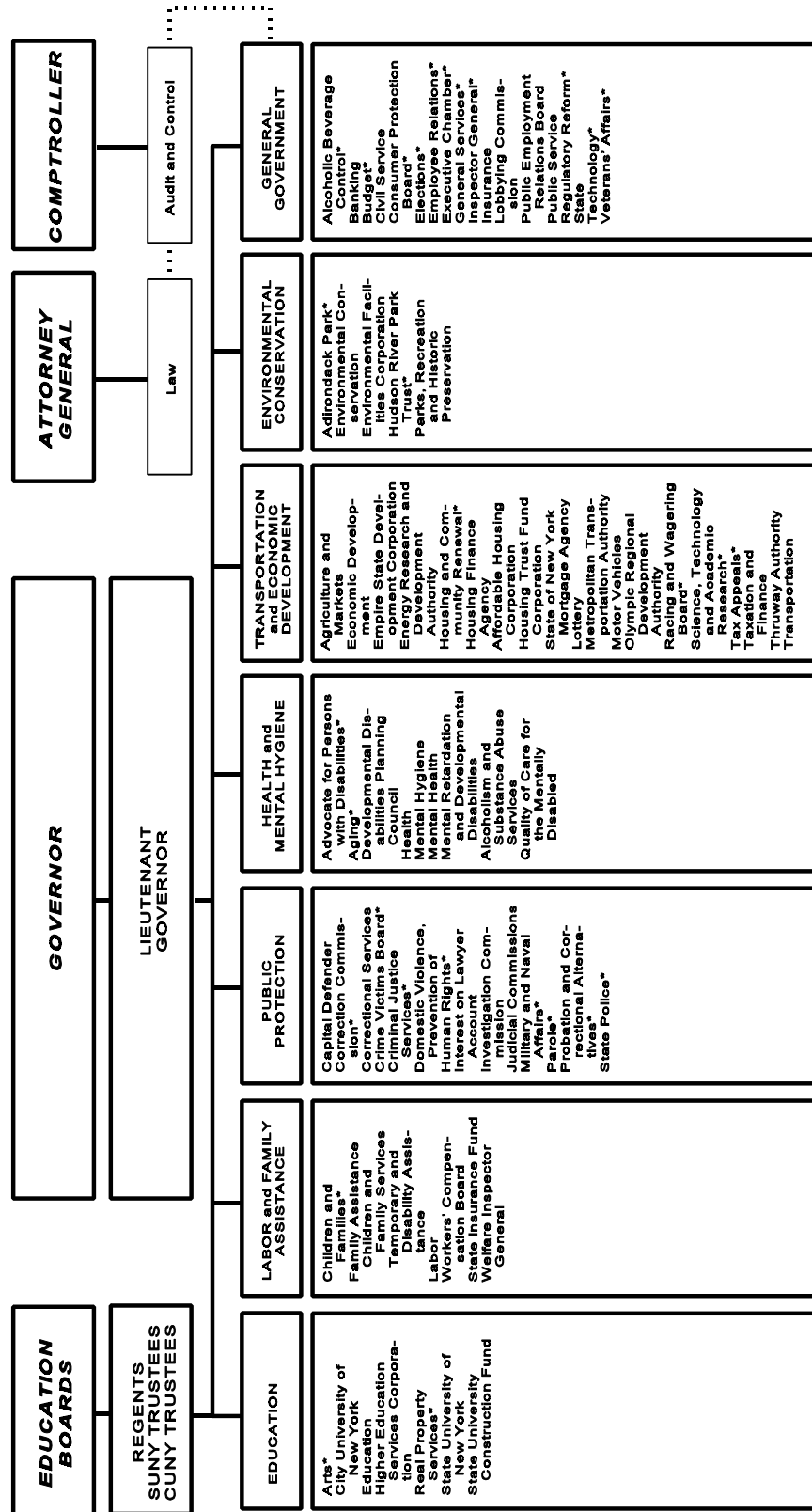
The exceptions include the Commissioner of the State Education Department, whose head is appointed by, and serves at the pleasure of, the State Board of Regents. The State University of New York (SUNY), although technically a corporate entity within the State Education Department, is headed by a Chancellor 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, 2001



\*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. 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.

Pursuant to the State Finance Law and to help expedite the budget process, legislative and Executive staffs meet by November 15 to discuss the economic outlook, revenue forecasts, projected spending, the impact of State and Federal statutes, and any other relevant issues. 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. 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 and has accompanied the Executive Budget the last several years.

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.

Beginning with the 1998-99 Budget, the Legislature has used a Conference Committee process to organize its deliberations and reach agreement on a Budget between the two houses. The process involves 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. To support the Committees' work, the Senate and Assembly continue to conduct an extensive analysis of the Budget and discuss their findings with the Executive, as has been done in the past. The State Finance Law also requires that a consensus economic and revenue forecasting conference be convened and issue a consensus report on tax receipts, lottery receipts and miscellaneous receipts on or prior to March 10.



After a series of public meetings, the Committees develop joint spending and revenue recommendations which are then reflected in amended versions of the Governor's proposed appropriation bills and related legislation, and approved by both houses. 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. Although the titles of the tables are identical to those that appear in the agency presentations, the tables in the presentations are not numbered. The numbers of the tables (e.g., I, II,...X) have been included in this guide for ease of reference only.

- I. ALL FUNDS — APPROPRIATIONS**
- II. ALL FUND TYPES — PROJECTED LEVELS OF EMPLOYMENT BY PROGRAM — FILLED 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 — 2001-02 RECOMMENDED**
- VI. STATE OPERATIONS - GENERAL FUND — SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES — 2001-02 RECOMMENDED**
- VII. STATE OPERATIONS - OTHER THAN GENERAL FUND — SUMMARY OF APPROPRIATIONS AND CHANGES — 2001-02 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, by category, the total recommended appropriations for the next fiscal year and the 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.

<b>ALL FUNDS <sup>1</sup> APPROPRIATIONS (dollars)</b>				
<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Category</b>	<b>Available 2000-01</b>	<b>Appropriations Recommended 2001-02</b>	<b>Change</b>	<b>Reappropriations Recommended 2001-02</b>
State Operations	56,951,450	58,533,100	1,581,650	9,744,500
Aid To Localities	7,405,000	7,150,000	(255,000)	207,285,000
Capital Projects	9,725,000	9,725,000	0	16,230,000
Total	<u>74,081,450</u>	<u>75,408,100</u>	<u>1,326,650</u>	<u>233,259,500</u>

<sup>1</sup> "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.

<sup>2</sup> There are four major categories of spending: State Operations, Aid to Localities, Capital Projects and Debt Service.

<sup>3</sup> This column displays the appropriations available for the current fiscal year. Adjustments, such as the recommended transfer of a program or an item to another fund or agency for the next fiscal year, are included to provide for year-to-year comparability.

<sup>4</sup> This column displays the appropriations recommended for the next fiscal year. 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.

<sup>5</sup> This column displays the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

<sup>6</sup> A reappropriation is a prior-year or current-year appropriation which will not be fully spent by the end of the current fiscal year and which has been recommended for extension.

\* While funds typed as Debt Service may be included, any appropriations made specifically in the Debt Service category of spending are not incorporated into this table. For more information about State Debt Service, please refer to Part II.

**II. ALL FUND TYPES — PROJECTED LEVELS OF EMPLOYMENT BY PROGRAM  
— FILLED ANNUAL SALARIED POSITIONS**

This year this table reflects a change from prior years' tables. The Projected Levels of Employment by Program table for **filled, annual salaried positions** is now being presented on a **Full-Time Equivalent (FTE)** basis rather than on an **Average Fill Level (AFL)** basis. Therefore, the table now provides a point-in-time projection of filled, full-time, annual salaried positions, rather than an estimate of the number of filled, full-time, annual salaried positions that may be supported on average throughout a fiscal year based on available funding.

In understanding the definition of FTE, it is important to note that the FTE is a unit of measure which identifies filled, full-time, annual salaried positions rather than people. The following three examples illustrate this concept:

- 1 person serving in 1 position at 100 percent time (full-time) = **1 FTE**
- 2 people sharing 1 position, each at 50 percent time (half-time) = .5 FTE + .5 FTE = **1 FTE**
- 2 people serving in 2 positions each at 50 percent time (half-time) = .5 FTE + .5 FTE = **1 FTE**

In total, the above three examples indicate that 5 people are employed within State service, but since 4 people work half-time, only 3 FTE's are counted.

FTE's supported by funds derived from some external source (i.e., suballocations) are included within agency program fund type totals.

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

1	Full-Time Equivalent Positions (FTE)		4
	2	3	
	2000-01 Estimated FTE's 03/31/01	2001-02 Estimated FTE's 03/31/02	FTE Change
<b>Program</b>			
Administration			
General Fund	62	62	0
Emergency Management			
General Fund	19	19	0
Special Revenue Funds - Federal	63	63	0
Special Revenue Funds - Other	23	22	(1)
Military Readiness			
General Fund	178	169	(9)
Special Revenue Funds - Federal	255	255	0
Special Service			
Special Revenue Funds - Federal	43	43	0
Special Revenue Funds - Other	10	11	1
Total	653	644	(9)

<sup>1</sup> 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 that contains FTE's may have appropriations from one or more fund types.

<sup>2</sup> This column displays an estimate of FTE's on March 31, 2001 (i.e., the last day of the current fiscal year).

<sup>3</sup> This column displays an estimate of FTE's on March 31, 2002 (i.e., the last day of the next fiscal year).

<sup>4</sup> This column displays the difference between the FTE's in the current fiscal year and FTE's recommended for the next fiscal year with negative amounts displayed in parentheses.

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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 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 next fiscal year. See the next table for a distribution by program.

STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)			
1	2	3	4
<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	13,488,050	14,429,400	941,350
Special Revenue Funds - Federal <sup>5</sup>	31,515,000	32,812,300	1,297,300
Special Revenue Funds - Other	11,396,400	10,719,400	(677,000)
Fiduciary Funds	<u>552,000</u>	<u>572,000</u>	<u>20,000</u>
Total	56,951,450	<u><u>58,533,100</u></u>	<u><u>1,581,650</u></u>
Adjustments: <sup>6</sup>			
Transfer(s) From			
Special Pay Bill			
General Fund	(1,219,000)		
Special Revenue Funds - Federal	(1,308,000)		
Special Revenue Funds - Other	<u>(202,000)</u>		
Appropriated 2000-01	<u><u>54,222,450</u></u>		

<sup>1</sup> The State Finance Law defines and mandates the use of seven fund types. Of these, the fund types typically found in the State Operations category are General, Special Revenue, Enterprise, Internal Service and Fiduciary.

<sup>2</sup> This column displays the appropriations available for the current fiscal year.

<sup>3</sup> This column displays the appropriations recommended for the next fiscal year.

<sup>4</sup> This column displays the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

<sup>5</sup> 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), 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.

<sup>6</sup> 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 fiscal year more comparable to those recommended for the next fiscal 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 as an Aid to Localities item in the next fiscal year, 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, amounts were 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.

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### 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 next fiscal year by program and, within each program, by fund type.

STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)			
1	2	3	4
<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Administration			
General Fund	3,394,000	3,424,500	30,500
Disaster Assistance			
Special Revenue Funds - Federal	1,456,600	1,680,400	223,800
Emergency Management			
General Fund	1,032,700	1,267,400	234,700
Special Revenue Funds - Federal	7,370,800	7,563,300	192,500
Special Revenue Funds - Other	2,024,300	1,881,400	(142,900)
Military Readiness			
General Fund	9,061,350	8,990,000	(71,350)
Special Revenue Funds - Federal	20,110,500	20,832,800	722,300
Special Service			
General Fund	0	747,500	747,500
Special Revenue Funds - Federal	2,577,100	2,735,800	158,700
Special Revenue Funds - Other	9,372,100	8,838,000	(534,100)
Expendable Trust Funds	552,000	572,000	20,000
Total	<u>56,951,450</u>	<u>58,533,100</u>	<u>1,581,650</u>

- <sup>1</sup> 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.
- <sup>2</sup> This column displays the appropriations available for the current fiscal year.
- <sup>3</sup> This column displays the appropriations recommended for the next fiscal year.
- <sup>4</sup> This column displays the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

**V. STATE OPERATIONS - GENERAL FUND — SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES — 2001-02 RECOMMENDED**

Personal service is one of the four "major objects" of expenditure in use in New York State budgeting. This table shows the amounts recommended for personal service for each program supported from the General Fund. As discussed in the notes for this table, there are "subobjects" within personal service. The remaining three major objects are discussed in the tables that follow.

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

1 <b>Program</b>	2 <b>Total Personal Service</b>		3 <b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,079,100	20,100	3,062,600	18,600
Emergency Management	998,900	122,100	987,900	121,100
Military Readiness	7,045,300	(409,000)	6,580,600	(521,700)
Special Service	520,500	520,500	520,500	520,500
<b>Total</b>	<b>11,643,800</b>	<b>253,700</b>	<b>11,151,600</b>	<b>138,500</b>

1 <b>Program</b>	4 <b>Temporary Service (Nonannual Salaried)</b>		5 <b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	0	0	16,500	1,500
Emergency Management	0	0	11,000	1,000
Military Readiness	187,900	(64,100)	276,800	176,800
Special Service	0	0	0	0
<b>Total</b>	<b>187,900</b>	<b>(64,100)</b>	<b>304,300</b>	<b>179,300</b>

- <sup>1</sup> Each agency has a program structure which is described in its narrative presentation.
- <sup>2</sup> The Total Personal Service columns display the sum of the amounts recommended for the "subobjects" Personal Service Regular (Annual Salaried), Temporary Service (Nonannual Salaried), and Holiday/Overtime Pay (Annual Salaried). Total Personal Service includes funding for annual-salaried personnel (see table II.) and nonannual-salaried personal service costs, and may include adjustments to account for savings expected to result from vacancies occurring throughout the year.
- <sup>3</sup> The Personal Service Regular columns display the amounts recommended for the "subobject" Personal Service Regular (Annual Salaried) and the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year with negative amounts displayed in parentheses. The bulk of the State's permanent work force is funded through Personal Service Regular and is generally paid on the basis of an annual salary.
- <sup>4</sup> Similar to <sup>3</sup> above, these columns display the amounts and changes for the "subobject" Temporary Service. Temporary Service recommendations include 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.
- <sup>5</sup> Similar to <sup>3</sup> above, this column displays the amounts and changes for the "subobject" Holiday/Overtime Pay. Holiday/Overtime Pay recommendations include compensation for annual salaried employees eligible to receive additional payment for work performed



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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 — 2001-02 RECOMMENDED**

Nonpersonal service is one of the four "major objects" of expenditure in use in New York State budgeting. This table shows the amounts recommended for nonpersonal service for each program supported from the General Fund. As discussed in the notes for this table, there are "subobjects" within nonpersonal service.

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

1 <b>Program</b>	2 <b>Total Nonpersonal Service</b>		3 <b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	345,400	10,400	46,400	1,400
Emergency Management	268,500	112,600	32,300	2,300
Military Readiness	1,944,700	337,650	171,400	4,600
Special Service	227,000	227,000	109,000	109,000
Total	2,785,600	687,650	359,100	117,300

1 <b>Program</b>	4 <b>Travel</b>		5 <b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	20,600	600	268,100	8,100
Emergency Management	26,500	600	107,700	7,700
Military Readiness	53,000	1,400	1,257,200	331,050
Special Service	12,000	12,000	90,000	90,000
Total	112,100	14,600	1,723,000	436,850

1 <b>Program</b>	6 <b>Equipment</b>		7 <b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	10,300	300	0	0
Emergency Management	102,000	102,000	0	0
Military Readiness	23,100	600	440,000	0
Special Service	16,000	16,000	0	0
Total	151,400	118,900	440,000	0

<sup>1</sup> Each agency has a program structure which is described in its narrative presentation.

<sup>2</sup> The Total Nonpersonal Service columns display the sum of the amounts recommended for "subobjects" Supplies and Materials, Travel, Contractual Services, Equipment and Maintenance Undistributed and the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year with negative amounts displayed in parentheses.

<sup>3</sup> The Supplies and Materials columns display the sum of the amounts recommended for the "subobject" Supplies and Materials and the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year with negative amounts displayed in parentheses. Supplies and Materials recommendations include items such 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.

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- <sup>4</sup> Similar to <sup>3</sup> above, this column displays the recommended and change amounts for the "subobject" Travel. Travel recommendations include items such as 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.
- <sup>5</sup> Similar to <sup>3</sup> above, this column displays the recommended and change amounts for the "subobject" Contractual Services. Contractual services recommendations include 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.
- <sup>6</sup> Similar to <sup>3</sup> above, this column displays the recommended and change amounts for the "subobject" Equipment. Equipment recommendations include items such as vehicles, office machines and furniture, and highway equipment.
- <sup>7</sup> This column displays the recommended and change amounts for Maintenance Undistributed. 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 — 2001-02 RECOMMENDED**

This table shows the amounts recommended to support State Operations from funds other than the General Fund. It shows amounts recommended by program for the "major objects" Personal Service and Nonpersonal Service and amounts recommended for Maintenance Undistributed. This table does not show separate amounts for "subobjects" within Personal Service and Nonpersonal Service. For more information about Maintenance Undistributed, see table VI., note <sup>7</sup>.

Other-than-General Fund recommendations 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 Miscellaneous Special Revenue Fund; Debt Service funds (budgeted centrally, not within agency appropriations, in most cases); Fiduciary funds, such as the Common Retirement Fund; and Enterprise funds.

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2001-02 RECOMMENDED  
(dollars)**

1 <b>Program</b>	2 <b>Total</b>		3 <b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Disaster Assistance	1,680,400	223,800	934,000	106,500
Emergency Management	9,444,700	49,600	3,992,600	54,400
Military Readiness	20,832,800	722,300	10,090,000	(143,300)
Special Service	12,145,800	(355,400)	2,651,500	(274,000)
Total	<u>44,103,700</u>	<u>640,300</u>	<u>17,668,100</u>	<u>(256,400)</u>
	3		3	
	Nonpersonal Service		Maintenance Undistributed	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Disaster Assistance	746,400	117,300	0	0
Emergency Management	5,452,100	(4,800)	0	0
Military Readiness	10,742,800	865,600	0	0
Special Service	5,816,300	(81,400)	3,678,000	0
Total	<u>22,757,600</u>	<u>896,700</u>	<u>3,678,000</u>	<u>0</u>

- <sup>1</sup> Each agency has a program structure which is described in its narrative presentation.
- <sup>2</sup> The Total columns display the sum of the amounts recommended for personal service, nonpersonal service and maintenance undistributed and the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year with negative amounts displayed in parentheses.
- <sup>3</sup> The Personal Service, Nonpersonal Service, and Maintenance Undistributed columns display the amounts recommended for each item within a program and the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

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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 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 next fiscal year. See the next table for a distribution by program.

AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS (dollars)			
1	2	3	4
<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	255,000	0	(255,000)
Special Revenue Funds - Federal <sup>5</sup>	5,500,000	5,500,000	0
Special Revenue Funds - Other	1,650,000	1,650,000	0
Total	<u>7,405,000</u>	<u>7,150,000</u>	<u>(255,000)</u>
Adjustments: <sup>6</sup>			
Transfer(s) To			
Health, Department of			
General Fund (State Operations)	<u>100,000</u>		
Appropriated 2000-01	<u>7,505,000</u>		

<sup>1</sup> The State Finance Law defines and mandates the use of seven fund types. Of these, the fund types typically found in the Aid to Localities category are General, Special Revenue, Enterprise, Internal Service and Fiduciary.

<sup>2</sup> This column displays the appropriations available for the current fiscal year.

<sup>3</sup> This column displays the appropriations recommended for the next fiscal year.

<sup>4</sup> This column displays the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

<sup>5</sup> 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), 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.

<sup>6</sup> Adjustments in the amounts available for the current year may occur for a number of reasons. For more information, please refer to table III. note <sup>6</sup>.

**IX. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

This table shows the amounts available for Aid to Localities for the current fiscal year and those that have been recommended for the next fiscal year by program and, within each program, by fund type.

AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)			
1	2	3	4
<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Emergency Management			
Special Revenue Funds - Federal	5,500,000	5,500,000	0
Special Revenue Funds - Other	1,650,000	1,650,000	0
Community Projects			
General Fund	255,000	0	(255,000)
Total	<u>7,405,000</u>	<u>7,150,000</u>	<u>(255,000)</u>

- <sup>1</sup> 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.
- <sup>2</sup> This column displays the appropriations available for the current fiscal year.
- <sup>3</sup> This column displays the appropriations recommended for the next fiscal year.
- <sup>4</sup> This column displays the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

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The next table applies to the Capital Projects category. Each agency which has appropriations in this category will have this table in its 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 next fiscal year by Comprehensive Construction Program and, within each program, by fund type. It also shows recommended reappropriations for the next fiscal year.

CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS (dollars)				
1	2	3	4	5
<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision				
Capital Projects Fund	1,750,000	1,000,000	(750,000)	3,500,000
Federal Capital Projects Fund	275,000	275,000	0	630,000
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	4,550,000	5,300,000	750,000	4,800,000
Federal Capital Projects Fund	<u>3,150,000</u>	<u>3,150,000</u>	<u>0</u>	<u>7,300,000</u>
Total	<u>9,725,000</u>	<u>9,725,000</u>	<u>0</u>	<u>16,230,000</u>

<sup>1</sup> Programs in the Capital Projects category are known as Comprehensive Construction Programs (CCP). 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 Design and Construction Supervision, while others may correspond to specific agency programs.

<sup>2</sup> This column displays the appropriations available for the current fiscal year.

<sup>3</sup> This column displays the appropriations recommended for the next fiscal year.

<sup>4</sup> This column displays the difference between the appropriations available in the current fiscal year and the amounts recommended for the next fiscal year, with negative amounts displayed in parentheses.

<sup>5</sup> This column displays the reappropriations recommended for the next fiscal year. Reappropriations are recommended to continue the authorization to spend all or part of undisbursed balances from appropriations that would otherwise lapse. Reappropriations are used extensively in the Capital Projects category because construction or major rehabilitation projects usually require more than one fiscal year from their inception to completion.

## **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, the State University of New York, 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.

State laws and appropriation bills 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 authorize spending
- **Community Projects Fund**: This fund was created in legislation accompanying the 1996-97 Budget to provide a fund to track various community projects.

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 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.

The GASB issued statement 34 entitled *Basic Financial Statements — and Managements Discussion and Analysis — for State and Local Governments*. This statement establishes new financial statement reporting requirements for State and local governments and is required to be implemented by the 2002-03 fiscal year.

### **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 1999-2000 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**

The **Annual Information Statement** is the State's public disclosure document to the financial marketplace. Typically, it contains information about the financial plan, the State's economy, debt and other financing activities, its governmental structure, and status of litigation against the State. The AIS is issued annually and updated quarterly.

**Appropriation-backed bonds** refer 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 & Poor's, 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.

**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.

**Full Time Equivalent (FTE)** refers to a unit of measure which is equal to one filled, full-time, annual-salaried position.

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.

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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
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
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
GORR	Governor's Office of Regulatory Reform
HESC	Higher Education Services Corporation
HFA	Housing Finance Agency
HRPT	Hudson River Park Trust
IG	Inspector General, Office of the State
Ins	Insurance Department

## ***KEY TO AGENCY ABBREVIATIONS***

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IOLA	Interest on Lawyer Account
Law	Department of Law
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
Parks	Office of Parks, Recreation and Historic Preservation
Parole	Division of Parole
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