

***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 181 positions for 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2002-03, approximately \$13.7 million in special revenue funding derived from license and permit fees 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 will continue to upgrade its computer and imaging systems and re-engineer and automate the licensing process. These improvements continue to reduce processing time, contain operating costs and accelerate 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	13,664,000	13,744,000	80,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	13,664,000	13,744,000	80,000	0

ALCOHOLIC BEVERAGE CONTROL

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

Full-Time Equivalent Positions (FTE)

Program	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
Administration			
Special Revenue Funds - Other	25	23	(2)
Compliance			
Special Revenue Funds - Other	81	77	(4)
Licensing and Wholesaler Services			
Special Revenue Funds - Other	86	81	(5)
Total	192	181	(11)

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

Fund Type	Available	Recommended	Change
	2001-02	2002-03	
Special Revenue Funds - Other	13,664,000	13,744,000	80,000
Total	13,664,000	13,744,000	80,000

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

Program	Available	Recommended	Change
	2001-02	2002-03	
Administration			
Special Revenue Funds - Other	3,200,000	3,300,000	100,000
Compliance			
Special Revenue Funds - Other	5,682,000	5,681,000	(1,000)
Licensing and Wholesaler Services			
Special Revenue Funds - Other	4,782,000	4,763,000	(19,000)
Total	13,664,000	13,744,000	80,000

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	3,300,000	100,000	1,279,000	(68,000)
Compliance	5,681,000	(1,000)	3,683,000	(72,000)
Licensing and Wholesaler Services	4,763,000	(19,000)	3,102,000	(80,000)
Total	13,744,000	80,000	8,064,000	(220,000)

Program	Nonpersonal Service	
	Amount	Change
Administration	2,021,000	168,000
Compliance	1,998,000	71,000
Licensing and Wholesaler Services	1,661,000	61,000
Total	5,680,000	300,000

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 operations of the Department of Audit and Control are 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, which will move into its new headquarters building in Albany during the last quarter of the current fiscal year, will have a workforce of 2,291 positions for 2002-03.

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 \$203.7 million for the Department's State Operations budget, including \$127.4 million, or 63 percent, in General Fund support. This portion of the Department's budget includes funding for the upgrade of the State's payroll system.

Another 33 percent of the Department's State Operations budget will be supported in 2002-03 with the recommended \$68.3 million in funding from the Retirement Systems. The remaining 4 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.

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 these benefits.

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

AUDIT AND CONTROL

- 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 2,914 participating government employers, 637,841 active and vested members and approximately 303,314 pensioners and their beneficiaries.
 - The Investments and Cash Management program, in addition to overseeing the assets of the Retirement Systems, issues general obligation debt, invests short-term moneys for the State and local governments and selects financial institutions to provide banking services to the State.
 - Under Chapter 845 of the Laws of 1977, the Comptroller administers the New York State Environmental Protection and Oil Spill Compensation Fund. Costs associated with cleaning up oil spills are paid from the fund upon certification of the Commissioner of Environmental Conservation. Moneys in this fund consist of receipts from a fee levied on each barrel of petroleum shipped into the State.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	199,686,400	203,717,000	4,030,600	0
Aid To Localities	20,902,000	20,902,000	0	0
Capital Projects	0	0	0	0
Total	220,588,400	224,619,000	4,030,600	0

AUDIT AND CONTROL

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

Full-Time Equivalent Positions (FTE)			
Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administrative and Data Processing			
Services Program			
General Fund	312	302	(10)
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	521	509	(12)
Special Revenue Funds - Federal	9	9	0
Internal Service Funds	13	13	0
Municipal Affairs			
General Fund	212	204	(8)
Payroll and Revenue Services			
General Fund	353	343	(10)
Office of the Special Deputy Comptroller for			
New York City			
Special Revenue Funds - Other	31	31	0
State Retirement			
Pension Trust Funds	734	734	0
Total	2,331	2,291	(40)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	127,433,200	127,441,000	7,800
Special Revenue Funds - Other	4,225,600	4,306,000	80,400
Internal Service Funds	3,090,500	3,167,000	76,500
Fiduciary Funds	64,937,100	68,803,000	3,865,900
Total	199,686,400	203,717,000	4,030,600

Adjustments:	
Prior Year Deficiency	
Audit and Control, Department of	
Internal Service Funds	420,000
Pension Trust Funds	3,159,600
Appropriated 2001-02	203,266,000

AUDIT AND CONTROL

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

<u>Program</u>	<u>Available 2001-02</u>	<u>Recommended 2002-03</u>	<u>Change</u>
Administrative and Data Processing			
Services Program			
General Fund	38,348,600	38,350,000	1,400
Environmental Protection and Spill			
Compensation			
Special Revenue Funds - Other	624,600	685,000	60,400
Executive Direction			
General Fund	3,283,800	3,285,000	1,200
Internal Service Funds	1,305,500	1,327,000	21,500
Investments and Cash Management			
General Fund	1,373,800	1,375,000	1,200
Internal Service Funds	1,785,000	1,840,000	55,000
Fiduciary Funds	5,652,200	6,228,000	575,800
Legal Services			
General Fund	2,789,500	2,791,000	1,500
Management Audit and State Financial			
Services			
General Fund	29,364,400	29,365,000	600
Municipal Affairs			
General Fund	13,330,100	13,331,000	900
Fiduciary Funds	0	545,000	545,000
Payroll and Revenue Services			
General Fund	38,943,000	38,944,000	1,000
Office of the Special Deputy Comptroller for			
New York City			
Special Revenue Funds - Other	3,601,000	3,621,000	20,000
State Retirement			
Pension Trust Funds	59,284,900	62,030,000	2,745,100
Total	<u>199,686,400</u>	<u>203,717,000</u>	<u>4,030,600</u>

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service Regular (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administrative and Data Processing				
Services Program	15,872,000	500	15,820,200	500
Executive Direction	2,591,000	800	2,574,700	800
Investments and Cash Management	863,000	600	863,000	600
Legal Services	2,773,000	700	2,760,600	700
Management Audit and State Financial				
Services	26,618,000	200	26,466,000	200
Municipal Affairs	12,272,000	900	12,253,000	900
Payroll and Revenue Services	16,649,000	500	15,722,200	500
Total	<u>77,638,000</u>	<u>4,200</u>	<u>76,459,700</u>	<u>4,200</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>
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
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administrative and Data Processing				
Services Program	22,478,000	900	663,100	0
Executive Direction	694,000	400	15,600	0
Investments and Cash Management	512,000	600	6,300	600
Legal Services	18,000	800	5,000	0
Management Audit and State Financial				
Services	2,747,000	400	21,000	0
Municipal Affairs	1,059,000	0	33,500	0
Payroll and Revenue Services	22,295,000	500	68,600	0
Total	49,803,000	3,600	813,100	600

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administrative and Data Processing				
Services Program	20,600	0	21,735,600	900
Executive Direction	21,900	0	599,700	400
Investments and Cash Management	6,400	0	498,500	0
Legal Services	2,200	0	5,800	800
Management Audit and State Financial				
Services	240,300	0	2,473,950	400
Municipal Affairs	404,800	0	616,500	0
Payroll and Revenue Services	89,400	0	22,121,250	500
Total	785,600	0	48,051,300	3,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
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	99,000	0	54,000	0

AUDIT AND CONTROL

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Environmental Protection and Spill				
Compensation	685,000	60,400	330,000	25,600
Executive Direction	1,327,000	21,500	914,000	500
Investments and Cash Management	8,068,000	630,800	3,603,000	352,000
Municipal Affairs	545,000	545,000	0	0
Office of the Special Deputy Comptroller for New York City	3,621,000	20,000	2,505,000	(27,500)
State Retirement	62,030,000	2,745,100	31,604,000	661,500
Total	<u>76,276,000</u>	<u>4,022,800</u>	<u>38,956,000</u>	<u>1,012,100</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Environmental Protection and Spill				
Compensation	355,000	34,800	0	0
Executive Direction	413,000	21,000	0	0
Investments and Cash Management	4,465,000	278,800	0	0
Municipal Affairs	0	0	545,000	545,000
Office of the Special Deputy Comptroller for New York City	1,116,000	47,500	0	0
State Retirement	29,730,000	1,387,600	696,000	696,000
Total	<u>36,079,000</u>	<u>1,769,700</u>	<u>1,241,000</u>	<u>1,241,000</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	20,902,000	20,902,000	0
Total	<u>20,902,000</u>	<u>20,902,000</u>	<u>0</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Management Audit and State Financial Services			
General Fund	20,902,000	20,902,000	0
Total	<u>20,902,000</u>	<u>20,902,000</u>	<u>0</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 \$2.1 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, 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 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Banking Department is entirely supported by fees charged to regulated financial institutions and organizations. The Budget recommends \$75 million to support the Department in 2002-03.

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.

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.

BANKING

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	66,070,100	75,048,000	8,977,900	1,700,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	66,070,100	75,048,000	8,977,900	1,700,000

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
Special Revenue Funds - Other	64	64	0
Analysis and Compliance			
Special Revenue Funds - Other	38	38	0
Regulation			
Special Revenue Funds - Other	497	497	0
Total	599	599	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Federal	0	500,000	500,000
Special Revenue Funds - Other	63,370,100	71,848,000	8,477,900
Fiduciary Funds	2,700,000	2,700,000	0
Total	66,070,100	75,048,000	8,977,900

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
Special Revenue Funds - Other	5,805,000	6,351,000	546,000
Fiduciary Funds	2,700,000	2,700,000	0
Analysis and Compliance			
Special Revenue Funds - Federal	0	200,000	200,000
Special Revenue Funds - Other	3,488,000	3,776,000	288,000
Regulation			
Special Revenue Funds - Federal	0	300,000	300,000
Special Revenue Funds - Other	54,077,100	61,721,000	7,643,900
Total	66,070,100	75,048,000	8,977,900

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	9,051,000	546,000	4,198,000	320,000
Analysis and Compliance	3,976,000	488,000	2,592,000	161,000
Regulation	62,021,000	7,943,900	34,983,000	1,806,000
Total	<u>75,048,000</u>	<u>8,977,900</u>	<u>41,773,000</u>	<u>2,287,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	4,853,000	226,000	0	0
Analysis and Compliance	1,384,000	327,000	0	0
Regulation	25,900,000	5,978,900	1,138,000	159,000
Total	<u>32,137,000</u>	<u>6,531,900</u>	<u>1,138,000</u>	<u>159,000</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 2002-03 of \$31.5 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 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	41,031,000	41,144,000	113,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	41,031,000	41,144,000	113,000	0

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Budget Division			
General Fund	350	350	0
Special Revenue Funds - Other	10	10	0
Total	360	360	0

BUDGET

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

Program	Available 2001-02	Recommended 2002-03	Change
Budget Division			
General Fund	31,354,000	31,467,000	113,000
Special Revenue Funds – Other	8,227,000	8,227,000	0
Internal Service Funds	1,300,000	1,300,000	0
Fiduciary Funds	150,000	150,000	0
Total	<u>41,031,000</u>	<u>41,144,000</u>	<u>113,000</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.

The Capital Defender Office ensures that offenders who face the death penalty receive the full legal protection to which they are entitled under law. The 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.

ORGANIZATION AND STAFFING

A three-member Board oversees the work of the 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 67 located in a central office in New York City and regional offices in Albany and Rochester.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

A total of \$13.9 million in State tax dollars is recommended to fund death penalty defense costs in 2002-03. 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

Since 1995, there have been a total of 674 capital-eligible cases and 43 notices of intent to seek the death penalty filed by the State's district attorneys. The number of capital-eligible cases has declined from 145 in 1995 to 90 in 2001. Similarly, the number of death notices filed has declined from 13 in 1996 to only two in 2001.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	14,647,000	13,897,000	(750,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	14,647,000	13,897,000	(750,000)	0

CAPITAL DEFENDER

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Capital Defense			
General Fund	71	67	(4)
Total	<u>71</u>	<u>67</u>	<u>(4)</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	14,647,000	13,897,000	(750,000)
Total	<u>14,647,000</u>	<u>13,897,000</u>	<u>(750,000)</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Capital Defense			
General Fund	14,647,000	13,897,000	(750,000)
Total	<u>14,647,000</u>	<u>13,897,000</u>	<u>(750,000)</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Capital Defense	4,995,000	15,000	4,845,000	(46,000)
Total	<u>4,995,000</u>	<u>15,000</u>	<u>4,845,000</u>	<u>(46,000)</u>

Program	Temporary Service (Nonannual Salaried)	
	Amount	Change
Capital Defense	150,000	61,000
Total	<u>150,000</u>	<u>61,000</u>

CAPITAL DEFENDER

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Capital Defense	8,902,000	(765,000)	182,000	6,000
Total	8,902,000	(765,000)	182,000	6,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Capital Defense	306,000	10,000	2,130,000	95,000
Total	306,000	10,000	2,130,000	95,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Capital Defense	155,000	5,000	6,129,000	(881,000)
Total	155,000	5,000	6,129,000	(881,000)

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 appointed 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 665 positions for 2002-03.

The responsibilities of the Department are carried out through seven 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 subscribers, assisting enrollees in resolving disputed claims, maintaining enrollment information for over 1.1 million covered individuals and financial accounting for approximately \$3 billion in annual premiums through the New York Benefits Eligibility and Accounting 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; and
- The Diversity Planning and Management Division approves and monitors affirmative action plans for State agencies, provides technical assistance and training in the achievement of cultural diversity in the work force and is also responsible for administering the Workers With Disabilities Program.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Department is funded, in part, with tax dollars from the General Fund that support 43 percent of the Agency's operations. The remaining 57 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.

CIVIL SERVICE

The Executive Budget recommends funding of \$65.8 million for the Department, which includes \$28.5 million in General Fund support and \$37.3 million in payments from other State agencies and public entities. The Department of Civil Service continues to expand its use of technology to provide improved services to State and local agencies and other customers. In 2002-03, the Department will proceed with the scheduled upgrading of the software used by its major electronic data processing 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 79 percent reduction in the number of long-term provisional employees from 3,501 to 746, a reduction in the number of position titles from 5,900 to 3,829 and the re-administration of statewide "battery" promotional examinations that were taken by almost 11,000 State employees in 2000.

The Department of Civil Service continues to use technology to strengthen services and increase efficiency. During 2001-2002, the Department initiated computer-based testing through use of its own Computer-Based Testing and Training Center and through facilities provided by the departments of Taxation and Finance and Labor. The Department also developed a stand-alone automated examination for Information Technology titles for use by local governments. In 2002-03, the Department will begin a multi-year effort to develop an Integrated Testing System (ITS). The Integrated Testing System will serve the needs of Testing, Staffing Services and the Municipal Services Divisions by enhancing the quality and timeliness of test scoring, list certifications and employee placements.

The Department's Employee Benefits Division achieved a premium reduction of \$124.4 million for Empire Plan subscribers through negotiated benefit changes and adjustments to the insurance companies' requested premium.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	72,100,800	65,783,000	(6,317,800)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	72,100,800	65,783,000	(6,317,800)	0

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
Administration and Information			
Management			
General Fund	109	107	(2)
Internal Service Funds	31	31	0
Local Civil Service			
General Fund	17	16	(1)
Labor Management Programs			
General Fund	21	21	0
Personnel Benefit Services			
General Fund	39	37	(2)
Internal Service Funds	183	183	0
Personnel Management Services			
General Fund	221	217	(4)
Internal Service Funds	53	53	0
Total	<u>674</u>	<u>665</u>	<u>(9)</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	29,616,800	28,463,000	(1,153,800)
Special Revenue Funds - Other	1,500,000	1,500,000	0
Internal Service Funds	40,684,000	35,520,000	(5,164,000)
Fiduciary Funds	300,000	300,000	0
Total	<u>72,100,800</u>	<u>65,783,000</u>	<u>(6,317,800)</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration and Information			
Management			
General Fund	11,613,600	10,381,000	(1,232,600)
Internal Service Funds	11,635,000	4,740,000	(6,895,000)
Local Civil Service			
General Fund	1,071,400	1,026,000	(45,400)
Personnel Benefit Services			
General Fund	2,262,400	2,171,000	(91,400)
Special Revenue Funds - Other	500,000	500,000	0
Internal Service Funds	22,088,000	23,490,000	1,402,000
Fiduciary Funds	300,000	300,000	0
Personnel Management Services			
General Fund	14,669,400	14,885,000	215,600
Special Revenue Funds - Other	1,000,000	1,000,000	0
Internal Service Funds	6,961,000	7,290,000	329,000
Total	<u>72,100,800</u>	<u>65,783,000</u>	<u>(6,317,800)</u>

CIVIL SERVICE

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration and Information				
Management	5,902,000	(92,100)	5,899,000	(92,300)
Local Civil Service	990,000	(45,300)	989,000	(45,600)
Personnel Benefit Services	2,080,000	(92,200)	2,050,000	(92,400)
Personnel Management Services	12,526,000	(184,100)	11,623,000	(183,900)
Total	<u>21,498,000</u>	<u>(413,700)</u>	<u>20,561,000</u>	<u>(414,200)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration and Information				
Management	0	0	3,000	200
Local Civil Service	0	0	1,000	300
Personnel Benefit Services	28,000	(300)	2,000	500
Personnel Management Services	887,000	(400)	16,000	200
Total	<u>915,000</u>	<u>(700)</u>	<u>22,000</u>	<u>1,200</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration and Information				
Management	4,479,000	(1,140,500)	45,000	500
Local Civil Service	36,000	(100)	6,000	(400)
Personnel Benefit Services	91,000	800	38,000	(300)
Personnel Management Services	2,359,000	399,700	108,000	(200)
Total	<u>6,965,000</u>	<u>(740,100)</u>	<u>197,000</u>	<u>(400)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration and Information				
Management	32,000	(100)	2,769,000	(1,141,600)
Local Civil Service	11,000	0	19,000	300
Personnel Benefit Services	10,000	400	28,000	500
Personnel Management Services	116,000	(100)	2,119,000	400,000
Total	<u>169,000</u>	<u>200</u>	<u>4,935,000</u>	<u>(740,800)</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Information				
Management	80,000	0	1,553,000	700
Personnel Benefit Services	15,000	200	0	0
Personnel Management Services	16,000	0	0	0
Total	<u>111,000</u>	<u>200</u>	<u>1,553,000</u>	<u>700</u>

CIVIL SERVICE**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration and Information				
Management	4,740,000	(6,895,000)	1,360,000	57,000
Personnel Benefit Services	24,290,000	1,402,000	8,707,000	365,000
Personnel Management Services	8,290,000	329,000	0	0
Total	<u>37,320,000</u>	<u>(5,164,000)</u>	<u>10,067,000</u>	<u>422,000</u>
Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Information				
Management	1,080,000	48,000	2,300,000	(7,000,000)
Personnel Benefit Services	6,429,000	662,000	9,154,000	375,000
Personnel Management Services	0	0	8,290,000	329,000
Total	<u>7,509,000</u>	<u>710,000</u>	<u>19,744,000</u>	<u>(6,296,000)</u>

CONSUMER PROTECTION BOARD

MISSION

The Consumer Protection Board (CPB) was created to protect the State's consumers. The Agency 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 Telemarketing "Do Not Call" registry.

ORGANIZATION AND STAFFING

The Consumer Protection Board consists of three units: Office of Consumer Assistance, Office of Strategic Programs, and Telemarketing "Do Not Call" Investigation and Enforcement. The Agency is located in Albany, with satellite offices in Rochester, Long Island and New York City. For 2002-03 the Consumer Protection Board will have a workforce of 36.

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 \$5.2 million for the Consumer Protection Board for 2002-03 including \$493,000 in General Fund support and \$2.4 million for maintenance of the State's "Do Not Call" registry.

PROGRAM HIGHLIGHTS

The Office of Strategic Programs analyzes legislation affecting consumers, investigates and researches consumer-related issues, and conducts education programs. The Office of Consumer Assistance 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 over 1.9 million consumers who have indicated a preference not to receive unsolicited phone calls from telemarketing companies.

ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2001-02</u>	<u>Appropriations Recommended 2002-03</u>	<u>Change</u>	<u>Reappropriations Recommended 2002-03</u>
State Operations	3,781,900	5,154,000	1,372,100	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	3,781,900	5,154,000	1,372,100	0

CONSUMER PROTECTION

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
Consumer Protection			
General Fund	7	7	0
Special Revenue Funds - Other	26	29	3
Total	33	36	3

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	474,900	493,000	18,100
Special Revenue Funds - Other	3,307,000	4,661,000	1,354,000
Total	3,781,900	5,154,000	1,372,100

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

Program	Available 2001-02	Recommended 2002-03	Change
Consumer Protection			
General Fund	474,900	493,000	18,100
Special Revenue Funds - Other	3,307,000	4,661,000	1,354,000
Total	3,781,900	5,154,000	1,372,100

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Consumer Protection	346,000	14,000	346,000	14,000
Total	346,000	14,000	346,000	14,000

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Consumer Protection	147,000	4,100	13,000	0
Total	147,000	4,100	13,000	0

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Consumer Protection	24,000	(500)	102,000	4,600
Total	24,000	(500)	102,000	4,600

Program	Equipment	
	Amount	Change
Consumer Protection	8,000	0
Total	8,000	0

CONSUMER PROTECTION

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Consumer Protection	4,661,000	1,354,000	1,670,000	153,000
Total	4,661,000	1,354,000	1,670,000	153,000
Program	Nonpersonal Service		Maintenance	Undistributed
	Amount	Change	Amount	Change
Consumer Protection	2,981,000	1,201,000	10,000	0
Total	2,981,000	1,201,000	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 includes 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 2002-03 with a staff of 38.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Commission of Correction will be supported by approximately \$2.6 million in State tax dollars in 2002-03.

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.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available	Appropriations	Change	Reappropriations
	2001-02	Recommended 2002-03		Recommended 2002-03
State Operations	2,516,100	2,586,000	69,900	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	2,516,100	2,586,000	69,900	0

CORRECTION

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Improvement of Correctional Facilities			
General Fund	36	35	(1)
Special Revenue Funds - Federal	3	3	0
Total	<u>39</u>	<u>38</u>	<u>(1)</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	2,516,100	2,586,000	69,900
Total	<u>2,516,100</u>	<u>2,586,000</u>	<u>69,900</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Improvement of Correctional Facilities			
General Fund	2,516,100	2,586,000	69,900
Total	<u>2,516,100</u>	<u>2,586,000</u>	<u>69,900</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Improvement of Correctional Facilities	2,121,000	39,700	2,100,900	39,700
Total	<u>2,121,000</u>	<u>39,700</u>	<u>2,100,900</u>	<u>39,700</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Improvement of Correctional Facilities	20,100	0
Total	<u>20,100</u>	<u>0</u>

CORRECTION

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Improvement of Correctional Facilities	465,000	30,200	16,100	0
Total	465,000	30,200	16,100	0

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Improvement of Correctional Facilities	153,100	0	253,600	30,200
Total	153,100	0	253,600	30,200

Program	Equipment	
	Amount	Change
Improvement of Correctional Facilities	42,200	0
Total	42,200	0

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, will have approximately 31,600 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 fourth largest state prison system.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The budget recommendations for the Department of Correctional Services continue to reflect a reduced demand for prison space after two decades of capacity expansion. 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. As a result, the Department will phase out additional beds currently in use in the prison system.

It is important to note that the reduction in demand for prison space is for medium-security and minimum-security housing. 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. The reduction in local assistance funding reflects the ability of the Agency to move State-ready prisoners from local jails to State prison in a timely manner due to the availability of State prison capacity. During the period July 1999 to September 2001, the number of State-ready prisoners declined from 4,425 to less than 300.

The Department will continue "right-sizing" the prison system to reflect the changing inmate population. Under utilized work release capacity in New York City, medium security housing space at Sing Sing, and smaller special housing units will be closed.

- State tax dollars finance 89 percent of the Department's State Operations Budget and 100 percent of the Department's Aid to Localities Budget to reimburse counties for the cost of housing inmates awaiting transfer to State prison.
- Federal funds support 3 percent of the Department's State Operations Budget, offsetting the cost of housing illegal alien felons, inmate education, and substance abuse treatment.
- Correctional Facilities Capital Improvement Fund appropriations of \$225 million ensure that all housing, medical buildings and support space remain functional, safe and secure.
- The DOCS Internal Service Fund appropriates \$92.5 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, giving individuals an opportunity to learn employment skills to improve their chances of successful reintegration into the community. This appropriation includes support of the general reissue of license plates which began in January 2001, and is scheduled to conclude at the end of the 2002-03 fiscal year.

CORRECTIONAL SERVICES

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 Campus 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.

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 correctional 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.

SUPERVISION OF INMATES

The Department employs approximately 20,600 correction officers to ensure a secure environment for employees and inmates within the correctional setting and to protect the safety of surrounding communities.

PROGRAM SERVICES

The Department operates a myriad of programs designed to prepare inmates for successful reintegration into the community. 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 transitional services program will assist every inmate throughout all stages of their incarceration to fully participate in the wide variety of programs available in the Department's facilities.

The Agency's Comprehensive Alcohol and Substance Abuse Treatment program (CASAT) will continue to provide over 4,800 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 disease related to AIDS, tuberculosis and other infectious conditions. The recommended

CORRECTIONAL SERVICES

budget ensures that the Department has the resources to meet the full need for AIDS screening and interventions. Notably, the number of inmates dying annually from HIV-related disease has plummeted by more than 90 percent since 1995.

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.

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)

Medium Security

Adirondack Correctional Facility	(Clinton County)
Altona Correctional Facility	(Clinton County)
Arthurskill 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)

CORRECTIONAL SERVICES

Wallkill 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)

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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	2,035,142,700	2,027,186,000	(7,956,700)	19,141,000
Aid To Localities	21,537,000	11,400,000	(10,137,000)	0
Capital Projects	195,000,000	225,000,000	30,000,000	783,209,000
Total	<u>2,251,679,700</u>	<u>2,263,586,000</u>	<u>11,906,300</u>	<u>802,350,000</u>

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	271	271	0
Special Revenue Funds - Federal	1,009	1,009	0
Correctional Industries			
Internal Service Funds	542	542	0
Facilities Planning and Development			
Capital Projects Funds - Other	35	35	0
Health Services			
General Fund	1,865	1,862	(3)
Enterprise Funds	32	32	0
Program Services			
General Fund	3,328	3,267	(61)
Enterprise Funds	204	204	0
Supervision of Inmates			
General Fund	21,309	20,846	(463)
Support Services			
General Fund	3,613	3,556	(57)
Total	<u>32,208</u>	<u>31,624</u>	<u>(584)</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	1,802,454,000	1,807,063,000	4,609,000
Special Revenue Funds - Federal	83,344,000	61,239,000	(22,105,000)
Enterprise Funds	62,856,700	66,404,000	3,547,300
Internal Service Funds	86,470,000	92,462,000	5,992,000
Fiduciary Funds	18,000	18,000	0
Total	<u>2,035,142,700</u>	<u>2,027,186,000</u>	<u>(7,956,700)</u>

Adjustments:

Recommended Deficiency	
Correctional Services, Department of	
General Fund	(19,700,000)
Appropriated 2001-02	<u>2,015,442,700</u>

CORRECTIONAL SERVICES

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	21,121,000	24,852,000	3,731,000
Special Revenue Funds - Federal	83,344,000	61,239,000	(22,105,000)
Enterprise Funds	1,817,700	1,818,000	300
Correctional Industries			
Internal Service Funds	86,470,000	92,462,000	5,992,000
Health Services			
General Fund	204,772,000	203,812,000	(960,000)
Enterprise Funds	16,025,000	18,001,000	1,976,000
Program Services			
General Fund	197,391,000	189,799,000	(7,592,000)
Enterprise Funds	44,514,000	45,985,000	1,471,000
Fiduciary Funds	18,000	18,000	0
Supervision of Inmates			
General Fund	1,051,055,000	1,053,171,000	2,116,000
Support Services			
General Fund	328,115,000	335,429,000	7,314,000
Enterprise Funds	500,000	600,000	100,000
Total	<u>2,035,142,700</u>	<u>2,027,186,000</u>	<u>(7,956,700)</u>

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	16,608,000	1,158,000	16,431,000	1,157,000
Health Services	100,011,000	4,837,000	92,688,000	4,777,000
Program Services	156,215,000	(3,042,000)	145,966,000	(3,358,000)
Supervision of Inmates	1,037,335,000	2,805,000	999,164,000	(846,000)
Support Services	146,494,000	1,865,000	142,591,000	956,000
Total	<u>1,456,663,000</u>	<u>7,623,000</u>	<u>1,396,840,000</u>	<u>2,686,000</u>
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	10,000	0	167,000	1,000
Health Services	4,164,000	141,000	3,159,000	(81,000)
Program Services	7,739,000	634,000	2,510,000	(318,000)
Supervision of Inmates	3,409,000	1,801,000	34,762,000	1,850,000
Support Services	171,000	6,000	3,732,000	903,000
Total	<u>15,493,000</u>	<u>2,582,000</u>	<u>44,330,000</u>	<u>2,355,000</u>

CORRECTIONAL SERVICES

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	8,244,000	2,573,000	443,000	0
Health Services	103,801,000	(5,797,000)	38,791,000	(4,470,000)
Program Services	33,584,000	(4,550,000)	10,214,000	(153,000)
Supervision of Inmates	15,836,000	(689,000)	8,338,000	(436,000)
Support Services	188,935,000	5,449,000	104,964,000	2,250,000
Total	350,400,000	(3,014,000)	162,750,000	(2,809,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	286,000	(96,000)	6,322,000	2,269,000
Health Services	130,000	(43,000)	64,116,000	(1,684,000)
Program Services	538,000	(180,000)	22,303,000	(4,217,000)
Supervision of Inmates	2,024,000	(509,000)	4,850,000	241,000
Support Services	2,093,000	(649,000)	74,909,000	3,848,000
Total	5,071,000	(1,477,000)	172,500,000	457,000

Program	Equipment	
	Amount	Change
Administration	1,193,000	400,000
Health Services	764,000	400,000
Program Services	529,000	0
Supervision of Inmates	624,000	15,000
Support Services	6,969,000	0
Total	10,079,000	815,000

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	63,057,000	(22,104,700)	56,302,000	(17,328,700)
Correctional Industries	92,462,000	5,992,000	25,438,000	610,000
Health Services	18,001,000	1,976,000	2,261,000	76,000
Program Services	46,003,000	1,471,000	4,108,000	71,000
Support Services	600,000	100,000	0	0
Total	220,123,000	(12,565,700)	88,109,000	(16,571,700)

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	1,255,000	(8,516,000)	5,500,000	3,740,000
Correctional Industries	67,024,000	5,382,000	0	0
Health Services	15,740,000	1,900,000	0	0
Program Services	41,895,000	1,400,000	0	0
Support Services	600,000	100,000	0	0
Total	126,514,000	266,000	5,500,000	3,740,000

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	21,537,000	11,400,000	(10,137,000)
Total	21,537,000	11,400,000	(10,137,000)

CORRECTIONAL SERVICES

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

Program	Available 2001-02	Recommended 2002-03	Change
Support Services			
General Fund	21,537,000	11,400,000	(10,137,000)
Total	<u>21,537,000</u>	<u>11,400,000</u>	<u>(10,137,000)</u>

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

Comprehensive Construction Program	Available 2001-02	Recommended 2002-03	Change	Reappropriations 2002-03
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	12,366,000
Correctional Facilities Capital Improvement Fund	195,000,000	205,000,000	10,000,000	523,679,000
UDC Financed and Other New Facility Capacity Expansion				
Correctional Facilities Capital Improvement Fund	0	0	0	244,164,000
Total	<u>195,000,000</u>	<u>225,000,000</u>	<u>30,000,000</u>	<u>783,209,000</u>

CRIME VICTIMS BOARD

MISSION

Since its establishment in 1966, the Crime Victims Board (CVB) has been 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 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 2002-03, \$5.6 million will be spent to operate the agency. Approximately \$61.4 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. 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.

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.

The September 11th attack on the World Trade Center in New York City was a catastrophic crime, which affected an unprecedented number of people in terms of deaths, injuries, and loss of economic support. The Crime Victims Board immediately responded by establishing several centers throughout the city to which approximately 2,300 families came for emergency financial assistance, and long-term help. Through a series of Executive Orders, the Governor lifted statutory compensation caps for emergency awards to victims and their families impacted by this horrific attack. The agency will continue to assist all victims of the World Trade Center attack to meet medical, housing, employment, and counseling expenses.

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 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. To speed assistance to victims, a new claims processing unit was 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 allows 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, the agency 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 that end, 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	5,627,915	5,600,000	(27,915)	0
Aid To Localities	55,089,000	61,397,000	6,308,000	6,250,000
Capital Projects	0	0	0	0
Total	60,716,915	66,997,000	6,280,085	6,250,000

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
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)**

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	3,390,115	3,299,000	(91,115)
Special Revenue Funds - Federal	1,471,000	1,534,000	63,000
Special Revenue Funds - Other	766,800	767,000	200
Total	<u>5,627,915</u>	<u>5,600,000</u>	<u>(27,915)</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	3,390,115	3,299,000	(91,115)
Special Revenue Funds - Federal	1,471,000	1,534,000	63,000
Special Revenue Funds - Other	766,800	767,000	200
Total	<u>5,627,915</u>	<u>5,600,000</u>	<u>(27,915)</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,028,000	(108,115)	3,028,000	(108,115)
Total	<u>3,028,000</u>	<u>(108,115)</u>	<u>3,028,000</u>	<u>(108,115)</u>

CRIME VICTIMS

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	271,000	17,000	30,000	0
Total	271,000	17,000	30,000	0

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	33,000	400	203,000	16,600
Total	33,000	400	203,000	16,600

Program	Equipment	
	Amount	Change
Administration	5,000	0
Total	5,000	0

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	2,301,000	63,200	1,098,300	63,000
Total	2,301,000	63,200	1,098,300	63,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	1,201,300	200	1,400	0
Total	1,201,300	200	1,400	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Federal	30,149,700	32,458,000	2,308,300
Special Revenue Funds - Other	24,899,300	28,899,000	3,999,700
Fiduciary Funds	40,000	40,000	0
Total	55,089,000	61,397,000	6,308,000

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

Program	Available 2001-02	Recommended 2002-03	Change
Payment to Victims			
Special Revenue Funds - Federal	5,149,700	7,458,000	2,308,300
Special Revenue Funds - Other	17,848,000	21,848,000	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	7,051,000	(300)
Fiduciary Funds	40,000	40,000	0
Total	55,089,000	61,397,000	6,308,000

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 764 positions is recommended for 2002-03. Approximately 80 percent of these positions will be supported by State tax dollars, with the remaining financed by Federal grants.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2002-03, approximately \$42.5 million in State tax dollars, and \$53.8 million in Federal funds will support the Division's State Operations budget. The Division's Aid to Localities program will distribute \$56.4 million in State tax dollars, and \$48.4 million in Federal funds to support various local criminal justice initiatives.

To assist the Division in processing fingerprints, funding is continued for the Statewide Automated Fingerprint System, which expedites digital access to information for local police departments, and ensures 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.

This recommendation also continues funding to support New York's DNA Databank. With its 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 crime scene data is analyzed and compared to the DNA of known criminals, science will assist law enforcement, prosecutors and the judicial system in identifying, prosecuting and convicting our most dangerous criminal offenders.

The budget also recommends DCJS as a host agency for routine administrative functions of the Crime Victims Board, 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 Board with enhanced access to digital technology and expertise to better meet increasing demands for service.

PROGRAM HIGHLIGHTS

The Division serves as a cost-effective platform for a variety of programs and initiatives, including the Federal "Edward Byrne" and Violence Against Women Act, and Juvenile Justice and Delinquency Prevention funding.

Recent events have created an obvious urgency to raise preparedness levels for a potential Weapons of Mass Destruction incident. Ten million dollars in Federal funding has supported efforts to prepare the State's emergency response plan and to conduct a statewide "needs and risk" assessment of logistical capabilities and vulnerabilities. The Federal funds

CRIMINAL JUSTICE SERVICES

will be used to provide needed equipment and training for local government response personnel. The plan will also identify future activities such as the development of local emergency communication systems, training in the use of specialized technology and medical monitoring procedures.

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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	77,609,300	97,840,000	20,230,700	88,496,900
Aid To Localities	108,640,600	109,883,000	1,242,400	184,670,050
Capital Projects	0	0	0	0
Total	<u>186,249,900</u>	<u>207,723,000</u>	<u>21,473,100</u>	<u>273,166,950</u>

CRIMINAL JUSTICE SERVICES

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02 Estimated FTEs	2002-03 Estimated FTEs	FTE Change
	03/31/02	03/31/03	
Administration			
General Fund	78	70	(8)
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	43	43	0
Operation and Systems			
General Fund	444	440	(4)
Public Safety			
General Fund	60	60	0
Fiduciary Funds	3	3	0
Total	776	764	(12)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	42,631,900	42,572,000	(59,900)
Special Revenue Funds - Federal	33,527,400	53,818,000	20,290,600
Special Revenue Funds - Other	300,000	300,000	0
Fiduciary Funds	1,150,000	1,150,000	0
Total	77,609,300	97,840,000	20,230,700

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	13,877,900	13,814,000	(63,900)
Funding and Program Assistance			
Special Revenue Funds - Federal	28,427,400	48,718,000	20,290,600
Special Revenue Funds - Other	300,000	300,000	0
Fiduciary Funds	200,000	200,000	0
Justice Systems			
General Fund	2,430,100	2,461,000	30,900
Operation and Systems			
General Fund	23,067,300	22,996,000	(71,300)
Special Revenue Funds - Federal	5,100,000	5,100,000	0
Public Safety			
General Fund	3,256,600	3,301,000	44,400
Fiduciary Funds	950,000	950,000	0
Total	77,609,300	97,840,000	20,230,700

CRIMINAL JUSTICE SERVICES

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	4,433,000	(64,200)	4,394,000	(34,000)
Justice Systems	2,283,000	30,700	2,274,000	30,250
Operation and Systems	17,031,000	(70,900)	16,949,000	126,800
Public Safety	2,917,000	44,700	2,873,000	55,400
Total	26,664,000	(59,700)	26,490,000	178,450

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	5,000	(300)	34,000	(29,900)
Justice Systems	0	0	9,000	450
Operation and Systems	0	0	82,000	(197,700)
Public Safety	0	0	44,000	(10,700)
Total	5,000	(300)	169,000	(237,850)

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	9,381,000	300	394,000	(200,300)
Justice Systems	178,000	200	26,000	0
Operation and Systems	5,965,000	(400)	115,000	0
Public Safety	384,000	(300)	102,000	(400)
Total	15,908,000	(200)	637,000	(200,700)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	271,000	0	5,586,000	200,900
Justice Systems	23,000	0	120,000	500
Operation and Systems	25,000	0	5,775,000	532,900
Public Safety	215,000	0	3,000	200
Total	534,000	0	11,484,000	734,500

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	1,159,000	(300)	1,971,000	0
Justice Systems	9,000	(300)	0	0
Operation and Systems	50,000	(533,300)	0	0
Public Safety	64,000	(100)	0	0
Total	1,282,000	(534,000)	1,971,000	0

CRIMINAL JUSTICE SERVICES

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Funding and Program Assistance	49,218,000	20,290,600	500,000	0
Operation and Systems	5,100,000	0	0	0
Public Safety	950,000	0	0	0
Total	<u>55,268,000</u>	<u>20,290,600</u>	<u>500,000</u>	<u>0</u>

Program	Maintenance Undistributed	
	Amount	Change
Funding and Program Assistance	48,718,000	20,290,600
Operation and Systems	5,100,000	0
Public Safety	950,000	0
Total	<u>54,768,000</u>	<u>20,290,600</u>

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

Fund Type	Available	Recommended	Change
	2001-02	2002-03	
General Fund	56,287,500	56,388,000	100,500
Special Revenue Funds - Federal	47,253,100	48,395,000	1,141,900
Special Revenue Funds - Other	5,100,000	5,100,000	0
Total	<u>108,640,600</u>	<u>109,883,000</u>	<u>1,242,400</u>

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

Program	Available	Recommended	Change
	2001-02	2002-03	
Funding and Program Assistance			
General Fund	56,287,500	56,388,000	100,500
Special Revenue Funds - Federal	47,253,100	48,395,000	1,141,900
Special Revenue Funds - Other	5,100,000	5,100,000	0
Total	<u>108,640,600</u>	<u>109,883,000</u>	<u>1,242,400</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, comprised of four commissioners, two chosen by each major political party, 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 27 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 2001.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	3,601,000	3,601,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	3,601,000	3,601,000	0	0

ELECTIONS

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

Full-Time Equivalent Positions (FTE)

Program	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
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)**

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	3,581,000	3,581,000	0
Special Revenue Funds - Other	20,000	20,000	0
Total	<u>3,601,000</u>	<u>3,601,000</u>	<u>0</u>

Adjustments:

Recommended Deficiency Elections, State Board of General Fund	<u>(300,000)</u>
Appropriated 2001-02	<u>3,301,000</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Regulation of Elections			
General Fund	3,581,000	3,581,000	0
Special Revenue Funds - Other	20,000	20,000	0
Total	<u>3,601,000</u>	<u>3,601,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Regulation of Elections	2,466,000	0	2,466,000	0
Total	<u>2,466,000</u>	<u>0</u>	<u>2,466,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Regulation of Elections	1,115,000	0	1,115,000	0
Total	<u>1,115,000</u>	<u>0</u>	<u>1,115,000</u>	<u>0</u>

ELECTIONS

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Regulation of Elections	20,000	0	20,000	0
Total	20,000	0	20,000	0

OFFICE OF EMPLOYEE RELATIONS

MISSION

In accordance with the Public Employees' Fair Employment Act (the Taylor Law), the Office of Employee Relations (OER) represents the Governor in collective bargaining with the public employee unions and directs the State's employee relations policies so that agencies and employees provide high quality, uninterrupted State government services.

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 2002-03, financed by the General Fund and responsible for negotiating and implementing collective bargaining agreements.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

A total of \$7 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:

- \$2.46 million 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 \$479,000 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 labor management practices and improving productivity and innovation in State government's workforce. 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-relations excellence 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 2002-03 will be preparation for the next round of collective bargaining and the further development of the Agency's government-to-government e-commerce initiative. This initiative 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 relevant to their employment with New York State.

EMPLOYEE RELATIONS

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	6,875,600	7,020,000	144,400	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	6,875,600	7,020,000	144,400	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Contract Negotiation and Administration			
General Fund	40	39	(1)
Internal Service Funds	47	48	1
Management Confidential Affairs			
General Fund	6	6	0
Total	93	93	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	4,075,600	4,077,000	1,400
Special Revenue Funds - Other	463,000	479,000	16,000
Internal Service Funds	2,337,000	2,464,000	127,000
Total	6,875,600	7,020,000	144,400

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

Program	Available 2001-02	Recommended 2002-03	Change
Contract Negotiation and Administration			
General Fund	3,142,900	3,212,000	69,100
Special Revenue Funds - Other	463,000	479,000	16,000
Internal Service Funds	2,337,000	2,464,000	127,000
Management Confidential Affairs			
General Fund	932,700	865,000	(67,700)
Total	6,875,600	7,020,000	144,400

EMPLOYEE RELATIONS

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	2,960,000	69,000	2,950,000	74,000
Management Confidential Affairs	360,000	33,000	359,000	33,000
Total	<u>3,320,000</u>	<u>102,000</u>	<u>3,309,000</u>	<u>107,000</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	8,000	(4,000)	2,000	(1,000)
Management Confidential Affairs	0	0	1,000	0
Total	<u>8,000</u>	<u>(4,000)</u>	<u>3,000</u>	<u>(1,000)</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	252,000	100	34,000	100
Management Confidential Affairs	505,000	(100,700)	18,000	(300)
Total	<u>757,000</u>	<u>(100,600)</u>	<u>52,000</u>	<u>(200)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	30,000	(400)	188,000	400
Management Confidential Affairs	14,000	500	28,000	100
Total	<u>44,000</u>	<u>100</u>	<u>216,000</u>	<u>500</u>

Program	Maintenance Undistributed	
	Amount	Change
Management Confidential Affairs	445,000	(101,000)
Total	<u>445,000</u>	<u>(101,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	2,943,000	143,000	2,136,000	117,000
Total	<u>2,943,000</u>	<u>143,000</u>	<u>2,136,000</u>	<u>117,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	328,000	10,000	479,000	16,000
Total	<u>328,000</u>	<u>10,000</u>	<u>479,000</u>	<u>16,000</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 2002-03 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	18,255,000	18,255,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	18,255,000	18,255,000	0	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Executive Chamber			
General Fund	177	177	0
Total	177	177	0

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

Program	Available 2001-02	Recommended 2002-03	Change
Executive Chamber			
General Fund	18,155,000	18,155,000	0
Fiduciary Funds	100,000	100,000	0
Total	18,255,000	18,255,000	0

EXECUTIVE CHAMBER

OFFICE OF THE LIEUTENANT GOVERNOR

**ALL FUNDS
APPROPRIATIONS
(dollars)**

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	523,000	523,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	523,000	523,000	0	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	8	8	0
Total	8	8	0

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	523,000	523,000	0
Total	523,000	523,000	0

OFFICE OF GENERAL SERVICES

MISSION

The Office of General Services (OGS) was established to consolidate into a single agency the cost-efficient support services required to operate a changing and increasingly complex State government. These include 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 1,998 positions for 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Executive Budget recommends \$592.8 million for the Office, which includes support of \$124.8 million in State tax dollars from the General Fund. This recommendation also includes \$230.1 million in user fees charged to State agencies and other governmental entities that utilize OGS central and other support services, and \$7.6 million in Federal funding. Most of this funding supports the operation of State office buildings, rehabilitation and other projects aimed at preserving or extending the useful life of office buildings, and the provision of centralized services to State agencies.

Recommended funding of \$214 million for the Capital Projects Budget includes the funding required to start the rehabilitation of the Alfred E. Smith Office Building and the construction of the new Elk Street garage while allowing the Office to also maintain its ongoing upkeep and preservation efforts at the 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.

GENERAL SERVICES

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 downtown Albany. 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. These projects, combined with other reconfigurations of office space, will facilitate the redevelopment 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 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, and has projects valued at approximately \$400 million underway in design and \$500 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	364,870,900	378,838,000	13,967,100	9,425,000
Aid To Localities	0	0	0	0
Capital Projects	39,000,000	214,000,000	175,000,000	90,030,000
Total	403,870,900	592,838,000	188,967,100	99,455,000

GENERAL SERVICES

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02 Estimated FTEs	2002-03 Estimated FTEs	FTE Change
	03/31/02	03/31/03	
Design and Construction			
Internal Service Funds	446	446	0
Executive Direction			
General Fund	110	110	0
Internal Service Funds	23	23	0
Information Technology and Procurement			
General Fund	179	179	0
Special Revenue Funds - Other	18	18	0
Internal Service Funds	193	193	0
Real Property Management and Development			
General Fund	860	860	0
Special Revenue Funds - Other	63	63	0
Enterprise Funds	14	14	0
Internal Service Funds	80	80	0
Fiduciary Funds	12	12	0
Total	1,998	1,998	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	124,947,800	124,752,000	(195,800)
Special Revenue Funds - Federal	6,400,000	7,600,000	1,200,000
Special Revenue Funds - Other	13,590,400	13,723,000	132,600
Enterprise Funds	1,308,700	1,475,000	166,300
Internal Service Funds	217,531,800	230,169,000	12,637,200
Fiduciary Funds	1,092,200	1,119,000	26,800
Total	364,870,900	378,838,000	13,967,100

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

Program	Available 2001-02	Recommended 2002-03	Change
Design and Construction			
Internal Service Funds	44,948,800	51,382,000	6,433,200
Executive Direction			
General Fund	12,260,300	12,262,000	1,700
Enterprise Funds	57,700	60,000	2,300
Internal Service Funds	41,071,800	46,308,000	5,236,200
Fiduciary Funds	842,200	869,000	26,800
Information Technology and Procurement			
General Fund	11,091,200	11,093,000	1,800
Special Revenue Funds - Federal	6,400,000	7,600,000	1,200,000
Special Revenue Funds - Other	3,429,600	4,452,000	1,022,400
Internal Service Funds	119,952,900	113,622,000	(6,330,900)
Real Property Management and Development			
General Fund	101,596,300	101,397,000	(199,300)
Special Revenue Funds - Other	10,160,800	9,271,000	(889,800)
Enterprise Funds	1,251,000	1,415,000	164,000
Internal Service Funds	11,558,300	18,857,000	7,298,700
Agency Trust Funds	250,000	250,000	0
Total	364,870,900	378,838,000	13,967,100

GENERAL SERVICES

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Executive Direction	5,739,000	(103,100)	5,531,000	(111,100)
Information Technology and Procurement	9,778,000	(123,400)	9,725,000	(137,400)
Real Property Management and Development	35,829,000	(930,500)	34,956,000	(931,400)
Total	51,346,000	(1,157,000)	50,212,000	(1,179,900)

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Executive Direction	156,000	6,000	52,000	2,000
Information Technology and Procurement	0	0	53,000	14,000
Real Property Management and Development	0	0	873,000	900
Total	156,000	6,000	978,000	16,900

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Direction	6,523,000	104,800	198,000	600
Information Technology and Procurement	1,315,000	125,200	97,000	(2,700)
Real Property Management and Development	65,568,000	731,200	4,000,000	0
Total	73,406,000	961,200	4,295,000	(2,100)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Direction	91,000	800	2,059,000	103,400
Information Technology and Procurement	57,000	(1,400)	1,140,000	129,500
Real Property Management and Development	275,000	0	59,793,000	1,131,200
Total	423,000	(600)	62,992,000	1,364,100

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction	0	0	4,175,000	0
Information Technology and Procurement	21,000	(200)	0	0
Real Property Management and Development	1,500,000	(200,000)	0	(200,000)
Total	1,521,000	(200,200)	4,175,000	(200,000)

GENERAL SERVICES

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Design and Construction	51,382,000	6,433,200	26,334,000	946,800
Executive Direction	47,237,000	5,265,300	1,221,000	443,400
Information Technology and Procurement	125,674,000	(4,108,500)	10,295,000	(626,300)
Real Property Management and Development	29,793,000	6,572,900	6,876,000	465,900
Total	<u>254,086,000</u>	<u>14,162,900</u>	<u>44,726,000</u>	<u>1,229,800</u>

Program	Nonpersonal Service		Maintenance	Undistributed
	Amount	Change	Amount	Change
Design and Construction	25,048,000	5,486,400	0	0
Executive Direction	46,016,000	4,821,900	0	0
Information Technology and Procurement	115,379,000	(3,482,200)	0	0
Real Property Management and Development	22,667,000	6,107,000	250,000	0
Total	<u>209,110,000</u>	<u>12,933,100</u>	<u>250,000</u>	<u>0</u>

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

Comprehensive Construction Program	Available 2001-02	Recommended 2002-03	Change	Reappropriations 2002-03
Design and Construction Supervision				
Capital Projects Fund	6,500,000	8,000,000	1,500,000	19,821,000
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	32,500,000	206,000,000	173,500,000	61,230,000
Capital Projects Fund - Advances	0	0	0	5,479,000
Total	<u>39,000,000</u>	<u>214,000,000</u>	<u>175,000,000</u>	<u>90,030,000</u>

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 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The 2002-03 Executive Budget recommends a General Fund appropriation of approximately \$5.0 million and nearly \$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 5,000 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.

Since 1999, the Office's investigations have resulted in the arrest of more than 140 individuals, and referrals for discipline in numerous other cases. In addition, many cases resulted in recommendations for administrative or policy changes. The State Inspector General's cases uncovered instances of theft, bid rigging, bribery, creation of fraudulent documents, misuse of computers, narcotics trafficking, and sexual assault. Equally important, the Office's investigations have, in many instances, cleared agencies and individuals of allegations that were unfounded or unsubstantiated.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available	Appropriations Recommended	Change	Reappropriations Recommended
	2001-02	2002-03		2002-03
State Operations	6,366,000	6,366,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	6,366,000	6,366,000	0	0

STATE INSPECTOR GENERAL

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
Inspector General			
General Fund	63	63	0
Special Revenue Funds - Other	19	19	0
Total	82	82	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	4,967,000	4,967,000	0
Special Revenue Funds - Other	1,399,000	1,399,000	0
Total	6,366,000	6,366,000	0

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

Program	Available 2001-02	Recommended 2002-03	Change
Inspector General			
General Fund	4,967,000	4,967,000	0
Special Revenue Funds - Other	1,399,000	1,399,000	0
Total	6,366,000	6,366,000	0

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Inspector General	4,387,000	0	4,387,000	0
Total	4,387,000	0	4,387,000	0

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Inspector General	580,000	0	580,000	0
Total	580,000	0	580,000	0

STATE INSPECTOR GENERAL

STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Inspector General	1,399,000	0	1,014,000	(14,000)
Total	<u>1,399,000</u>	<u>0</u>	<u>1,014,000</u>	<u>(14,000)</u>
Program	Nonpersonal Service			
	Amount	Change		
Inspector General	385,000	14,000		
Total	<u>385,000</u>	<u>14,000</u>		

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, Oneonta 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 2002-03.

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 \$125.4 million for the Insurance Department, which will fund the Department's current level of activity and provide \$17.6 million to the Department of State for costs associated with fire prevention efforts, including fire safety inspections on private college campuses, and enforcement of state building code regulations.

The Executive Budget also recommends \$4.7 million for implementation of Executive Order 109 that appointed the Attorney General as a Special Prosecutor to combat no-fault auto insurance fraud.

PROGRAM HIGHLIGHTS

The Department ensures that insurance companies meet statutory requirements regarding their finances 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 or 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	115,470,000	125,419,000	9,949,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	115,470,000	125,419,000	9,949,000	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
Special Revenue Funds - Other	134	134	0
Consumer Services			
Special Revenue Funds - Other	168	168	0
Regulation			
Special Revenue Funds - Other	622	622	0
Total	924	924	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Other	115,470,000	125,419,000	9,949,000
Total	115,470,000	125,419,000	9,949,000

Adjustments:

Recommended Deficiency	
Insurance Department	
Special Revenue Funds - Other	(3,000,000)
Appropriated 2001-02	112,470,000

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
Special Revenue Funds - Other	11,240,700	15,461,000	4,220,300
Consumer Services			
Special Revenue Funds - Other	10,617,400	11,023,000	405,600
Regulation			
Special Revenue Funds - Other	93,611,900	98,935,000	5,323,100
Total	115,470,000	125,419,000	9,949,000

INSURANCE

STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	15,461,000	4,220,300	7,997,000	347,000
Consumer Services	11,023,000	405,600	7,620,000	196,000
Regulation	98,935,000	5,323,100	41,998,000	3,118,000
Total	125,419,000	9,949,000	57,615,000	3,661,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	7,464,000	3,873,300	0	0
Consumer Services	3,403,000	209,600	0	0
Regulation	33,225,000	3,076,100	23,712,000	(871,000)
Total	44,092,000	7,159,000	23,712,000	(871,000)

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 2002 and 2003, the specific amount being dependent upon actual revenue generated. Ongoing revenue maximization efforts are being offset now by declining interest rates so that total grant awards for 2002 and 2003 are expected to remain level.

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 2002, IOLA will award grants to an estimated 90 organizations.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	1,443,000	1,559,000	116,000	0
Aid To Localities	14,950,000	14,950,000	0	0
Capital Projects	0	0	0	0
Total	16,393,000	16,509,000	116,000	0

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
New York Interest on Lawyer Account Fiduciary Funds	9	9	0
Total	9	9	0

INTEREST ON LAWYER

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Fiduciary Funds	1,443,000	1,559,000	116,000
Total	1,443,000	1,559,000	116,000

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

Program	Available 2001-02	Recommended 2002-03	Change
New York Interest on Lawyer Account			
Fiduciary Funds	1,443,000	1,559,000	116,000
Total	1,443,000	1,559,000	116,000

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
New York Interest on Lawyer Account	1,559,000	116,000	628,000	36,000
Total	1,559,000	116,000	628,000	36,000

Program	Nonpersonal Service	
	Amount	Change
New York Interest on Lawyer Account	931,000	80,000
Total	931,000	80,000

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Fiduciary Funds	14,950,000	14,950,000	0
Total	14,950,000	14,950,000	0

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

Program	Available 2001-02	Recommended 2002-03	Change
New York Interest on Lawyer Account			
Fiduciary Funds	14,950,000	14,950,000	0
Total	14,950,000	14,950,000	0

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 24 staff positions at the Commission, which has its main office in New York City.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2002-03 a total of \$3 million in State tax dollars and \$200,000 in anticipated asset forfeitures will support the expenses of the Commission.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	3,109,900	3,225,000	115,100	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	3,109,900	3,225,000	115,100	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Investigation			
General Fund	32	30	(2)
Total	32	30	(2)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	2,909,900	3,025,000	115,100
Special Revenue Funds - Other	200,000	200,000	0
Total	3,109,900	3,225,000	115,100

INVESTIGATION

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

Program	Available 2001-02	Recommended 2002-03	Change
Investigation			
General Fund	2,909,900	3,025,000	115,100
Special Revenue Funds - Other	200,000	200,000	0
Total	<u>3,109,900</u>	<u>3,225,000</u>	<u>115,100</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Investigation	2,325,000	167,000	2,310,000	183,000
Total	<u>2,325,000</u>	<u>167,000</u>	<u>2,310,000</u>	<u>183,000</u>

Program	Temporary Service (Nonannual Salaried)	
	Amount	Change
Investigation	15,000	(16,000)
Total	<u>15,000</u>	<u>(16,000)</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Investigation	700,000	(51,900)	16,000	(11,000)
Total	<u>700,000</u>	<u>(51,900)</u>	<u>16,000</u>	<u>(11,000)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Investigation	60,000	2,000	592,000	(43,900)
Total	<u>60,000</u>	<u>2,000</u>	<u>592,000</u>	<u>(43,900)</u>

Program	Equipment	
	Amount	Change
Investigation	32,000	1,000
Total	<u>32,000</u>	<u>1,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Investigation	200,000	0	200,000	0
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, 4 of whom are appointed by the Governor, 3 by the Chief Judge of the Court of Appeals and the remaining 4 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 a staff of 26 in fiscal year 2002-03. Its main office is in New York City, with branches in Albany and Rochester. Its budget of \$2.2 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.

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 2002-03, a total of \$150,000 in State tax dollars will support the Committees.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	2,280,000	2,390,000	110,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	2,280,000	2,390,000	110,000	0

JUDICIAL COMMISSIONS

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

Full-Time Equivalent Positions (FTE)

Program	2001-02	2002-03	FTE Change
	Estimated FTEs 03/31/02	Estimated FTEs 03/31/03	
Judicial Conduct			
General Fund	26	26	0
Total	26	26	0

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

Fund Type	Available	Recommended	Change
	2001-02	2002-03	
General Fund	2,280,000	2,390,000	110,000
Total	2,280,000	2,390,000	110,000

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

Program	Available	Recommended	Change
	2001-02	2002-03	
Judicial Conduct			
General Fund	2,120,000	2,230,000	110,000
Judicial Nomination, Commission on			
General Fund	10,000	10,000	0
Judicial Screening Committees			
General Fund	150,000	150,000	0
Total	2,280,000	2,390,000	110,000

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Judicial Conduct	1,810,000	108,000	1,790,000	116,000
Total	1,810,000	108,000	1,790,000	116,000

Program	Temporary Service (Nonannual Salaried)	
	Amount	Change
Judicial Conduct	20,000	(8,000)
Total	20,000	(8,000)

JUDICIAL COMMISSIONS

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Judicial Conduct	420,000	2,000	32,000	1,000
Judicial Nomination, Commission on	10,000	0	0	0
Judicial Screening Committees	150,000	0	0	0
Total	<u>580,000</u>	<u>2,000</u>	<u>32,000</u>	<u>1,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Judicial Conduct	31,000	0	342,000	0
Total	<u>31,000</u>	<u>0</u>	<u>342,000</u>	<u>0</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Judicial Conduct	15,000	1,000	0	0
Judicial Nomination, Commission on	0	0	10,000	0
Judicial Screening Committees	0	0	150,000	0
Total	<u>15,000</u>	<u>1,000</u>	<u>160,000</u>	<u>0</u>

DEPARTMENT OF LAW

MISSION

The Department of Law was created in 1926 and is headed by the State Attorney General, who is elected by the people. The Department is responsible for protecting the legal rights of New York State and its citizens by representing the State in litigation and in other legal affairs.

In implementing its constitutional 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 1,869 positions for 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Executive Budget recommends \$186.9 million for the Department. This recommendation includes \$120.6 million in tax dollars from the General Fund, which will finance 65 percent of these expenses for 2002-03. Additional support for 2002-03 will be provided by:

- Federal funding of \$30.9 million to finance Medicaid fraud efforts;
- Revenues of \$26.5 million related to the collection of non-tax debt and litigation settlements; and
- \$8.7 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.
- The Division of State Counsel provides State agencies, the Governor, other State officials and the Legislature with counsel and representation in legal proceedings. It

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- 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 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	175,349,800	186,935,000	11,585,200	21,784,300
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	175,349,800	186,935,000	11,585,200	21,784,300

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	189	179	(10)
Appeals and Opinions			
General Fund	66	65	(1)
Counsel for the State			
General Fund	320	315	(5)
Special Revenue Funds - Other	144	144	0
Internal Service Funds	109	109	0
Criminal Prosecutions			
General Fund	193	191	(2)
Special Revenue Funds - Other	65	65	0
Medicaid Fraud Control			
General Fund	93	78	(15)
Special Revenue Funds - Federal	269	269	0
Public Advocacy			
General Fund	296	294	(2)
Special Revenue Funds - Other	7	7	0
Regional Offices			
General Fund	154	153	(1)
Total	1,905	1,869	(36)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	119,574,000	120,618,000	1,044,000
Special Revenue Funds - Federal	28,735,800	31,073,000	2,337,200
Special Revenue Funds - Other	19,835,000	26,244,000	6,409,000
Internal Service Funds	7,205,000	9,000,000	1,795,000
Total	175,349,800	186,935,000	11,585,200

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	29,654,000	26,462,000	(3,192,000)
Appeals and Opinions			
General Fund	4,789,000	5,289,000	500,000
Counsel for the State			
General Fund	32,906,000	31,671,000	(1,235,000)
Special Revenue Funds - Other	13,667,000	17,527,000	3,860,000
Internal Service Funds	7,205,000	9,000,000	1,795,000
Criminal Prosecutions			
General Fund	16,003,000	18,287,000	2,284,000
Special Revenue Funds - Federal	162,800	150,000	(12,800)
Special Revenue Funds - Other	2,570,000	4,600,000	2,030,000
Medicaid Fraud Control			
General Fund	4,654,000	4,654,000	0
Special Revenue Funds - Federal	28,573,000	30,923,000	2,350,000
Special Revenue Funds - Other	3,598,000	4,117,000	519,000
Public Advocacy			
General Fund	20,304,000	21,924,000	1,620,000
Regional Offices			
General Fund	11,264,000	12,331,000	1,067,000
Total	175,349,800	186,935,000	11,585,200

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	10,664,000	463,000	10,374,000	402,000
Appeals and Opinions	4,591,000	503,000	4,446,000	449,000
Counsel for the State	22,879,000	1,503,000	22,346,000	1,401,000
Criminal Prosecutions	14,007,000	970,000	13,952,000	1,161,000
Medicaid Fraud Control	4,654,000	0	4,577,000	0
Public Advocacy	20,168,000	1,627,000	19,650,000	1,501,000
Regional Offices	10,434,000	1,076,000	10,108,000	982,000
Total	87,397,000	6,142,000	85,453,000	5,896,000

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	290,000	61,000	0	0
Appeals and Opinions	145,000	54,000	0	0
Counsel for the State	533,000	102,000	0	0
Criminal Prosecutions	55,000	(188,000)	0	(3,000)
Medicaid Fraud Control	77,000	0	0	0
Public Advocacy	518,000	136,000	0	(10,000)
Regional Offices	326,000	112,000	0	(18,000)
Total	1,944,000	277,000	0	(31,000)

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	15,798,000	(3,655,000)	83,000	(11,000)
Appeals and Opinions	698,000	(3,000)	352,000	(2,000)
Counsel for the State	8,792,000	(2,738,000)	46,000	(118,000)
Criminal Prosecutions	4,280,000	1,314,000	68,000	(3,000)
Public Advocacy	1,756,000	(7,000)	80,000	(1,000)
Regional Offices	1,897,000	(9,000)	19,000	0
Total	33,221,000	(5,098,000)	648,000	(135,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	60,000	(8,000)	15,324,000	(3,589,000)
Appeals and Opinions	29,000	0	315,000	(1,000)
Counsel for the State	108,000	(272,000)	459,000	(436,000)
Criminal Prosecutions	293,000	(13,000)	3,354,000	1,356,000
Public Advocacy	78,000	0	1,459,000	(6,000)
Regional Offices	218,000	(1,000)	1,623,000	(8,000)
Total	786,000	(294,000)	22,534,000	(2,684,000)

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	331,000	(47,000)	0	0
Appeals and Opinions	2,000	0	0	0
Counsel for the State	44,000	(112,000)	8,135,000	(1,800,000)
Criminal Prosecutions	565,000	(26,000)	0	0
Public Advocacy	139,000	0	0	0
Regional Offices	37,000	0	0	0
Total	1,118,000	(185,000)	8,135,000	(1,800,000)

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Counsel for the State	26,527,000	5,655,000	8,078,000	672,000
Criminal Prosecutions	4,750,000	2,017,200	0	0
Medicaid Fraud Control	35,040,000	2,869,000	18,013,000	931,000
Total	66,317,000	10,541,200	26,091,000	1,603,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Counsel for the State	9,449,000	3,188,000	9,000,000	1,795,000
Criminal Prosecutions	0	0	4,750,000	2,017,200
Medicaid Fraud Control	12,910,000	1,419,000	4,117,000	519,000
Total	22,359,000	4,607,000	17,867,000	4,331,200

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 16.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Commission receives 79 percent of its support from State tax dollars from the General Fund. The remaining 21 percent of its operations is funded by civil penalty fines assessed on lobbyists for violations of the Lobbying Law.

The Executive Budget recommends \$1.1 million 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 2000, the Commission's oversight responsibilities included 2,580 registered lobbyists, 1,435 clients of lobbyists, and 49 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 19,781 bills before the Legislature and 1,692 rules, regulations and rate applications involving State agencies.

In 2002-03, the Commission will undertake an Electronic Filing Pilot Program. This undertaking should simplify reporting for the majority of filers and contribute toward more rapid disclosure of lobbying activities to the public while reducing labor-intensive tasks of Commission staff members.

LOBBYING

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	1,230,000	1,430,000	200,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	1,230,000	1,430,000	200,000	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Operations			
General Fund	16	16	0
Total	16	16	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	1,130,000	1,130,000	0
Special Revenue Funds - Other	100,000	300,000	200,000
Total	1,230,000	1,430,000	200,000

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

Program	Available 2001-02	Recommended 2002-03	Change
Operations			
General Fund	1,130,000	1,130,000	0
Special Revenue Funds - Other	100,000	300,000	200,000
Total	1,230,000	1,430,000	200,000

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Operations	987,000	0	987,000	0
Total	987,000	0	987,000	0

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Operations	143,000	0	143,000	0
Total	143,000	0	143,000	0

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Operations	300,000	200,000	300,000	200,000
Total	300,000	200,000	300,000	200,000

DIVISION OF MILITARY AND NAVAL AFFAIRS

MISSION

The primary mission of the Division of Military and Naval Affairs (DMNA) is twofold. Through the State's organized militia, it maintains a well-trained military force ready to respond to civil emergencies and natural and man-made disasters, and with respect to federally recognized units, threats to the nation's security. Through the State Emergency Management Office (SEMO), it coordinates the State's response to natural and man-made disasters and prepares the State, local governments and residents to deal effectively with any such potential disasters.

In recent years, the Division has also broadened its mission to include joint partnerships with local communities. Such partnerships include aid to law enforcement agencies in their anti-drug activities, 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, the Division provides administrative support for nearly 18,000 New York-based National Guard troops who are paid directly by the Federal government.

The State Emergency Management Office 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 649 in 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Executive Budget recommendations for fiscal year 2002-03 support the Division's core mission of using its well-trained military force to both respond to civil emergencies and to support local authorities in their efforts to guard against ongoing security threats. In so doing, the Agency will continue a comprehensive infrastructure review to determine which armories are vital to the support of these activities.

Approximately 55 percent of the Division's State Operations programs are supported with Federal funds; 17 percent are funded from special accounts with revenues from the nuclear power industry, armory rentals and seized assets; and State tax dollars from the General Fund support the remaining 28 percent. The Division's \$7.2 million Aid to Localities budget is supported by both Federal grants and assessments paid by nuclear power generating facilities. The Executive Budget recommends funding of \$64.5 million for Division of Military and Naval Affairs State Operations: \$46.2 million from Federal funding and special account revenues, and \$18.3 million in General Fund support.

The 2002-03 Capital Plan recommendations of \$19.3 million in new appropriations represent an increase of nearly \$10 million above the 2001-02 appropriations level of \$9.7 million. Of this increase, \$7 million will support a recently announced seven-year Federal military construction plan to replace or expand armories and equipment maintenance facilities across the State. The balance supports a continuation of Division efforts to maintain its existing facilities and, where feasible, restore the armories to preserve their historic and future value.

MILITARY AND NAVAL AFFAIRS

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 reversed the Guard's ten-year decline in troop strength and significantly improved New York's ability to maintain guard strength.

MILITARY READINESS

The Military Readiness programs constitute the heart 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. In 2001, the Readiness program mounted a sustained, large-scale activation to assist in World Trade Center disaster response efforts as well as subsequent activities to safeguard the State's citizenry from new security threats. Other responses to civilian emergencies in recent years have included the abatement and mitigation of the effects of forest fires, blizzards, floods and ice storms. Recent military endeavors include commanding the North East air defense, providing air support to the National Antarctica mission, and participating in military efforts to provide relief to disaster victims in El Salvador, Honduras and Puerto Rico.

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, including 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

The State Emergency Management Office coordinates the State's response to natural disasters and other emergencies. In the immediate aftermath of the September 11, 2001 attack on the World Trade Center, the Office activated the State Emergency Operations Center, located in Albany. In addition, SEMO staff traveled to the disaster site that morning and provided critical support to early crisis management efforts by the City of New York. The Office will continue to coordinate the activities of all State agencies that are participating in the response and recovery efforts.

Other recent emergencies have included flooding and mudslides in the spring of 2000, Tropical Storm Floyd and the Bear Mountain fires in the summer of 1999, and the ice storm of 1998. The Office 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	60,229,200	64,532,000	4,302,800	21,446,400
Aid To Localities	15,007,150,000	7,150,000	(15,000,000,000)	14,896,047,500
Capital Projects	9,725,000	19,300,000	9,575,000	17,250,000
Total	<u>15,077,104,200</u>	<u>90,982,000</u>	<u>(14,986,122,200)</u>	<u>14,934,743,900</u>

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	62	62	0
Emergency Management			
General Fund	19	19	0
Special Revenue Funds - Federal	63	63	0
Special Revenue Funds - Other	21	21	0
Military Readiness			
General Fund	185	181	(4)
Special Revenue Funds - Federal	255	255	0
Special Service			
General Fund	18	18	0
Special Revenue Funds - Federal	27	27	0
Special Revenue Funds - Other	3	3	0
Total	<u>653</u>	<u>649</u>	<u>(4)</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	16,025,500	18,283,000	2,257,500
Special Revenue Funds - Federal	32,812,300	35,382,000	2,569,700
Special Revenue Funds - Other	10,819,400	10,295,000	(524,400)
Fiduciary Funds	572,000	572,000	0
Total	<u>60,229,200</u>	<u>64,532,000</u>	<u>4,302,800</u>

Adjustments:	
Recommended Deficiency	
Military and Naval Affairs, Division of	
General Fund	(2,275,000)
Appropriated 2001-02	<u>57,954,200</u>

MILITARY AND NAVAL AFFAIRS

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	3,414,100	3,753,000	338,900
Disaster Assistance			
Special Revenue Funds - Federal	1,680,400	1,775,000	94,600
Emergency Management			
General Fund	1,267,800	1,388,000	120,200
Special Revenue Funds - Federal	7,563,300	8,945,000	1,381,700
Special Revenue Funds - Other	1,881,400	1,748,000	(133,400)
Military Readiness			
General Fund	10,446,100	12,116,000	1,669,900
Special Revenue Funds - Federal	20,832,800	22,827,000	1,994,200
Special Service			
General Fund	897,500	1,026,000	128,500
Special Revenue Funds - Federal	2,735,800	1,835,000	(900,800)
Special Revenue Funds - Other	8,938,000	8,547,000	(391,000)
Fiduciary Funds	572,000	572,000	0
Total	<u>60,229,200</u>	<u>64,532,000</u>	<u>4,302,800</u>

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,310,000	230,900	3,293,000	230,400
Emergency Management	1,110,000	111,100	1,098,000	110,100
Military Readiness	7,850,000	664,700	7,370,000	649,400
Special Service	792,000	121,500	741,899	71,399
Total	<u>13,062,000</u>	<u>1,128,200</u>	<u>12,502,899</u>	<u>1,061,299</u>
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	0	0	17,000	500
Emergency Management	0	0	12,000	1,000
Military Readiness	194,000	6,100	286,000	9,200
Special Service	40,000	40,000	10,101	10,101
Total	<u>234,000</u>	<u>46,100</u>	<u>325,101</u>	<u>20,801</u>

MILITARY AND NAVAL AFFAIRS

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	443,000	108,000	79,000	32,600
Emergency Management	278,000	9,100	45,300	0
Military Readiness	4,266,000	1,005,200	159,000	(12,400)
Special Service	234,000	7,000	137,000	28,000
Total	5,221,000	1,129,300	420,300	48,200

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	32,000	11,400	191,000	(66,700)
Emergency Management	26,500	0	156,800	9,100
Military Readiness	32,000	(21,000)	3,628,000	1,054,700
Special Service	7,000	(5,000)	74,000	(16,000)
Total	97,500	(14,600)	4,049,800	981,100

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	141,000	130,700	0	0
Emergency Management	49,400	0	0	0
Military Readiness	7,000	(16,100)	440,000	0
Special Service	16,000	0	0	0
Total	213,400	114,600	440,000	0

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Disaster Assistance	1,775,000	94,600	1,072,000	138,000
Emergency Management	10,693,000	1,248,300	4,591,000	598,400
Military Readiness	22,827,000	1,994,200	11,523,000	1,433,000
Special Service	10,954,000	(1,291,800)	2,092,000	(559,500)
Total	46,249,000	2,045,300	19,278,000	1,609,900

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Disaster Assistance	703,000	(43,400)	0	0
Emergency Management	6,102,000	649,900	0	0
Military Readiness	11,304,000	561,200	0	0
Special Service	4,884,000	(732,300)	3,978,000	0
Total	22,993,000	435,400	3,978,000	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Federal	15,005,500,000	5,500,000	(15,000,000,000)
Special Revenue Funds - Other	1,650,000	1,650,000	0
Total	15,007,150,000	7,150,000	(15,000,000,000)

Adjustments:			
Recommended Deficiency			
Military and Naval Affairs, Division of			
Special Revenue Funds - Federal	(10,000,000,000)		
Appropriated 2001-02	5,007,150,000		

MILITARY AND NAVAL AFFAIRS

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

Program	Available 2001-02	Recommended 2002-03	Change
Disaster Assistance			
Special Revenue Funds - Federal	15,000,000,000	0	(15,000,000,000)
Emergency Management			
Special Revenue Funds - Federal	5,500,000	5,500,000	0
Special Revenue Funds - Other	1,650,000	1,650,000	0
Total	<u>15,007,150,000</u>	<u>7,150,000</u>	<u>(15,000,000,000)</u>

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

Comprehensive Construction Program	Available 2001-02	Recommended 2002-03	Change	Reappropriations 2002-03
Design and Construction Supervision				
Capital Projects Fund	1,000,000	1,900,000	900,000	2,750,000
Federal Capital Projects Fund	275,000	2,700,000	2,425,000	750,000
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	5,300,000	6,200,000	900,000	6,100,000
Federal Capital Projects Fund	3,150,000	8,500,000	5,350,000	7,650,000
Total	<u>9,725,000</u>	<u>19,300,000</u>	<u>9,575,000</u>	<u>17,250,000</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 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 38 community-based supervision offices.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2002-03, approximately \$152 million in State tax dollars and \$1.5 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 budget recommendations also build on prior year initiatives designed to supervise offenders in the community by providing intensive parole officer supervision caseloads for violent felony offenders, sex offenders and for those parolees who complete the drug treatment program at the Willard Drug Treatment Campus.

Approximately \$35.9 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. In order to reduce the impact on localities and speed the return of non-compliant parolees to State prison, the Division has developed several procedural changes that have made the parole revocation process more efficient. These management efficiencies have significantly reduced the amount of time parole violators spend in local jails.

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 to support their return to society, 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

PAROLE

determinations, and supervising parolees upon release. As a result of changes to the Penal Law by the Sentencing Reform Act of 1995 and Jenna's Law, violent felony offenders are 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	151,832,000	154,353,000	2,521,000	5,328,900
Aid To Localities	48,474,000	43,934,000	(4,540,000)	8,327,900
Capital Projects	0	0	0	0
Total	200,306,000	198,287,000	(2,019,000)	13,656,800

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	118	118	0
Parole Operations			
General Fund	2,230	2,214	(16)
Special Revenue Funds - Federal	3	3	0
Total	2,351	2,335	(16)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	146,307,000	152,067,000	5,760,000
Special Revenue Funds - Federal	4,700,000	1,461,000	(3,239,000)
Special Revenue Funds - Other	400,000	400,000	0
Fiduciary Funds	425,000	425,000	0
Total	151,832,000	154,353,000	2,521,000

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	8,276,000	8,548,000	272,000
Parole Operations			
General Fund	138,031,000	143,519,000	5,488,000
Special Revenue Funds - Federal	4,700,000	1,461,000	(3,239,000)
Special Revenue Funds - Other	400,000	400,000	0
Fiduciary Funds	425,000	425,000	0
Total	<u>151,832,000</u>	<u>154,353,000</u>	<u>2,521,000</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	7,099,000	247,000	6,968,000	243,000
Parole Operations	117,261,000	3,213,000	113,401,000	3,051,000
Total	<u>124,360,000</u>	<u>3,460,000</u>	<u>120,369,000</u>	<u>3,294,000</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	0	0	131,000	4,000
Parole Operations	80,000	42,000	3,780,000	120,000
Total	<u>80,000</u>	<u>42,000</u>	<u>3,911,000</u>	<u>124,000</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,449,000	25,000	37,000	0
Parole Operations	26,258,000	2,275,000	1,037,000	50,000
Total	<u>27,707,000</u>	<u>2,300,000</u>	<u>1,074,000</u>	<u>50,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	238,000	0	1,160,000	25,000
Parole Operations	3,505,000	150,000	19,934,000	1,510,000
Total	<u>3,743,000</u>	<u>150,000</u>	<u>21,094,000</u>	<u>1,535,000</u>

Program	Equipment	
	Amount	Change
Administration	14,000	0
Parole Operations	1,782,000	565,000
Total	<u>1,796,000</u>	<u>565,000</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Parole Operations	425,000	(3,200,000)	425,000	(3,200,000)
Total	<u>425,000</u>	<u>(3,200,000)</u>	<u>425,000</u>	<u>(3,200,000)</u>

PAROLE

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	40,481,000	35,972,000	(4,509,000)
Special Revenue Funds - Federal	2,743,000	2,712,000	(31,000)
Internal Service Funds	5,250,000	5,250,000	0
Total	<u>48,474,000</u>	<u>43,934,000</u>	<u>(4,540,000)</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Parole Operations			
General Fund	40,481,000	35,972,000	(4,509,000)
Special Revenue Funds - Federal	2,743,000	2,712,000	(31,000)
Internal Service Funds	5,250,000	5,250,000	0
Total	<u>48,474,000</u>	<u>43,934,000</u>	<u>(4,540,000)</u>

OFFICE FOR THE PREVENTION OF DOMESTIC VIOLENCE

MISSION

The Office for the Prevention of Domestic Violence develops statewide 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 38 persons in 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Executive Budget continues support for the Office's policy development and training programs. The All Funds appropriation for the Office will be \$2.8 million in 2002-03 to carry out domestic violence prevention activities.

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. Additionally, as a result of the 1997 Welfare Reform legislation, the Office works 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)

Category	Available	Appropriations Recommended	Change	Reappropriations Recommended
	2001-02	2002-03		2002-03
State Operations	2,015,885	2,016,000	115	200,000
Aid To Localities	755,000	755,000	0	0
Capital Projects	0	0	0	0
Total	2,770,885	2,771,000	115	200,000

PREVENTION OF DOMESTIC VIOLENCE

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

Full-Time Equivalent Positions (FTE)			
Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	22	22	0
Special Revenue Funds - Federal	16	16	0
Total	38	38	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	1,845,885	1,846,000	115
Special Revenue Funds - Federal	100,000	100,000	0
Special Revenue Funds - Other	20,000	50,000	30,000
Fiduciary Funds	50,000	20,000	(30,000)
Total	2,015,885	2,016,000	115

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	1,845,885	1,846,000	115
Special Revenue Funds - Federal	100,000	100,000	0
Special Revenue Funds - Other	20,000	50,000	30,000
Fiduciary Funds	50,000	20,000	(30,000)
Total	2,015,885	2,016,000	115

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	1,342,000	2,715	1,342,000	2,715
Total	1,342,000	2,715	1,342,000	2,715

PREVENTION OF DOMESTIC VIOLENCE

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	504,000	(2,600)	78,000	53,000
Total	504,000	(2,600)	78,000	53,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	56,000	(24,000)	351,000	(20,600)
Total	56,000	(24,000)	351,000	(20,600)

Program	Equipment	
	Amount	Change
Administration	19,000	(11,000)
Total	19,000	(11,000)

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	170,000	0	170,000	0
Total	170,000	0	170,000	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	755,000	755,000	0
Total	755,000	755,000	0

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	755,000	755,000	0
Total	755,000	755,000	0

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. The agency also provides localities with grants to fund Alternatives to Incarceration programs that are designed to divert offenders from the State prison system with appropriate community-based sanctions.

ORGANIZATION AND STAFFING

Headed by a State Director appointed by the Governor, the Division is located in Albany. The Division will operate in 2002-03 with a staff of 31.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 2002-03, approximately \$2.3 million in State tax dollars will support the Division's State Operations budget. The Division's Aid to Localities program will distribute \$84.5 million in State support for probation services and alternatives to incarceration. Over the past two years, \$8 million in grants to community-based programs have been distributed through the Federal Temporary Assistance for 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 local assistance reflects the continuation of funds at the 2001-02 level. 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 online "virtual academy" for continuous training for new officers;
- Implementation of a standardized risk/needs assessment system is underway for adults in 14 county probation departments, with statewide implementation anticipated in the coming years. Similarly, 18 counties are currently using juvenile assessment tools which focus on the young offender's strengths as a means to identify the most appropriate and effective rehabilitative programming; and
- 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.

PROBATION AND CORRECTIONAL ALTERNATIVES

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	2,759,400	2,340,000	(419,400)	0
Aid To Localities	84,466,100	84,467,000	900	17,458,000
Capital Projects	0	0	0	0
Total	<u>87,225,500</u>	<u>86,807,000</u>	<u>(418,500)</u>	<u>17,458,000</u>

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Community Corrections			
General Fund	31	31	0
Total	<u>31</u>	<u>31</u>	<u>0</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	2,399,400	2,340,000	(59,400)
Special Revenue Funds - Federal	360,000	0	(360,000)
Total	<u>2,759,400</u>	<u>2,340,000</u>	<u>(419,400)</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Community Corrections			
General Fund	2,399,400	2,340,000	(59,400)
Special Revenue Funds - Federal	360,000	0	(360,000)
Total	<u>2,759,400</u>	<u>2,340,000</u>	<u>(419,400)</u>

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Community Corrections	1,865,000	(94,500)	1,865,000	(94,500)
Total	<u>1,865,000</u>	<u>(94,500)</u>	<u>1,865,000</u>	<u>(94,500)</u>

PROBATION AND CORRECTIONAL ALTERNATIVES

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Community Corrections	475,000	35,100	27,000	400
Total	475,000	35,100	27,000	400

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Community Corrections	60,000	0	358,000	34,700
Total	60,000	0	358,000	34,700

Program	Equipment	
	Amount	Change
Community Corrections	30,000	0
Total	30,000	0

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Community Corrections	0	(360,000)	0	(360,000)
Total	0	(360,000)	0	(360,000)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	84,466,100	84,467,000	900
Total	84,466,100	84,467,000	900

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

Program	Available 2001-02	Recommended 2002-03	Change
Community Corrections			
General Fund	84,466,100	84,467,000	900
Total	84,466,100	84,467,000	900

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 4,300 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.

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 \$218,000 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 335 of the 2,400 State and local contracts negotiated in 2000-2001. 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 2000-2001, the Board received 114 petitions raising questions about representation and conducted 14 elections for representation.

EMPLOYMENT PRACTICES

The Board conducts hearings and renders decisions on improper practice charges, and received petitions on 925 charges of improper employment and negotiating practices in the previous year. In 2000-2001, the agency wrote over 271 decisions and closed, either by

PUBLIC EMPLOYMENT RELATIONS

decision or settlement, over 979 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	3,960,900	3,995,000	34,100	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	3,960,900	3,995,000	34,100	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	42	39	(3)
Special Revenue Funds - Other	2	2	0
Total	44	41	(3)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	3,761,600	3,777,000	15,400
Special Revenue Funds - Other	199,300	218,000	18,700
Total	3,960,900	3,995,000	34,100

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	3,761,600	3,777,000	15,400
Special Revenue Funds - Other	199,300	218,000	18,700
Total	3,960,900	3,995,000	34,100

PUBLIC EMPLOYMENT RELATIONS

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,286,000	(23,000)	2,972,000	(20,000)
Total	3,286,000	(23,000)	2,972,000	(20,000)

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	314,000	0	0	(3,000)
Total	314,000	0	0	(3,000)

STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	491,000	38,400	60,000	0
Total	491,000	38,400	60,000	0

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	49,000	(1,000)	382,000	39,400
Total	49,000	(1,000)	382,000	39,400

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	218,000	18,700	0	(55,000)
Total	218,000	18,700	0	(55,000)

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	0	(144,300)	218,000	218,000
Total	0	(144,300)	218,000	218,000

GOVERNOR'S OFFICE OF REGULATORY REFORM

MISSION

The Governor's Office of Regulatory Reform was created 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 2,000 rules which, together with other regulatory, statutory and permitting reforms, has saved State businesses and localities over \$3 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 40 positions for 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Office's operations are supported by State tax dollars from the General Fund. The Executive Budget recommends \$3.7 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 300,000 individuals or firms interested in starting or growing a business in New York. This effort was facilitated by the development of a master application form for complex business ventures, a comprehensive permit reform program and development of a web site, www.nys-permits.org, which provides businesses with permit information.

REGULATORY REFORM

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	3,584,000	3,702,000	118,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	3,584,000	3,702,000	118,000	0

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	43	40	(3)
Total	43	40	(3)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	3,584,000	3,702,000	118,000
Total	3,584,000	3,702,000	118,000

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	3,584,000	3,702,000	118,000
Total	3,584,000	3,702,000	118,000

STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	2,690,000	29,000	2,685,000	29,000
Total	2,690,000	29,000	2,685,000	29,000

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	5,000	0
Total	5,000	0

REGULATORY REFORM

STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,012,000	89,000	53,000	2,000
Total	1,012,000	89,000	53,000	2,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	52,000	2,000	720,000	79,000
Total	52,000	2,000	720,000	79,000

Program	Equipment	
	Amount	Change
Administration	187,000	6,000
Total	187,000	6,000

DEPARTMENT OF STATE

MISSION

Established in 1788, the Department of State (DOS) 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 investigation, 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 883 positions for 2002-03.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

Approximately 29 percent of the Department's operations and local aid programs are funded from fees and other income, 60 percent from Federal grants, and 11 percent from State tax dollars from the General Fund. The Executive Budget recommends funding of \$139.4 million for the Department of State: \$124.1 million in Federal funding and fee revenues, and \$15.3 million in General Fund support.

Major recommendations include:

- Continued support for Department-wide technology improvements to provide enhanced internet access and online 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.

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 (OFPC), which works with both paid and volunteer firefighters by providing training, technical support and assistance with arson investigations. OFPC trains and equips an urban search and rescue team based in the Capital Region, which joined with the Fire Department of New York in rescue efforts at the World Trade Center disaster site. OFPC also includes the Division of Code Enforcement and Administration, which administers New York's building and energy code. In addition to these activities, Local Government and Community Services program 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 Revolving Loan Program; and administer the Department's Federal grant programs, including the Appalachian Regional

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Commission and the State Rural Development Council. The federally funded Division of Community Services provides a means for achieving economic self-sufficiency through programs designed to improve opportunities for 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 23 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	53,297,800	63,240,000	9,942,200	21,866,000
Aid To Localities	57,450,000	76,200,000	18,750,000	68,933,000
Capital Projects	0	0	0	0
Total	110,747,800	139,440,000	28,692,200	90,799,000

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	48	48	0
Lake George Park Commission			
Special Revenue Funds - Other	11	11	0
Licensing Services			
Special Revenue Funds - Other	450	450	0
Local Government and Community Services			
General Fund	56	74	18
Special Revenue Funds - Federal	76	76	0
Special Revenue Funds - Other	166	176	10
Capital Projects Funds - Other	10	10	0
State Ethics Commission			
General Fund	21	21	0
Tug Hill Commission			
General Fund	17	17	0
Total	855	883	28

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	13,597,000	15,294,000	1,697,000
Special Revenue Funds - Federal	7,034,400	10,945,000	3,910,600
Special Revenue Funds - Other	32,566,400	36,801,000	4,234,600
Fiduciary Funds	100,000	200,000	100,000
Total	53,297,800	63,240,000	9,942,200

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	4,888,500	5,507,000	618,500
Lake George Park Commission			
Special Revenue Funds - Other	1,048,800	1,470,000	421,200
Licensing Services			
Special Revenue Funds - Other	29,253,500	33,781,000	4,527,500
Local Government and Community Services			
General Fund	5,995,600	6,890,000	894,400
Special Revenue Funds - Federal	7,034,400	10,945,000	3,910,600
Special Revenue Funds - Other	2,251,500	1,517,000	(734,500)
Fiduciary Funds	100,000	200,000	100,000
State Ethics Commission			
General Fund	1,789,900	1,939,000	149,100
Tug Hill Commission			
General Fund	923,000	958,000	35,000
Special Revenue Funds - Other	12,600	33,000	20,400
Total	<u>53,297,800</u>	<u>63,240,000</u>	<u>9,942,200</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,819,000	402,700	3,767,000	401,400
Local Government and Community Services	3,324,000	107,600	3,292,000	106,000
State Ethics Commission	1,315,000	83,600	1,315,000	83,900
Tug Hill Commission	857,000	61,100	849,000	60,500
Total	<u>9,315,000</u>	<u>655,000</u>	<u>9,223,000</u>	<u>651,800</u>
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	45,000	1,800	7,000	(500)
Local Government and Community Services	32,000	1,600	0	0
State Ethics Commission	0	0	0	(300)
Tug Hill Commission	8,000	600	0	0
Total	<u>85,000</u>	<u>4,000</u>	<u>7,000</u>	<u>(800)</u>

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**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,688,000	215,800	170,000	0
Local Government and Community Services	3,566,000	786,800	45,000	300
State Ethics Commission	624,000	65,500	20,000	(100)
Tug Hill Commission	101,000	(26,100)	12,000	(700)
Total	5,979,000	1,042,000	247,000	(500)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	60,000	0	1,354,000	215,500
Local Government and Community Services	70,000	200	306,000	400
State Ethics Commission	20,000	(100)	448,000	65,500
Tug Hill Commission	7,000	(900)	80,000	(24,400)
Total	157,000	(800)	2,188,000	257,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	104,000	300	0	0
Local Government and Community Services	359,000	(100)	2,786,000	786,000
State Ethics Commission	136,000	200	0	0
Tug Hill Commission	2,000	(100)	0	0
Total	601,000	300	2,786,000	786,000

**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Lake George Park Commission	1,470,000	421,200	614,000	71,400
Licensing Services	33,781,000	4,527,500	18,751,000	2,589,800
Local Government and Community Services	12,662,000	3,276,100	4,575,000	(184,800)
Tug Hill Commission	33,000	20,400	0	0
Total	47,946,000	8,245,200	23,940,000	2,476,400

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Lake George Park Commission	856,000	349,800	0	0
Licensing Services	15,030,000	1,937,700	0	0
Local Government and Community Services	7,137,000	2,760,900	950,000	700,000
Tug Hill Commission	33,000	20,400	0	0
Total	23,056,000	5,068,800	950,000	700,000

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Federal	55,250,000	72,500,000	17,250,000
Special Revenue Funds - Other	300,000	300,000	0
Fiduciary Funds	1,900,000	3,400,000	1,500,000
Total	<u>57,450,000</u>	<u>76,200,000</u>	<u>18,750,000</u>
Adjustments:			
Recommended Deficiency			
State, Department of			
Special Revenue Funds - Federal	<u>(4,500,000)</u>		
Appropriated 2001-02	<u>52,950,000</u>		

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

Program	Available 2001-02	Recommended 2002-03	Change
Licensing Services			
Special Revenue Funds - Other	300,000	300,000	0
Local Government and Community Services			
Special Revenue Funds - Federal	55,250,000	72,500,000	17,250,000
Fiduciary Funds	1,900,000	3,400,000	1,500,000
Total	<u>57,450,000</u>	<u>76,200,000</u>	<u>18,750,000</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 5,257 for 2002-03 are paid for with State tax dollars, with the remaining 12 percent supported by various other revenue sources, including Federal funds.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

Approximately \$337 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 \$4.6 million will enable the State Police to maintain Troop facilities and advance various projects related to health and safety. The recommendations also include appropriations for new Federal grants that support school safety, electronic ticketing and anti-money laundering initiatives.

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. In the coming year, the Division is expected to play a significant role in new Homeland Security initiatives now under development.

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, and respond to all types of calls including burglaries, missing children, assaults, robberies and homicides. State Troopers also provide essential support to local police departments.

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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, violent crimes and terrorism. 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)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	455,608,000	440,780,000	(14,828,000)	10,463,000
Aid To Localities	0	0	0	0
Capital Projects	2,700,000	4,600,000	1,900,000	6,748,000
Total	458,308,000	445,380,000	(12,928,000)	17,211,000

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	148	148	0
Criminal Investigation Activities			
General Fund	1,067	1,071	4
Special Revenue Funds - Federal	89	77	(12)
Indian Gaming			
Special Revenue Funds - Other	40	40	0
Patrol Activities			
General Fund	2,641	2,694	53
Special Revenue Funds - Federal	165	118	(47)
Patrol Activities			
Special Revenue Funds - Other	4	4	0
Policing the Thruway			
Special Revenue Funds - Other	340	340	0
Technical Police Services			
General Fund	725	725	0
Special Revenue Funds - Federal	6	6	0
Vehicle Dimension and Weight Enforcement			
Special Revenue Funds - Other	34	34	0
Total	5,259	5,257	(2)

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

<u>Fund Type</u>	<u>Available 2001-02</u>	<u>Recommended 2002-03</u>	<u>Change</u>
General Fund	364,102,000	336,927,000	(27,175,000)
Special Revenue Funds - Federal	9,525,000	21,338,000	11,813,000
Special Revenue Funds - Other	81,973,000	82,507,000	534,000
Fiduciary Funds	8,000	8,000	0
Total	<u>455,608,000</u>	<u>440,780,000</u>	<u>(14,828,000)</u>

Adjustments:

Transfer(s) From	
Special Pay Bill	
General Fund	(75,489,000)
Special Revenue Funds - Other	(11,020,200)
Appropriated 2001-02	<u>369,098,800</u>

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

<u>Program</u>	<u>Available 2001-02</u>	<u>Recommended 2002-03</u>	<u>Change</u>
Administration			
General Fund	10,412,271	10,944,000	531,729
Special Revenue Funds - Other	200,000	200,000	0
Fiduciary Funds	8,000	8,000	0
Criminal Investigation Activities			
General Fund	97,406,730	91,431,000	(5,975,730)
Special Revenue Funds - Federal	6,683,000	6,539,000	(144,000)
Special Revenue Funds - Other	7,779,540	6,766,000	(1,013,540)
Patrol Activities			
General Fund	203,122,786	173,815,000	(29,307,786)
Special Revenue Funds - Federal	2,842,000	14,799,000	11,957,000
Special Revenue Funds - Other	12,051,600	13,055,000	1,003,400
Policing the Thruway			
Special Revenue Funds - Other	37,648,160	30,787,000	(6,861,160)
Technical Police Services			
General Fund	53,160,213	60,737,000	7,576,787
Special Revenue Funds - Other	24,293,700	31,699,000	7,405,300
Total	<u>455,608,000</u>	<u>440,780,000</u>	<u>(14,828,000)</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service Regular (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	10,389,000	531,729	10,389,000	551,126
Criminal Investigation Activities	87,515,000	(5,795,730)	87,515,000	(4,605,720)
Patrol Activities	171,115,000	(26,645,671)	171,115,000	(23,150,499)
Technical Police Services	37,163,000	1,320,572	37,163,000	1,539,093
Total	<u>306,182,000</u>	<u>(30,589,100)</u>	<u>306,182,000</u>	<u>(25,666,000)</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>
Administration	0	(19,397)
Criminal Investigation Activities	0	(1,190,010)
Patrol Activities	0	(3,495,172)
Technical Police Services	0	(218,521)
Total	<u>0</u>	<u>(4,923,100)</u>

STATE POLICE

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	555,000	0	87,000	0
Criminal Investigation Activities	3,916,000	(12,000)	83,000	0
Patrol Activities	2,700,000	(8,000)	0	0
Technical Police Services	32,674,000	6,355,000	2,594,000	743,000
Total	39,845,000	6,335,000	2,764,000	743,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	77,000	0	383,000	(1,000)
Criminal Investigation Activities	67,000	(1,000)	475,000	(1,000)
Patrol Activities	1,278,000	(5,000)	606,000	(2,000)
Technical Police Services	3,641,000	(13,000)	16,628,000	5,660,000
Total	5,063,000	(19,000)	18,092,000	5,656,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	8,000	1,000	0	0
Criminal Investigation Activities	2,918,000	(10,000)	373,000	0
Patrol Activities	446,000	(1,000)	370,000	0
Technical Police Services	9,811,000	(35,000)	0	0
Total	13,183,000	(45,000)	743,000	0

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	208,000	0	0	0
Criminal Investigation Activities	13,305,000	(1,157,540)	8,499,000	120,527
Patrol Activities	27,854,000	12,960,400	8,930,000	5,227,000
Policing the Thruway	30,787,000	(6,861,160)	22,330,000	(3,706,627)
Technical Police Services	31,699,000	7,405,300	0	0
Total	103,853,000	12,347,000	39,759,000	1,640,900

Program	Nonpersonal Service	
	Amount	Change
Administration	208,000	0
Criminal Investigation Activities	4,806,000	(1,278,067)
Patrol Activities	18,924,000	7,733,400
Policing the Thruway	8,457,000	(3,154,533)
Technical Police Services	31,699,000	7,405,300
Total	64,094,000	10,706,100

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

Comprehensive Construction Program	Available 2001-02	Recommended 2002-03	Change	Reappropriations 2002-03
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	2,700,000	4,600,000	1,900,000	6,281,000
New Facilities				
Capital Projects Fund	0	0	0	467,000
Total	2,700,000	4,600,000	1,900,000	6,748,000

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. It is supported with State tax dollars from the General Fund and payments from other State agencies.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The 2002-03 General Fund recommendation of \$51 million supports ongoing agency activities. Major recommendations include:

- A \$10 million General Fund appropriation for the on-going renovation of space to house the Data Center, including a secure command center to monitor traffic over the network and to identify attempts to inappropriately access State information systems.
- A \$98 million Internal Service Fund appropriation for operation of the consolidated State Data Center. This fund will support positions previously transferred from State agencies, the cost of operating the Center's computers and providing the computing services authorized by agencies.
- A \$29.9 million Internal Service Fund appropriation for the New York Intranet (NYeNet), a modern telecommunications system that will be supported with fees charged to State and local users.
- A \$35 million Internal Service Fund appropriation to support the Human Services Network, a statewide data communication system that connects the State's human services agencies with local social services offices and voluntary provider organizations.

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. This strategic plan, first released in 1996 and updated in 2001, identified five priorities: the need for statewide policies and direction to guide the State's technology efforts; greater coordination and sharing of information among agencies involved in projects having multi-agency implications; reducing duplication of efforts by encouraging data sharing; coordinating technology purchases; and creating a statewide "intranet" to link State and local agencies.

A wide variety of activities are underway to implement this agenda. Improved management of the State's Geographic Information Systems (GIS) has been one of the Office's most successful initiatives. GIS has been an essential part of the World Trade Center response and recovery effort, providing critical information through high-resolution

TECHNOLOGY

orthoimagery to State, Federal and City response teams. The Office also offers training to GIS users. It has expanded the GIS data-sharing cooperative to include 360 government, academic and not-for-profit members, while increasing to over 1 million the number of data sets available to its members.

Under the auspices of the Office, several interagency work groups are developing or have developed other technology-related productivity initiatives that involve such topics as project management tools, electronic bidding and procurement, standards for the acquisition and application of basic technology infrastructure and security measures 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 is responsible for managing the State's transition to e-government and 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, 7 days a week. In less than 2 years, over 200 government services and transactions have been made available on the Internet to citizens and businesses.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	219,867,600	232,900,000	13,032,400	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	219,867,600	232,900,000	13,032,400	0

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

Program	Full-Time Equivalent Positions (FTE)		
	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Technology			
General Fund	142	142	0
Internal Service Funds	495	495	0
Total	637	637	0

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	55,883,000	51,000,000	(4,883,000)
Internal Service Funds	163,984,600	181,900,000	17,915,400
Total	<u>219,867,600</u>	<u>232,900,000</u>	<u>13,032,400</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Technology			
General Fund	55,883,000	51,000,000	(4,883,000)
Internal Service Funds	163,984,600	181,900,000	17,915,400
Total	<u>219,867,600</u>	<u>232,900,000</u>	<u>13,032,400</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Technology	9,000,000	200,000	8,822,500	27,700
Total	<u>9,000,000</u>	<u>200,000</u>	<u>8,822,500</u>	<u>27,700</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Technology	177,500	172,300
Total	<u>177,500</u>	<u>172,300</u>

**STATE OPERATIONS - GENERAL FUND
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Technology	42,000,000	(5,083,000)	230,000	90,000
Total	<u>42,000,000</u>	<u>(5,083,000)</u>	<u>230,000</u>	<u>90,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Technology	362,000	132,000	30,958,000	(4,305,000)
Total	<u>362,000</u>	<u>132,000</u>	<u>30,958,000</u>	<u>(4,305,000)</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Technology	450,000	300,000	10,000,000	(1,300,000)
Total	<u>450,000</u>	<u>300,000</u>	<u>10,000,000</u>	<u>(1,300,000)</u>

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**STATE OPERATIONS - OTHER THAN GENERAL FUND
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Technology	181,900,000	17,915,400	181,900,000	17,915,400
Total	181,900,000	17,915,400	181,900,000	17,915,400

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 1.3 million New Yorkers who are veterans, as well as their dependents and those on active duty.

ORGANIZATION AND STAFFING

The Division is headed by a 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.

Approximately 85 percent of the Division's workforce are paid for by State tax dollars from the General Fund and 15 percent are supported by Federal Medicaid and Veterans' Education funds.

FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The 2002-03 recommendation of nearly \$13.7 million for the Division of Veterans' Affairs will fund veterans' counseling services at current levels. The Blind Veteran Annuity Assistance Program will be increased to \$5 million to address enrollment growth. 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 2002-03, the Division of Veterans' Affairs will operate three principal programs. The largest provides veterans' counseling and claims services through a statewide network of approximately 56 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. It is also 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 2000, State veterans' counselors made more than 100,000 contacts — an average of approximately 1,800 per counselor, filed 6,000 VA benefit claims for approximately \$36 million in Federal payments, most of which are recurring.

Effective October 1, 2000, the Blind Veteran Annuity Assistance Program, which serves more than 4,000 visually impaired veterans and unremarried surviving spouses, was enhanced by raising the value of the annuity from \$500 to \$1,000.

VETERANS' AFFAIRS

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

The Division intends to pursue a new partnership with the Federal Department of Veteran's Affairs Health Administration to obtain reimbursement for counseling and outreach services by State veterans' counselors at VA medical centers and clinics.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	7,137,000	7,929,000	792,000	2,323,000
Aid To Localities	4,475,000	5,725,000	1,250,000	0
Capital Projects	0	0	0	0
Total	11,612,000	13,654,000	2,042,000	2,323,000

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Administration			
General Fund	13	13	0
Higher Education			
Special Revenue Funds - Federal	13	13	0
Veteran Counseling Services Program			
General Fund	102	98	(4)
Total	128	124	(4)

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	5,647,000	5,647,000	0
Special Revenue Funds - Federal	1,490,000	2,282,000	792,000
Total	7,137,000	7,929,000	792,000

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

Program	Available 2001-02	Recommended 2002-03	Change
Administration			
General Fund	856,000	856,000	0
Higher Education			
Special Revenue Funds - Federal	1,226,000	1,518,000	292,000
Veteran Counseling Services Program			
General Fund	4,791,000	4,791,000	0
Special Revenue Funds - Federal	264,000	764,000	500,000
Total	7,137,000	7,929,000	792,000

VETERANS' AFFAIRS

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	751,000	0	751,000	0
Veteran Counseling Services Program	4,674,000	0	4,674,000	0
Total	<u>5,425,000</u>	<u>0</u>	<u>5,425,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED
APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Administration	105,000	0	105,000	0
Veteran Counseling Services Program	381,000	0	331,000	15,000
Total	<u>486,000</u>	<u>0</u>	<u>436,000</u>	<u>15,000</u>

Program	Maintenance Undistributed	
	Amount	Change
Veteran Counseling Services Program	50,000	(15,000)
Total	<u>50,000</u>	<u>(15,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS
SUMMARY OF APPROPRIATIONS AND CHANGES
2002-03 RECOMMENDED
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Higher Education	1,518,000	292,000	940,000	208,000
Veteran Counseling Services Program	764,000	500,000	0	0
Total	<u>2,282,000</u>	<u>792,000</u>	<u>940,000</u>	<u>208,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Higher Education	578,000	84,000	0	0
Veteran Counseling Services Program	500,000	500,000	264,000	0
Total	<u>1,078,000</u>	<u>584,000</u>	<u>264,000</u>	<u>0</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
General Fund	4,475,000	5,725,000	1,250,000
Total	<u>4,475,000</u>	<u>5,725,000</u>	<u>1,250,000</u>

Adjustments:	
Recommended Deficiency	
Veterans Affairs, Division of	
General Fund	(350,000)
Appropriated 2001-02	<u>4,125,000</u>

VETERANS' AFFAIRS

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

Program	Available 2001-02	Recommended 2002-03	Change
Blind Veteran Annuity Assistance			
General Fund	3,750,000	5,000,000	1,250,000
Veteran Counseling Services Program			
General Fund	725,000	725,000	0
Total	<u>4,475,000</u>	<u>5,725,000</u>	<u>1,250,000</u>

WORKERS' COMPENSATION BOARD

MISSION

To protect the well-being of New York's labor force, 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.

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, Manhattan, Peekskill, Queens, 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 1,675 positions for 2002-03.

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 2002-03 Executive Budget recommends approximately \$167.6 million for the Board. 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:

- New funding is provided to perform financial audits and/or actuarial reviews of self-insured employers that have some degree of financial risk and/or compliance issues. Early detection of financial deterioration of a self-insured employer is necessary to mitigate the financial exposure of the Board and ultimately, the self-insurance community; and
- New funding is provided to develop critical disaster recovery policies and plans, and develop information technology security plans in conformance with Office for Technology requirements. This would ensure the integrity of the Board's electronic data systems and enhance the Board's ability to continue providing needed services when there is an incident that disrupts or destroys those electronic data systems.

PROGRAM HIGHLIGHTS

The Board continues to improve services by resolving claims in the most efficient and equitable manner possible. For instance, the agency refined its formal and informal adjudication tools, resolving more outstanding claims issues for new and reactivated cases than in any other year on record. The overall inventory of cases on appeal continued to

WORKERS' COMPENSATION

decline, a “triage” approach to prioritize cases according to the specific needs of individual claimants was instituted and an increasing number of Section 32 settlement agreements were processed. In 2001, the Board successfully relocated the New York City office in Brooklyn to three smaller offices in Brooklyn, Manhattan and Queens, which has made the Board’s services more accessible to all its customers.

At the Governor’s direction, the Board also created a new Workers’ Compensation Inspector General with staff located across the State. In 2000, the Inspector General’s office received 3,884 alleged fraud case referrals, an increase of 158 percent over 1999. The Office investigated and closed 2,481 cases and submitted 1,328 cases to various authorities for criminal prosecution or other appropriate action.

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 continues to be 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.

ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2001-02	Appropriations Recommended 2002-03	Change	Reappropriations Recommended 2002-03
State Operations	158,556,100	167,640,000	9,083,900	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	158,556,100	167,640,000	9,083,900	0

WORKERS' COMPENSATION

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

Full-Time Equivalent Positions (FTE)

Program	2001-02 Estimated FTEs 03/31/02	2002-03 Estimated FTEs 03/31/03	FTE Change
Disability Benefits			
Special Revenue Funds - Other	58	58	0
Systems Modernization			
Special Revenue Funds - Other	87	87	0
Workers' Compensation			
Special Revenue Funds - Other	1,530	1,530	0
Total	<u>1,675</u>	<u>1,675</u>	<u>0</u>

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

Fund Type	Available 2001-02	Recommended 2002-03	Change
Special Revenue Funds - Other	158,556,100	167,640,000	9,083,900
Total	<u>158,556,100</u>	<u>167,640,000</u>	<u>9,083,900</u>

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

Program	Available 2001-02	Recommended 2002-03	Change
Disability Benefits			
Special Revenue Funds - Other	7,641,900	6,933,000	(708,900)
Systems Modernization			
Special Revenue Funds - Other	36,001,300	35,458,000	(543,300)
Workers' Compensation			
Special Revenue Funds - Other	114,912,900	125,249,000	10,336,100
Total	<u>158,556,100</u>	<u>167,640,000</u>	<u>9,083,900</u>

STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2002-03 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Disability Benefits	6,933,000	(708,900)	3,756,000	(615,100)
Systems Modernization	35,458,000	(543,300)	4,544,000	(45,400)
Workers' Compensation	125,249,000	10,336,100	69,551,000	3,950,300
Total	<u>167,640,000</u>	<u>9,083,900</u>	<u>77,851,000</u>	<u>3,289,800</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Disability Benefits	3,177,000	(93,800)	0	0
Systems Modernization	30,914,000	(497,900)	0	0
Workers' Compensation	55,082,000	6,348,200	616,000	37,600
Total	<u>89,173,000</u>	<u>5,756,500</u>	<u>616,000</u>	<u>37,600</u>