

# **ADIRONDACK PARK AGENCY**

## **MISSION**

The Adirondack Park Agency was established in 1971 to “ensure the optimum overall conservation, protection, development and use of the unique scenic, aesthetic, wildlife, recreational, open space, ecological and natural resources of the Adirondack Park.” The Park itself was created in 1892 and contains six million acres of publicly and privately owned lands.

## **ORGANIZATION AND STAFFING**

The Adirondack Park Agency is governed by an 11-member board, including the Commissioners of Environmental Conservation, Economic Development and the Secretary of State. The other members, five of whom must be Park residents, are nominated by the Governor and confirmed by the Senate. The principal functions of the Agency are:

- Reviewing and ensuring adherence to the State Land Master Plan through collaborative working relationships with the Department of Environmental Conservation and the Office of Parks, Recreation and Historic Preservation, and development of Unit Management and recreational use plans;
- Reviewing and issuing permits for private and State land-use projects, consistent with the Adirondack Park Private Land Use and Development Plan, and for certain activities on or near fresh water wetlands, pursuant to the 1975 Freshwater Wetlands Act;
- Helping local governments develop land use plans and providing technical expertise; and
- Administering the State’s Wild, Scenic and Recreational River Act.

The Adirondack Park Agency’s responsibilities are carried out by the following divisions: Planning, which handles local, regional and State land use policy issues; Counsel’s Office, which provides legal advice to all Agency functions and oversees jurisdictional determinations and enforcement functions; Regulatory, which performs the Agency’s permitting function; Resource Analysis, which conducts scientific research and makes ecological and adverse impact assessments of land use proposals; Economic Services, which assists project sponsors in the review process; and Local Government Services, which provides technical expertise and assistance to communities.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$5.8 million** All Funds (\$4.6 million General Fund; \$700,000 Federal funds; \$500,000 Capital Funds) for the Adirondack Park Agency. This reflects a **\$512,000 decrease (-10 percent)** from 2010-11 levels. Spending reductions are achieved as the result of reflecting the full-year value of the conveyance of two Agency Visitor Interpretative Centers: one in Newcomb, Essex County, which was successfully transferred to the State University of New York’s College of Environmental Science and Forestry on July 1, 2010; and one in Paul Smiths, Franklin County, which was successfully transferred to Paul Smith’s College of Arts and Sciences on December 31, 2010. The Executive Budget reduces each agency’s General Fund State Operations

## ADIRONDACK PARK

budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

The budget will support the Agency's core regulatory functions and continue to fund the Adirondack Park Local Government Review Board (LGRB). The LGRB serves as a liaison between the APA and the counties and communities within the Adirondack Park, and monitors the administration and enforcement of the Adirondack Park Land Use and Development Plan.

### PROGRAM HIGHLIGHTS

Since its inception, the Agency has worked to achieve a balance between strong environmental protection and sustainable economic development opportunities for the residents of the Adirondack Park. The Agency's priorities for the future include continued updating of the Agency's rules and regulations, facilitating the development of land use plans by local governments, providing local governments with technical expertise and training, working toward completing Unit Management Plans for the State lands of the Adirondack Park and improving private and State land resource data base information to better protect the resources of the Adirondack Park.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	5,819,000	5,307,000	(512,000)	1,005,000
Aid To Localities	0	0	0	0
Capital Projects	500,000	500,000	0	500,000
Total	<u>6,319,000</u>	<u>5,807,000</u>	<u>(512,000)</u>	<u>1,505,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
General Fund	56	56	0
Total	<u>56</u>	<u>56</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	5,119,000	4,607,000	(512,000)
Special Revenue Funds - Federal	700,000	700,000	0
Total	<u>5,819,000</u>	<u>5,307,000</u>	<u>(512,000)</u>

# ADIRONDACK PARK

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	5,119,000	4,607,000	(512,000)
Special Revenue Funds - Federal	700,000	700,000	0
Total	<u>5,819,000</u>	<u>5,307,000</u>	<u>(512,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	4,224,000	(512,000)	4,133,000	(487,000)
Total	<u>4,224,000</u>	<u>(512,000)</u>	<u>4,133,000</u>	<u>(487,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	90,000	(20,000)	1,000	(5,000)
Total	<u>90,000</u>	<u>(20,000)</u>	<u>1,000</u>	<u>(5,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	383,000	0	88,000	0
Total	<u>383,000</u>	<u>0</u>	<u>88,000</u>	<u>0</u>

  

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	37,000	0	220,000	0
Total	<u>37,000</u>	<u>0</u>	<u>220,000</u>	<u>0</u>

  

Program	Equipment	
	Amount	Change
Administration	38,000	0
Total	<u>38,000</u>	<u>0</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Administration	700,000	0	700,000	0
Total	<u>700,000</u>	<u>0</u>	<u>700,000</u>	<u>0</u>

# ADIRONDACK PARK

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Maintenance & Improvement of Existing Facilities				
Fiduciary Funds - Miscellaneous Gifts Account	500,000	500,000	0	500,000
Total	500,000	500,000	0	500,000

# **STATE OFFICE FOR THE AGING**

## **MISSION**

The New York State Office for the Aging (SOFA) is responsible for promoting, coordinating and administering State, Federal and local programs and services for 3.7 million New Yorkers aged 60 or older. The Office provides leadership and direction to 59 Area Agencies on Aging, as well as to numerous other local programs and providers that comprise the network of services to the aged.

## **ORGANIZATION AND STAFFING**

The State Office for the Aging is headed by a Director, appointed by the Governor and subject to Senate confirmation, and is composed of four divisions: Executive, Finance and Administration, Policy, Management and Public Information and Community Service. Approximately 18 percent of Office operations are funded by the General Fund and 82 percent are financed by Federal grants and other revenue sources.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$238.2 million** All Funds (\$111.9 million General Fund, \$126.3 million Other Funds) for the State Office for the Aging. This is an overall decrease of **\$5.2 million** All Funds (-2.2 percent) (\$1.9 million General Fund decrease, \$3.3 million Special Revenue Funds decrease) from the 2010-11 budget. This change reflects the elimination of certain lower priority programs, administrative reductions, and the end of Federal funds associated with the American Reinvestment and Recovery Act of 2009. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major Executive Budget actions include the elimination of discrete funding for the Community Empowerment Initiative, Congregate Services Initiative, EAC/Nassau Respite Program, Elderly Abuse Education and Outreach Program, Enriched Social Adult Day Centers Program, Foster Grandparent Program, Long Term Care Senior Respite, NY Foundation Home Sharing, Patients' Rights Hotline and Advocacy, Regional Caregivers Centers for Excellence, and the Retired and Senior Volunteer Program. However, these purposes would be eligible for funding through a new local competitive performance grant program established in the Executive Budget, which is intended to support priority initiatives that address emerging or ongoing matters affecting older adults and pursuing innovations in assisting older adults.

## **PROGRAM HIGHLIGHTS**

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

## **AGING**

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### **COMMUNITY BASED LONG TERM CARE SERVICES**

The 2011-12 Executive Budget continues funding for the Office's community-based service programs, including Community Services for the Elderly (CSE), Naturally Occurring Retirement Communities (NORCs), Neighborhood NORCs, Respite services and operational funding for transportation providers. The Executive Budget also preserves core funding for the Expanded In-home Services for the Elderly Program (EISEP). EISEP provides non-medical in-home services, case management, respite and ancillary services to the frail elderly, most of whom are low-income but not eligible for Medicaid. Recipients are required to cost-share, based on their annual income level, for received EISEP program services. EISEP is expected to serve nearly 50,000 persons in 2011-12.

### **NUTRITION SERVICES**

Through a combination of State tax dollars and Federal grants, the State annually provides over 25 million congregate and home-delivered meals, as well as other nutritional services primarily to non-institutionalized, frail, older adults. These older adults are at risk of malnutrition because they are no longer able to obtain an adequate diet without assistance. The Office receives \$41 million from Federal grants in support of congregate and home-delivered meals and another \$17 million to support the purchase of food. The 2011-12 Executive Budget continues funding for the Supplemental Nutrition Assistance Program (SNAP), the State counterpoint to the Federal programs, at \$21.4 million.

### **ASSISTANCE TO CAREGIVERS**

Family members and other informal caregivers provide an estimated 80 percent of long-term care for older New Yorkers; sustaining this cost-effective, individualized support system for seniors is a key objective of the aging service system. The State Office for the Aging's 17 Caregiver Resource Centers assist caregivers through training programs, support groups, counseling and linkages to other community services. The \$13.5 million Federal Caregivers Program provides respite, training and counseling for caregivers, as well as other services that support an elderly person's ability to maximize their independence.

### **VOLUNTEER ADVOCACY**

The Long-Term Care Ombudsman Program (LTCOP) supports the statewide advocacy of more than 1,000 trained volunteers on behalf of the approximately 162,000 residents of New York State's nursing homes, adult care facilities and assisted living residences. Under the LTCOP, volunteers, working in collaboration with community agencies, receive, investigate and resolve a wide range of concerns and complaints regarding conditions and treatment in long-term care facilities, with the goal of ensuring the quality of life for residents.

# AGING

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	14,350,400	13,810,600	(539,800)	15,537,000
Aid To Localities	229,128,000	224,419,000	(4,709,000)	138,522,000
Capital Projects	0	0	0	0
Total	<u>243,478,400</u>	<u>238,229,600</u>	<u>(5,248,800)</u>	<u>154,059,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration and Grants Management		
General Fund	23	23	0
Special Revenue Funds - Federal	97	97	0
Special Revenue Funds - Other	1	1	0
Total	<u>121</u>	<u>121</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	2,748,400	2,473,600	(274,800)
Special Revenue Funds - Federal	11,252,000	10,987,000	(265,000)
Special Revenue Funds - Other	250,000	250,000	0
Enterprise Funds	100,000	100,000	0
Total	<u>14,350,400</u>	<u>13,810,600</u>	<u>(539,800)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration and Grants Management			
General Fund	2,748,400	2,473,600	(274,800)
Special Revenue Funds - Federal	11,252,000	10,987,000	(265,000)
Special Revenue Funds - Other	250,000	250,000	0
Enterprise Funds	100,000	100,000	0
Total	<u>14,350,400</u>	<u>13,810,600</u>	<u>(539,800)</u>

# AGING

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	2,120,000	(235,500)	2,113,400	(234,800)
Total	<u>2,120,000</u>	<u>(235,500)</u>	<u>2,113,400</u>	<u>(234,800)</u>

<b>Program</b>	<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	6,600	(700)
Total	<u>6,600</u>	<u>(700)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	353,600	(39,300)	43,500	(4,800)
Total	<u>353,600</u>	<u>(39,300)</u>	<u>43,500</u>	<u>(4,800)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	82,900	(9,200)	205,100	(22,800)
Total	<u>82,900</u>	<u>(9,200)</u>	<u>205,100</u>	<u>(22,800)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	22,100	(2,500)
Total	<u>22,100</u>	<u>(2,500)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	11,337,000	(265,000)	8,497,000	160,000
Total	<u>11,337,000</u>	<u>(265,000)</u>	<u>8,497,000</u>	<u>160,000</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Grants Management	2,840,000	190,000	0	(615,000)
Total	<u>2,840,000</u>	<u>190,000</u>	<u>0</u>	<u>(615,000)</u>

# AGING

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
General Fund	111,163,000	109,454,000	(1,709,000)
Special Revenue Funds - Federal	116,985,000	113,985,000	(3,000,000)
Special Revenue Funds - Other	980,000	980,000	0
Total	<u>229,128,000</u>	<u>224,419,000</u>	<u>(4,709,000)</u>
Adjustments:			
Recommended Deficiency			
Aging, Office for the			
Special Revenue Funds - Federal	<u>(3,000,000)</u>		
Appropriated 2010-11	<u>226,128,000</u>		

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Community Services			
General Fund	111,163,000	109,454,000	(1,709,000)
Special Revenue Funds - Federal	116,985,000	113,985,000	(3,000,000)
Special Revenue Funds - Other	980,000	980,000	0
Total	<u>229,128,000</u>	<u>224,419,000</u>	<u>(4,709,000)</u>

# **DEPARTMENT OF AGRICULTURE AND MARKETS**

## **MISSION**

The Department of Agriculture and Markets is charged with fostering a competitive and safe New York food and agricultural industry for the benefit of producers and consumers. The Department encourages the growth and economic health of the State's agricultural and food industry and conducts various inspections and testing programs to enforce laws on food safety, animal and plant health, and accuracy of labeling. The Department also acts to preserve agricultural resources and improve soil and water quality, and operates the annual State Fair near Syracuse.

## **ORGANIZATION AND STAFFING**

The agency is run by a Commissioner, who is appointed by the Governor subject to confirmation by the Senate. The Department is headquartered in Albany and maintains four regional offices in Buffalo, Syracuse, Rochester and Brooklyn. The Department of Agriculture and Markets' operating programs are funded by tax dollars from the General Fund, fees, Federal grants and other funds.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$162.6 million** All Funds (\$40.2 million General Fund; \$46.6 million Special Revenue Fund; \$75.8 Other Funds) for the Department of Agriculture and Markets. This is a decrease of **\$9.3 million** All Funds (**-5.7 percent**) from the 2010-11 budget. The change reflects a 10 percent year-to-year reduction in General Fund spending for State operations, as well as reductions to local initiatives and capital projects. The State operations reduction will be achieved by realizing the full year value of personnel reductions completed in 2010-11, and savings through agency redesign and increased efficiencies.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

The Executive Budget recommends \$1 million, a reduction of \$750,000 from 2010-11 levels, for capital projects to maintain, repair, and rehabilitate the State Fair's 19 major buildings and other structures, and \$2 million for a capital special revenue fund to continue support for development of private partnerships at the State Fair, unchanged from 2010-11.

The Executive Budget recommends \$13.8 million from the General Fund for local assistance programs that provide services to the State's agricultural community. Funding for the Agribusiness Child Development program (Migrant Childcare) and the New York State Veterinary Diagnostic Laboratory will remain at 2010-11 levels. Funding for various entities that provide research, education and promotional support for agricultural activities would be reduced by \$2 million and restructured into a \$1.2 million competitive program that will award grants to projects that produce the best outcomes for the agricultural industry. Continued Federal appropriation authority will allow the

## **AGRICULTURE AND MARKETS**

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Department to apply for Federal grants to fund Federal nutrition programs for senior citizens, animal health initiatives and food safety programs, including essential funding for the State Food Laboratory.

### **PROGRAM HIGHLIGHTS**

The Agricultural Business Services program promotes the agricultural economy of the State and fosters the responsible use of resources to preserve agricultural land and the environment. These purposes are carried out through six divisions which:

- Inspect and test livestock, poultry, and plants to control and eradicate diseases that can both cause severe economic losses for farmers and present a public health hazard;
- Oversee the activities of county soil and water conservation districts, direct the agricultural non-point source pollution control and farmland preservation grant programs, establish agricultural districts, administer agricultural product market orders and the Federal Farmers Market Nutrition Program for low-income families, and collect and disseminate statistical agricultural information; and
- Exercise a variety of statutorily required activities involving the pricing and marketing of milk and milk products, and the licensing and bonding of milk and farm products dealers.

The Consumer Food Services program ensures that wholesome food products are sold to the consumer and that the industry and the public are protected from fraud, adulteration, or malpractice in the production, processing, transportation, and retailing of food and gasoline, and in the use of measuring devices. In carrying out these purposes, the program:

- Licenses and inspects more than 28,000 businesses that produce, process, manufacture, or distribute food products, registers food represented as kosher, and grades farm products;
- Inspects and tests dairy products to enforce laws pertaining to milk and milk product sanitation, and guards against harmful or misrepresented food; and
- Certifies and calibrates weighing and measuring devices and oversees the testing of motor fuels under the Motor Fuel Quality and Clean Air programs.

### **STATE FAIR**

The Department directs the New York State Fair and Fairgrounds, located near Syracuse. The Fairgrounds, a 365-acre complex, has 19 major exhibit buildings and 107 other structures. It is used for the annual 12-day State Fair, and its facilities are rented year-round for various shows and activities. The operating costs of the Fair and Fairgrounds are fully funded from admission, rental and concession fees.

# AGRICULTURE AND MARKETS

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	129,384,000	125,798,000	(3,586,000)	137,827,000
Aid To Localities	38,808,000	33,809,000	(4,999,000)	52,009,000
Capital Projects	3,750,000	3,000,000	(750,000)	37,771,000
Total	<u>171,942,000</u>	<u>162,607,000</u>	<u>(9,335,000)</u>	<u>227,607,000</u>

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

### Full-Time Equivalent Positions (FTE)

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	60	60	0
Agricultural Business Services			
General Fund	135	135	0
Special Revenue Funds - Federal	11	11	0
Special Revenue Funds - Other	36	36	0
Fiduciary Funds	3	3	0
Consumer Food Services			
General Fund	69	69	0
Special Revenue Funds - Federal	14	14	0
Special Revenue Funds - Other	129	129	0
State Fair			
Enterprise Funds	54	54	0
Total	<u>511</u>	<u>511</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	29,286,000	26,357,000	(2,929,000)
Special Revenue Funds - Federal	29,644,000	29,644,000	0
Special Revenue Funds - Other	47,257,000	46,600,000	(657,000)
Enterprise Funds	21,361,000	21,361,000	0
Fiduciary Funds	1,836,000	1,836,000	0
Total	<u>129,384,000</u>	<u>125,798,000</u>	<u>(3,586,000)</u>

# AGRICULTURE AND MARKETS

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	7,534,000	6,781,000	(753,000)
Agricultural Business Services			
General Fund	15,071,000	13,563,000	(1,508,000)
Special Revenue Funds - Federal	21,919,000	21,919,000	0
Special Revenue Funds - Other	26,417,000	25,760,000	(657,000)
Fiduciary Funds	1,836,000	1,836,000	0
Consumer Food Services			
General Fund	6,681,000	6,013,000	(668,000)
Special Revenue Funds - Federal	7,725,000	7,725,000	0
Special Revenue Funds - Other	20,840,000	20,840,000	0
State Fair			
Enterprise Funds	21,361,000	21,361,000	0
Total	<u>129,384,000</u>	<u>125,798,000</u>	<u>(3,586,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	4,697,000	(522,000)	4,623,000	(514,000)
Agricultural Business Services	9,626,000	(1,070,000)	9,239,000	(1,027,000)
Consumer Food Services	5,679,000	(631,000)	5,269,000	(585,000)
Total	<u>20,002,000</u>	<u>(2,223,000)</u>	<u>19,131,000</u>	<u>(2,126,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	57,000	(6,000)	17,000	(2,000)
Agricultural Business Services	198,000	(22,000)	189,000	(21,000)
Consumer Food Services	81,000	(9,000)	329,000	(37,000)
Total	<u>336,000</u>	<u>(37,000)</u>	<u>535,000</u>	<u>(60,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	2,084,000	(231,000)	119,000	(13,000)
Agricultural Business Services	3,937,000	(438,000)	205,000	(23,000)
Consumer Food Services	334,000	(37,000)	104,000	(12,000)
Total	<u>6,355,000</u>	<u>(706,000)</u>	<u>428,000</u>	<u>(48,000)</u>

  

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	99,000	(11,000)	1,827,000	(203,000)
Agricultural Business Services	189,000	(21,000)	3,421,000	(380,000)
Consumer Food Services	82,000	(9,000)	71,000	(8,000)
Total	<u>370,000</u>	<u>(41,000)</u>	<u>5,319,000</u>	<u>(591,000)</u>

  

Program	Equipment	
	Amount	Change
Administration	39,000	(4,000)
Agricultural Business Services	122,000	(14,000)
Consumer Food Services	77,000	(8,000)
Total	<u>238,000</u>	<u>(26,000)</u>

# AGRICULTURE AND MARKETS

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Agricultural Business Services	49,515,000	(657,000)	4,992,000	1,766,000
Consumer Food Services	28,565,000	0	13,532,000	3,665,000
State Fair	21,361,000	0	6,831,000	0
Total	<u>99,441,000</u>	<u>(657,000)</u>	<u>25,355,000</u>	<u>5,431,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Agricultural Business Services	44,523,000	19,496,000	0	(21,919,000)
Consumer Food Services	15,033,000	4,060,000	0	(7,725,000)
State Fair	14,530,000	0	0	0
Total	<u>74,086,000</u>	<u>23,556,000</u>	<u>0</u>	<u>(29,644,000)</u>

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

Fund Type	Available	Recommended	Change
	2010-11	2011-12	
General Fund	18,808,000	13,809,000	(4,999,000)
Special Revenue Funds - Federal	20,000,000	20,000,000	0
Total	<u>38,808,000</u>	<u>33,809,000</u>	<u>(4,999,000)</u>

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

Program	Available	Recommended	Change
	2010-11	2011-12	
Agricultural Business Services			
General Fund	18,808,000	13,809,000	(4,999,000)
Special Revenue Funds - Federal	20,000,000	20,000,000	0
Total	<u>38,808,000</u>	<u>33,809,000</u>	<u>(4,999,000)</u>

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

Comprehensive Construction Program	Available	Recommended	Change	Reappropriations 2011-12
	2010-11	2011-12		
New Facilities				
Capital Projects Fund - Authority Bonds	0	0	0	36,358,000
State Fair				
Capital Projects Fund	1,750,000	1,000,000	(750,000)	1,413,000
Misc. Capital Projects	2,000,000	2,000,000	0	0
Total	<u>3,750,000</u>	<u>3,000,000</u>	<u>(750,000)</u>	<u>37,771,000</u>

# ***DIVISION OF ALCOHOLIC BEVERAGE CONTROL***

## ***MISSION***

The Division of Alcoholic Beverage Control operates under the direction of the State Liquor Authority, a three-member board consisting of a Chairperson, who acts as the agency administrator, and two Commissioners, appointed by the Governor with the advice and consent of the Senate. The Division regulates and controls the manufacture, sale and distribution of alcoholic beverages within the State; issues licenses and permits to manufacturers, distributors, wholesalers and retailers; works with local law enforcement agencies and localities across the State to ensure compliance with the Alcoholic Beverage Control Law; and regulates trade and credit practices for the sale and distribution of alcoholic beverages.

## ***ORGANIZATION AND STAFFING***

The Division's organization includes three functional areas: Administration, Licensing and Compliance. Administration includes the Offices of the Chairman of the Authority, the Chief Operating Officer, Government Affairs, Communications and other traditional administrative functions. Licensing includes the Licensing Bureau, which is responsible for processing new and renewal license applications, in addition to the Wholesale Bureau, which administers price schedules and trade practices. Compliance includes the Office of Counsel, as well as the Enforcement and Hearing Bureaus.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends **\$16.9 million** in funding for the Division. This is a decrease of **\$5.5 million (-25 percent)** from the 2010-11 budget. However, the majority of this decrease is attributable to the inclusion in the 2010-11 total of \$3.6 million in special appropriations related to investments in improving the Division's licensing function. After adjusting for this non-recurring action, the Division's funding decreases \$1.9 million, or 10 percent. The Division is entirely self-funded by revenue generated from fees and fines it imposes.

The Executive Budget advances a proposal to change the compensation of the board members, other than the Chairperson, from annual salaried to per diem.

## ***PROGRAM HIGHLIGHTS***

The agency is participating in a number of statewide initiatives that will modernize and upgrade its technology and business processes. These upgrades will increase operational efficiency and cost effectiveness throughout the agency, including the processing of license applications. They will also provide a more user-friendly interface for licensees, while supporting the Division's efforts in enforcing the Alcoholic Beverage Control Law, Rules and Regulations. Interim investments in technology and changes made to the procedures used by agency staff when processing license applications have significantly reduced the licensing backlog. Additionally, the agency is currently engaged in a number of ongoing short-range technology projects that will continue to build upon the changes already made and bridge the gap until the final statewide solutions are implemented. The State Liquor Authority and Division of Alcoholic Beverage Control are also enhancing compliance activities through the Rapid

## ALCOHOLIC BEVERAGE CONTROL

Enforcement Unit (REU) program while developing partnerships with community boards and local law enforcement agencies, particularly in the downstate area. The Division has also taken steps to increase the investigation of complaints as well as expedite hearings and license suspensions to protect public health, safety and welfare.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	22,335,000	16,860,000	(5,475,000)	2,400,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>22,335,000</u>	<u>16,860,000</u>	<u>(5,475,000)</u>	<u>2,400,000</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
Special Revenue Funds - Other	17	17	0
Compliance			
Special Revenue Funds - Other	64	64	0
Licensing and Wholesaler Services			
Special Revenue Funds - Other	59	59	0
Total	<u>140</u>	<u>140</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	22,335,000	16,860,000	(5,475,000)
Total	<u>22,335,000</u>	<u>16,860,000</u>	<u>(5,475,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	4,911,000	4,420,000	(491,000)
Compliance			
Special Revenue Funds - Other	8,151,000	7,335,000	(816,000)
Licensing and Wholesaler Services			
Special Revenue Funds - Other	9,273,000	5,105,000	(4,168,000)
Total	<u>22,335,000</u>	<u>16,860,000</u>	<u>(5,475,000)</u>

# ALCOHOLIC BEVERAGE CONTROL

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## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	4,420,000	(491,000)	1,210,000	(135,000)
Compliance	7,335,000	(816,000)	4,255,000	(473,000)
Licensing and Wholesaler Services	5,105,000	(4,168,000)	2,918,000	(325,000)
Total	<u>16,860,000</u>	<u>(5,475,000)</u>	<u>8,383,000</u>	<u>(933,000)</u>

  

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,210,000	(356,000)	0	0
Compliance	3,080,000	(343,000)	0	0
Licensing and Wholesaler Services	2,187,000	(243,000)	0	(3,600,000)
Total	<u>8,477,000</u>	<u>(942,000)</u>	<u>0</u>	<u>(3,600,000)</u>

# **COUNCIL ON THE ARTS**

## **MISSION**

The New York State Council on the Arts (NYSCA) is an Executive Agency dedicated to preserving and expanding New York's rich and diverse cultural resources and expanding access to arts and cultural institutions statewide. NYSCA plays a prominent role in increasing access to the performing and fine arts, preserving the State's cultural resources and promoting greater public awareness of New York's rich cultural heritage.

The Nelson A. Rockefeller Empire State Plaza Performing Arts Center Corporation (The Egg) is a public benefit corporation located in Albany, New York that presents performing arts. The Egg offers a diverse array of cultural and artistic programming. The Egg also spotlights emerging artists, fosters relationships with resident companies, and enhances activities in cultural and arts education.

## **ORGANIZATION AND STAFFING**

The Council on the Arts is headed by a Chair and a Vice Chair and consists of 21 members nominated to 5-year terms by the Governor with confirmation by the Senate. The Council's staff, located in New York City, has expertise in the major artistic disciplines (including dance, theater and music) and provides advisory services and financial assistance to New York's arts community. The Egg was established in 1979 as a public benefit corporation. Its Board of Directors is comprised of members appointed by the Governor, President of the Senate, Speaker of the Assembly, Minority Leaders of both houses, the Albany County Executive, the Albany Mayor, and the Commissioner of the Office of General Services (OGS).

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommends **\$38.9 million All Funds** (\$36.2 million General Fund; \$2.7 million Other Funds) for NYSCA and the Egg, a net decrease of \$5.6 million from the funding provided to arts agencies in the 2010-11 Enacted Budget. Major budget actions include:

- **Reduce Funding for NYSCA Grants:** The 2011-12 Executive Budget provides \$31.6 million in General Fund support for arts grants. This represents a decrease of \$3.5 million (10 percent) from the 2010-11 Enacted Budget.
- **Reinvent NYSCA operations:** The 2011-12 Executive Budget provides \$4.4 million in General Fund support for NYSCA's operations, which represents a year-to-year decrease of \$0.5 million, or 10 percent. In order to accommodate the decreased funding level, NYSCA will need to pursue additional operational efficiencies.
- **Reduce Funding for The Egg:** The 2011-12 Executive Budget provides The Egg with a State appropriation of \$220,000, which reflects a 10 percent decrease from the funding provided in the 2010-11 Enacted Budget. In addition to the State subsidy, The Egg traditionally supports its operations with revenue from ticket sales, private donations, and proceeds from the sale and lease of its products and facilities.
- **New York State Theatre Institute:** The New York State Theatre Institute Corporation (NYSTI) is a small public benefit corporation located in Troy, New York. NYSTI's Board of Directors suspended its operations effective December

## ARTS

31, 2010 and transferred NYSTI's assets and property because NYSTI was unable to generate sufficient revenue to cover its operating expenses and become self-supporting. The Executive Budget recommends removing the statutory authorization for the organization. Absent legislation to remove NYSTI's statutory authorization, the State would continue to incur costs related to ongoing upkeep and maintenance of NYSTI's real property.

### PROGRAM HIGHLIGHTS

**Council on the Arts:** Approximately 93 percent of the funding for the Council on the Arts is provided by the State's General Fund. Federal grants from the National Endowment for the Arts and dedicated revenue appropriations are projected to represent approximately 7 percent of 2011-12 funding. Grants to not-for-profit arts organizations represent approximately 88 percent of the projected expenditures of NYSCA. The remainder is used for the administration of grant programs and the statewide promotion and development of artistic and cultural programs.

Grant awards to not-for-profit arts organizations are approved through a multi-step review process, which ensures fair and equitable treatment of all applicants. Program audits are also conducted to promote accountability by monitoring program quality and contractual compliance.

The Council receives approximately 3,000 requests for funding each year from organizations throughout the State including symphony orchestras, museums, dance companies, theaters and libraries.

**Empire State Plaza Performing Arts Center Corporation (The Egg):** The Egg hosts approximately 300 events annually featuring dance, music, and theatre companies; these events were attended by nearly 70,000 individuals last year. Highlights included the enhancement of the American Roots & Branches and Rhythm International concert series, Dance New York and Dance The World, and Arts-in-Education performances.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	6,715,000	4,674,000	(2,041,000)	700,000
Aid To Localities	37,759,000	34,244,000	(3,515,000)	25,504,000
Capital Projects	0	0	0	0
Total	<u>44,474,000</u>	<u>38,918,000</u>	<u>(5,556,000)</u>	<u>26,204,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
General Fund	29	29	0
Total	<u>29</u>	<u>29</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

# ARTS

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
General Fund	4,838,000	4,574,000	(264,000)
Special Revenue Funds - Federal	100,000	100,000	0
Special Revenue Funds - Other	1,777,000	0	(1,777,000)
Total	<u>6,715,000</u>	<u>4,674,000</u>	<u>(2,041,000)</u>

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Administration			
General Fund	4,838,000	4,354,000	(484,000)
Special Revenue Funds - Federal	100,000	100,000	0
Empire State Performing Arts Center Corporation			
General Fund	0	220,000	220,000
Special Revenue Funds - Other	245,000	0	(245,000)
New York State Theatre Institute			
Special Revenue Funds - Other	1,532,000	0	(1,532,000)
Total	<u>6,715,000</u>	<u>4,674,000</u>	<u>(2,041,000)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2011-12 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	2,879,000	(319,000)	2,878,000	(319,000)
Empire State Performing Arts Center Corporation	69,000	69,000	48,000	48,000
Total	<u>2,948,000</u>	<u>(250,000)</u>	<u>2,926,000</u>	<u>(271,000)</u>

  

<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	0	0	1,000	0
Empire State Performing Arts Center Corporation	19,000	19,000	2,000	2,000
Total	<u>19,000</u>	<u>19,000</u>	<u>3,000</u>	<u>2,000</u>

# ARTS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,475,000	(165,000)	29,000	(3,000)
Empire State Performing Arts Center Corporation	151,000	151,000	31,000	31,000
Total	<u>1,626,000</u>	<u>(14,000)</u>	<u>60,000</u>	<u>28,000</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	57,000	(7,000)	1,332,000	(148,000)
Empire State Performing Arts Center Corporation	2,000	2,000	118,000	118,000
Total	<u>59,000</u>	<u>(5,000)</u>	<u>1,450,000</u>	<u>(30,000)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	57,000	(7,000)
Empire State Performing Arts Center Corporation	0	0
Total	<u>57,000</u>	<u>(7,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	100,000	0	0	0
Empire State Performing Arts Center Corporation	0	(245,000)	0	(76,000)
New York State Theatre Institute	0	(1,532,000)	0	(1,054,000)
Total	<u>100,000</u>	<u>(1,777,000)</u>	<u>0</u>	<u>(1,130,000)</u>

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Administration	100,000	0
Empire State Performing Arts Center Corporation	0	(169,000)
New York State Theatre Institute	0	(478,000)
Total	<u>100,000</u>	<u>(647,000)</u>

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

<b>Fund Type</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
General Fund	35,150,000	31,635,000	(3,515,000)
Special Revenue Funds - Federal	2,413,000	2,413,000	0
Special Revenue Funds - Other	196,000	196,000	0
Total	<u>37,759,000</u>	<u>34,244,000</u>	<u>(3,515,000)</u>

# ARTS

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Administration			
General Fund	35,150,000	31,635,000	(3,515,000)
Special Revenue Funds - Federal	2,413,000	2,413,000	0
Special Revenue Funds - Other	196,000	196,000	0
Total	<u>37,759,000</u>	<u>34,244,000</u>	<u>(3,515,000)</u>

# **DEPARTMENT OF AUDIT AND CONTROL**

## **MISSION**

The Department of Audit and Control was created in 1926 and is headed by the State Comptroller, who is elected by the people. The Department is responsible for paying the State's bills and payrolls; verifying all financial transactions of the State; reviewing the financial and management practices of State agencies; supervising the fiscal affairs of local governments; investing State funds and issuing bonds and notes; and administering the retirement program for State and most local government employees.

## **ORGANIZATION AND STAFFING**

The operations of the Department of Audit and Control are organized into eleven programs, with its main office in Albany and regional offices in New York City, Buffalo, Rochester, Syracuse, Binghamton, Glens Falls, Newburgh 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.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **284.3 million** All Funds (\$157.8 million General Fund; \$101.4 million Fiduciary Fund; \$6.6 million Internal Service Fund; \$18.5 million Other Funds) for the Department of Audit and Control, a decrease of **\$4.1 million (-1.4 percent)** from 2010-11. This decrease is the net result of a \$13.9 million, or 10 percent, decrease in the General Fund; and an increase of \$9.8 million in Other Funds. Executive Budget appropriations support a workforce of up to **2,529 FTEs**, which reflects the transfer of 23 positions to the Statewide Financial System Project.

## **PROGRAM HIGHLIGHTS.**

- The Executive Direction, Legal Services, Administration and the Chief Information Office programs are responsible for the public information, internal audit, fiscal research, IT operations, financial administration, legal, office services, management analysis and human resource functions of the Department.
- The Office of Operations provides accounting and financial reporting services, audits State contracts, expenditures and payrolls prior to payment, carries out the mandates of the Abandoned Property Law by safeguarding lost assets belonging to residents, maintains the State's current Central Accounting System, and has worked with the Executive to consolidate the FOCAS and NYFMS projects into a single statewide financial system. The Office is also responsible for the VendRep system, which was established to promote State agency and Office of the State Comptroller due diligence in assessing the responsibility of vendors with whom the State contracts.
- The State and Local Government Accountability program provides oversight through audits of all State and local government agencies, authorities and special purpose entities. The program conducts about 200 independent audits of New York State agencies, public authorities, and New York City agencies. These audits are intended to enhance public accountability and improve the efficiency

## **AUDIT AND CONTROL**

and effectiveness of State and city government operations. It collects and reviews local government financial data, provides training programs and support services for local financial officials, and publishes research and analysis on a variety of local government policy issues. The Office is comprised of the Divisions of State Government Accountability and Local Government and School Accountability.

- 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 Retirement Services 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 3,000 participating government employers, approximately 679,200 active and vested members and approximately 375,800 pensioners and their beneficiaries.
- The Pension Investment and Public Finance 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)**

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	256,429,000	252,308,000	(4,121,000)	0
Aid To Localities	32,025,000	32,025,000	0	0
Capital Projects	0	0	0	0
Total	<u>288,454,000</u>	<u>284,333,000</u>	<u>(4,121,000)</u>	<u>0</u>

# AUDIT AND CONTROL

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration Program			
General Fund	115	115	0
Chief Information Office			
General Fund	168	168	0
Environmental Protection and Spill			
Compensation			
Special Revenue Funds - Other	6	6	0
Executive Direction			
General Fund	98	98	0
Internal Service Funds	13	13	0
Pension Investment and Public Finance			
Program			
General Fund	5	5	0
Fiduciary Funds	54	54	0
Legal Services			
General Fund	58	58	0
State Services Program			
Special Revenue Funds - Federal	8	8	0
Internal Service Funds	11	11	0
Retirement Services Program			
Fiduciary Funds	850	850	0
Office of the Special Deputy Comptroller for			
New York City			
Special Revenue Funds - Other	28	28	0
State and Local Accountability			
General Fund	538	538	0
State Operations			
General Fund	600	577	(23)
Total	2,552	2,529	(23)

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	139,773,000	125,801,000	(13,972,000)
Special Revenue Funds - Other	11,008,000	18,508,000	7,500,000
Internal Service Funds	4,258,000	6,609,000	2,351,000
Fiduciary Funds	101,390,000	101,390,000	0
Total	256,429,000	252,308,000	(4,121,000)
Adjustments:			
Transfer(s) To			
Statewide Financial System			
Special Revenue Funds - Other	1,684,000		
Appropriated 2010-11	258,113,000		

# AUDIT AND CONTROL

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration Program			
General Fund	12,572,000	11,315,000	(1,257,000)
Chief Information Office			
General Fund	19,453,000	17,509,000	(1,944,000)
Internal Service Funds	0	2,351,000	2,351,000
Environmental Protection and Spill Compensation			
Special Revenue Funds - Other	1,018,000	1,018,000	0
Executive Direction			
General Fund	8,759,000	7,885,000	(874,000)
Internal Service Funds	1,868,000	1,868,000	0
Pension Investment and Public Finance Program			
General Fund	756,000	681,000	(75,000)
Internal Service Funds	2,240,000	2,240,000	0
Fiduciary Funds	11,288,000	11,288,000	0
Legal Services			
General Fund	6,308,000	5,677,000	(631,000)
Retirement Services Program			
Fiduciary Funds	90,102,000	90,102,000	0
Office of the Special Deputy Comptroller for New York City			
Special Revenue Funds - Other	4,397,000	4,397,000	0
State and Local Accountability			
General Fund	43,993,000	39,594,000	(4,399,000)
Special Revenue Funds - Other	491,000	491,000	0
State Operations			
General Fund	47,932,000	43,140,000	(4,792,000)
Special Revenue Funds - Other	5,102,000	12,602,000	7,500,000
Internal Service Funds	150,000	150,000	0
Total	<u>256,429,000</u>	<u>252,308,000</u>	<u>(4,121,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration Program	6,547,000	(727,000)	6,412,000	(712,000)
Chief Information Office	12,891,000	(1,432,000)	12,441,000	(1,382,000)
Executive Direction	7,095,000	(787,000)	7,013,000	(779,000)
Pension Investment and Public Finance Program	505,000	(56,000)	502,000	(56,000)
Legal Services	5,339,000	(593,000)	5,276,000	(586,000)
State and Local Accountability	35,169,000	(3,907,000)	34,741,000	(3,860,000)
State Operations	33,339,000	(3,703,000)	32,063,000	(3,562,000)
Total	<u>100,885,000</u>	<u>(11,205,000)</u>	<u>98,448,000</u>	<u>(10,937,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration Program	45,000	(5,000)	90,000	(10,000)
Chief Information Office	270,000	(30,000)	180,000	(20,000)
Executive Direction	68,000	(7,000)	14,000	(1,000)
Pension Investment and Public Finance Program	3,000	0	0	0
Legal Services	45,000	(5,000)	18,000	(2,000)
State and Local Accountability	248,000	(27,000)	180,000	(20,000)
State Operations	428,000	(47,000)	848,000	(94,000)
Total	<u>1,107,000</u>	<u>(121,000)</u>	<u>1,330,000</u>	<u>(147,000)</u>

# AUDIT AND CONTROL

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	4,768,000	(530,000)	311,000	(35,000)
Chief Information Office	4,618,000	(512,000)	495,000	(55,000)
Executive Direction	790,000	(87,000)	67,000	(7,000)
Pension Investment and Public Finance Program	176,000	(19,000)	11,000	(1,000)
Legal Services	338,000	(38,000)	60,000	(7,000)
State and Local Accountability	4,425,000	(492,000)	185,000	(21,000)
State Operations	9,801,000	(1,089,000)	412,000	(46,000)
<b>Total</b>	<b>24,916,000</b>	<b>(2,767,000)</b>	<b>1,541,000</b>	<b>(172,000)</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	181,000	(20,000)	4,143,000	(460,000)
Chief Information Office	113,000	(12,000)	2,759,000	(306,000)
Executive Direction	82,000	(9,000)	614,000	(68,000)
Pension Investment and Public Finance Program	19,000	(2,000)	116,000	(13,000)
Legal Services	66,000	(7,000)	194,000	(22,000)
State and Local Accountability	2,665,000	(296,000)	1,297,000	(144,000)
State Operations	360,000	(40,000)	5,995,000	(666,000)
<b>Total</b>	<b>3,486,000</b>	<b>(386,000)</b>	<b>15,118,000</b>	<b>(1,679,000)</b>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration Program	133,000	(15,000)
Chief Information Office	1,251,000	(139,000)
Executive Direction	27,000	(3,000)
Pension Investment and Public Finance Program	30,000	(3,000)
Legal Services	18,000	(2,000)
State and Local Accountability	278,000	(31,000)
State Operations	3,034,000	(337,000)
<b>Total</b>	<b>4,771,000</b>	<b>(530,000)</b>

# AUDIT AND CONTROL

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Chief Information Office	2,351,000	2,351,000	946,000	946,000
Environmental Protection and Spill				
Compensation	1,018,000	0	523,000	0
Executive Direction	1,868,000	0	1,201,000	0
Pension Investment and Public Finance				
Program	13,528,000	0	6,696,000	0
Retirement Services Program	90,102,000	0	44,449,000	0
Office of the Special Deputy Comptroller for				
New York City	4,397,000	0	2,759,000	0
State and Local Accountability	491,000	0	270,000	0
State Operations	12,752,000	7,500,000	4,568,000	4,500,000
Total	<u>126,507,000</u>	<u>9,851,000</u>	<u>61,412,000</u>	<u>5,446,000</u>

Program	Nonpersonal Service	
	Amount	Change
Chief Information Office	1,405,000	1,405,000
Environmental Protection and Spill		
Compensation	495,000	0
Executive Direction	667,000	0
Pension Investment and Public Finance		
Program	6,832,000	0
Retirement Services Program	45,653,000	0
Office of the Special Deputy Comptroller for		
New York City	1,638,000	0
State and Local Accountability	221,000	0
State Operations	8,184,000	3,000,000
Total	<u>65,095,000</u>	<u>4,405,000</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	32,025,000	32,025,000	0
Total	<u>32,025,000</u>	<u>32,025,000</u>	<u>0</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
State Operations			
General Fund	32,025,000	32,025,000	0
Total	<u>32,025,000</u>	<u>32,025,000</u>	<u>0</u>

# **DIVISION OF THE BUDGET**

## **MISSION**

The Division of the Budget is responsible for assisting the Governor in the development of the Executive Budget 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**

Located in Albany, the Division of the Budget operates under the direction of the Budget Director, who is appointed by the Governor.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$53.6 million** All Funds (\$29 million General Fund; \$24.6 million Other Funds) for the Division of the Budget. Appropriations in 2011-12 have decreased by almost **\$6 million (-10 percent)** from 2010-11, with reductions in both personal and non-personal service. The Executive Budget reduces each agency’s General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **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)**

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	59,558,000	53,610,000	(5,948,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>59,558,000</u>	<u>53,610,000</u>	<u>(5,948,000)</u>	<u>0</u>

# BUDGET

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Budget Division			
General Fund	255	258	3
Special Revenue Funds - Other	49	49	0
Total	304	307	3

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	34,477,000	29,029,000	(5,448,000)
Special Revenue Funds - Other	23,431,000	22,931,000	(500,000)
Internal Service Funds	1,650,000	1,650,000	0
Total	59,558,000	53,610,000	(5,948,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Budget Division			
General Fund	30,477,000	27,529,000	(2,948,000)
Special Revenue Funds - Other	21,431,000	21,431,000	0
Internal Service Funds	1,650,000	1,650,000	0
Cash Management Improvement Act			
General Fund	4,000,000	1,500,000	(2,500,000)
Special Revenue Funds - Other	2,000,000	1,500,000	(500,000)
Total	59,558,000	53,610,000	(5,948,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Budget Division	22,332,000	(2,370,000)	21,702,000	(2,300,000)
Total	22,332,000	(2,370,000)	21,702,000	(2,300,000)
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Budget Division	450,000	(50,000)	180,000	(20,000)
Total	450,000	(50,000)	180,000	(20,000)

# BUDGET

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Budget Division	5,197,000	(578,000)	180,000	(20,000)
Cash Management Improvement Act	1,500,000	(2,500,000)	0	0
Total	<u>6,697,000</u>	<u>(3,078,000)</u>	<u>180,000</u>	<u>(20,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Budget Division	167,000	(19,000)	4,580,000	(509,000)
Cash Management Improvement Act	0	0	1,500,000	(2,500,000)
Total	<u>167,000</u>	<u>(19,000)</u>	<u>6,080,000</u>	<u>(3,009,000)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Budget Division	270,000	(30,000)
Cash Management Improvement Act	0	0
Total	<u>270,000</u>	<u>(30,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Budget Division	23,081,000	0	6,710,000	0
Cash Management Improvement Act	1,500,000	(500,000)	0	0
Total	<u>24,581,000</u>	<u>(500,000)</u>	<u>6,710,000</u>	<u>0</u>

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Budget Division	16,371,000	0
Cash Management Improvement Act	1,500,000	(500,000)
Total	<u>17,871,000</u>	<u>(500,000)</u>

# **CITY UNIVERSITY OF NEW YORK**

## **MISSION**

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

## **ORGANIZATION AND STAFFING**

The City University of New York has 11 senior colleges, a Graduate School and University Center, a Graduate School of Journalism, a Law School and six community colleges. The University is governed by a 17-member Board of Trustees comprised of: 10 members appointed by the Governor, five members appointed by the Mayor and two ex-officio members – the chairs of the Student Senate and the Faculty Senate.

The Board of Trustees appoints the Chancellor, the chief executive officer of the University and individual college presidents. The City University's operating budget supports an estimated **12,933 full time equivalent positions** consisting of 12,641 positions supported through a combination of State tax dollars and tuition revenues and 292 positions supported through other funds. Community college staff are not included in these totals as they are not employees of the State.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$3.6 billion** All Funds (\$1.9 billion in Fiduciary Funds that represent the City of New York paying Senior College costs in the first instance, \$1.2 billion in General Fund support that represents both the State's contribution to these costs and the operations of the CUNY community colleges, \$175.4 million in authority to disburse self-generated revenue, and \$336.4 million in capital funding). The budget includes General Fund growth in personal service costs (as a result of collective bargaining contracts), nonpersonal services, fringe benefits and community college enrollment growth, offset by General Fund decreases associated with reductions to senior college campuses and community colleges necessary to close State budget gaps.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major 2011-12 budget actions:

- **Reduce General Fund Support for Senior Colleges:** The Executive Budget recommends an \$83.2 million decrease in direct General Fund support (approximately -10 percent from 2010-11 appropriation levels for the operations of CUNY Senior Colleges and University-wide programs. This reduction will be allocated by the Board of Trustees.
- **Reduce Community College Base Operating Aid:** The Executive Budget recommends reducing base operating aid support for CUNY's 6 community colleges by 10 percent per full-time equivalent (FTE) student. As a result, the rate would decline by \$226, from \$2,260 to \$2,034. This action generates General Fund savings of \$13.1 million in state fiscal year 2011-12.

## **SENIOR COLLEGES**

The Executive Budget includes General Fund appropriations of \$1.05 billion (including \$538.1 million in fringe benefits). Recommended levels of General Fund support (not including fringe benefits) represent a \$67.2 million decrease from 2010-11 final enacted budget levels, consisting of a \$27.9 million increase from collective bargaining and non-personal services inflationary costs, offset by an \$11.9 million reduction that represents savings assumed in the 2010-11 Enacted Budget that could not be realized in the 2010-11, and further reduced by recommended reductions of \$83.2 million. In addition, the Executive Budget assumes that the University will collect and spend approximately \$801.1 million of revenue from tuition, reflecting a tuition rate increase of approximately 5 percent that was initiated and approved by the CUNY Board of Trustees in November 2010. As a result, combined General Fund and tuition revenue (plus \$32.3 million from New York City) will provide for core instructional budget of \$1.9 billion to support senior college campuses, central administration and University-wide programs.

## **COMMUNITY COLLEGES**

CUNY's community colleges have three basic funding sources: State support, local sponsor support, and student tuition revenue. The Executive Budget recommends \$172.5 million in State support, a \$13.5 million decrease in total available funding from 2010-11 final enacted budget levels. This change is attributable to increases of \$5.7 million for enrollment growth and \$1.2 million related to the one-time actions resulting from the 2010-11 FMAP contingency reduction, offset by \$5.5 million due to the annualization of the 2010-11 enacted budget reduction of \$285 per FTE student, the elimination of \$1.8 million in one-time funding for prior year enrollment growth, and a \$13.1 million decrease resulting from the recommended \$226 per student FTE reduction in base operating aid (from \$2,260 to \$2,034).

## **CAPITAL PROJECTS**

The 2008-09 enacted budget provided CUNY with \$1.8 billion in new capital appropriations, a major step in the implementation of a \$3 billion multi-year capital plan, which provides for facility and infrastructure improvements at senior and community colleges, consistent with University needs and priorities. The 2011-12 Executive Budget continues a commitment to preserve and rehabilitate CUNY's educational facilities infrastructure by providing the fourth of five annual \$284 million appropriations to address the accumulated backlog of critical maintenance projects throughout the University system. The Executive Budget also includes \$31.2 million for the State's 50 percent share of capital projects for community college campuses that have secured a match from the City of New York.

## **PROGRAM HIGHLIGHTS**

The City University of New York offers a wide variety of educational avenues ranging from vocational courses to doctoral degree programs. Approximately 263,000 full-time and part-time students – 171,800 at the senior colleges and 91,200 at the

## CITY UNIVERSITY

community colleges – were enrolled in programs for the fall 2010 semester. CUNY’s academic offerings include the following important programs:

- The Language Immersion Program is designed to strengthen the language skills of first year students prior to their entry into collegiate coursework. This intensive, full-time program has successfully taken a holistic approach to language development in the context of academic preparation. The program operates on nine campuses and, since its inception in 1995, has helped thousands of students prepare for full collegiate matriculation;
- The College Now Program is a joint project of the City University of New York (CUNY)/Office of Academic Affairs and the New York City Department of Education designed to improve the academic preparation of high school students and implement tougher graduation standards. College Now serves nearly 25,000 students at 17 college campuses annually and partners with over 350 New York City public high schools;
- The New York City Alliance for Minority Participation is a consortium of 17 CUNY campuses that have joined with the National Science Foundation in a cooperative venture to increase the number of under-represented students successfully completing science, mathematics, engineering and technology baccalaureate programs; and
- Approximately 120 research institutes and centers are located throughout the University. Notable examples include the Structural Biology Center — a consortium of public and private research institutions located on the City College campus, the Levich Institute for Physico-Chemical Hydrodynamics at City College and the Institute for Biomolecular Structure and Function at Hunter College.

In recent years, the CUNY Board of Trustees has advanced a series of significant actions to improve academic quality and strengthen the planning and management functions of the University. The Board of Trustees continues to encourage campuses to set higher standards, reduce time-to-program completion and allocate resources in a cost efficient yet academically effective manner.

The City University, through its master plan, will continue to advance the core values the University has established including: academic rigor, accountability, assessment, and a commitment to serving a diverse student population. These values have been expressed through a series of system-wide changes and initiatives, implemented over time, which include: the restructuring and integration of admission policies, recruitment and retention of talented full-time faculty, collaboration with the New York City Department of Education to enhance preparation for higher education and development of a performance management process to assess leadership and progress toward University-wide goals.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	2,005,258,000	2,056,290,000	51,032,000	0
Aid To Localities	1,223,916,110	1,202,703,000	(21,213,110)	0
Capital Projects	318,785,000	336,461,000	17,676,000	3,579,831,000
Total	<u>3,547,959,110</u>	<u>3,595,454,000</u>	<u>47,494,890</u>	<u>3,579,831,000</u>

# CITY UNIVERSITY

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Institutional Support Services			
Special Revenue Funds - Other	292	292	0
Fiduciary Funds	12,641	12,641	0
Total	12,933	12,933	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	145,000,000	175,400,000	30,400,000
Fiduciary Funds	1,860,258,000	1,880,890,000	20,632,000
Total	2,005,258,000	2,056,290,000	51,032,000

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

Program	Available 2010-11	Recommended 2011-12	Change
Institutional Support Services			
Special Revenue Funds - Other	145,000,000	175,400,000	30,400,000
Fiduciary Funds	1,860,258,000	1,880,890,000	20,632,000
Total	2,005,258,000	2,056,290,000	51,032,000

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	1,216,362,110	1,202,703,000	(13,659,110)
Special Revenue Funds - Federal	7,554,000	0	(7,554,000)
Total	1,223,916,110	1,202,703,000	(21,213,110)

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

Program	Available 2010-11	Recommended 2011-12	Change
American Recovery and Reinvestment Act of 2009 State Stabilization Fund			
Special Revenue Funds - Federal	7,554,000	0	(7,554,000)
Community College Programs			
General Fund	154,397,110	172,497,765	18,100,655
Institutional Support Services			
General Fund	1,059,965,000	1,028,205,235	(31,759,765)
Senior College Pension Payments			
General Fund	2,000,000	2,000,000	0
Total	1,223,916,110	1,202,703,000	(21,213,110)

# CITY UNIVERSITY

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Senior Colleges				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	45,521,000
Cap Proj Fund - CUNY (Direct Auth Bonds)	284,222,000	284,222,000	0	2,979,615,000
Program Changes - Expansion and Improvements				
Capital Projects Fund	0	0	0	697,000
New Facilities				
Cap Proj Fund - CUNY (Direct Auth Bonds)	0	0	0	108,840,000
Project Administration				
Capital Projects Fund	0	21,000,000	21,000,000	0
Subtotal	<u>284,222,000</u>	<u>305,222,000</u>	<u>21,000,000</u>	<u>3,134,673,000</u>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	13,330,000
Cap Proj Fund - CUNY (Direct Auth Bonds)	34,563,000	31,239,000	(3,324,000)	431,828,000
Subtotal	<u>34,563,000</u>	<u>31,239,000</u>	<u>(3,324,000)</u>	<u>445,158,000</u>
Total	<u>318,785,000</u>	<u>336,461,000</u>	<u>17,676,000</u>	<u>3,579,831,000</u>

# **DEPARTMENT OF CIVIL SERVICE**

## **MISSION**

In accordance with the Civil Service Law, the Department of Civil Service is charged with providing human resource management services to State and local governments. The Department assists State agencies with personnel recruitment and placement services, administers tests, oversees job classifications, and administers benefits.

## **ORGANIZATION AND STAFFING**

Based in Albany, the Department of Civil Service operates under the direction of a Commissioner who is appointed by the Governor, subject to Senate confirmation. The Commissioner of Civil Service also serves as the President of the Civil Service Commission, along with two additional Commissioners appointed by the Governor. The Commission acts as an appellate body responsible for reviewing determinations of the Department and the Director of Classification and Compensation.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$59.7 million** All Funds (\$16.7 million General Fund; \$40.7 million Internal Service Fund; \$2.3 million Other Funds) for the Department of Civil Service. This is a decrease in the General Fund of **\$1.9 million (-10 percent)** from the 2010-11 budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

In 2010-11, the Department worked with agencies involved in recent consolidations and transfers of function, including the Division of Homeland Security and Emergency Services, the Statewide Financial System, and the Department of Transportation's takeover of I-84 maintenance from the Thruway Authority. In addition, the Department played a key role in implementation of Chapter 500 of the Laws of 2009, which created a pilot program designed to reduce the State's reliance on private information technology consulting services. The law authorized up to 500 term appointments to information technology positions requiring special skills or expertise for a maximum of five years.

The implementation of Federal health reform will continue to be an integral part of the Department's operations in the coming years, as part of its responsibility to administer employee health benefits. The 2010 enactment of the Federal Patient Protection and Affordable Care Act (ACA) and the Health Care and Education Reconciliation Act will require significant reforms to the State health plans. It is anticipated that these changes will be implemented by the Department in phases over the next several years.

In 2010, the U.S. Department of Health and Human Services approved NYSHIP's application to participate in the Early Retirement Reinsurance Program (ERRP). This new program provides financial assistance to public and private employers by offsetting the cost of health insurance claims incurred by retirees age 55 to 64 that are not old enough to be eligible for Medicare. The funding is intended to encourage employers to

## CIVIL SERVICE

maintain insurance coverage for those retirees and must be used to offset future premium increases for NYSHIP employers and enrollees. The Department estimates NYSHIP may receive more than \$100 million over two years of the program.

As part of the premium-setting process each year, the Department, assisted by its actuarial consultant, reviews carrier premium demands and negotiates reductions in premium to more accurately reflect expected claim costs and allowable administrative expenses in the coming plan year. For 2011, carriers requested premium increases of approximately 20 percent. After negotiations, the insurers agreed to 2011 premiums which on average increased 12.7 percent.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	61,554,000	59,695,000	(1,859,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>61,554,000</u>	<u>59,695,000</u>	<u>(1,859,000)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration and Information			
Management			
General Fund	30	30	0
Internal Service Funds	21	21	0
Commission Operations and Municipal			
Assistance			
General Fund	15	15	0
Labor Management Programs			
General Fund	13	13	0
Personnel Benefit Services			
General Fund	25	25	0
Internal Service Funds	152	152	0
Personnel Management Services			
General Fund	134	134	0
Special Revenue Funds - Other	5	5	0
Internal Service Funds	49	49	0
Total	<u>444</u>	<u>444</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	18,593,000	16,734,000	(1,859,000)
Special Revenue Funds - Other	2,257,000	2,257,000	0
Internal Service Funds	40,704,000	40,704,000	0
Total	<u>61,554,000</u>	<u>59,695,000</u>	<u>(1,859,000)</u>

# CIVIL SERVICE

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration and Information			
Management			
General Fund	4,073,000	3,666,000	(407,000)
Internal Service Funds	3,549,000	3,549,000	0
Commission Operations and Municipal			
Assistance			
General Fund	887,000	798,000	(89,000)
Personnel Benefit Services			
General Fund	1,850,000	1,665,000	(185,000)
Special Revenue Funds - Other	300,000	300,000	0
Internal Service Funds	29,799,000	29,799,000	0
Personnel Management Services			
General Fund	11,783,000	10,605,000	(1,178,000)
Special Revenue Funds - Other	1,957,000	1,957,000	0
Internal Service Funds	7,356,000	7,356,000	0
Total	<u>61,554,000</u>	<u>59,695,000</u>	<u>(1,859,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration and Information				
Management	3,518,000	(391,000)	3,517,000	(391,000)
Commission Operations and Municipal				
Assistance	753,000	(84,000)	752,000	(84,000)
Personnel Benefit Services	1,546,000	(171,000)	1,507,000	(171,000)
Personnel Management Services	10,301,000	(1,145,000)	9,450,000	(1,145,000)
Total	<u>16,118,000</u>	<u>(1,791,000)</u>	<u>15,226,000</u>	<u>(1,791,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration and Information				
Management	0	0	1,000	0
Commission Operations and Municipal				
Assistance	0	0	1,000	0
Personnel Benefit Services	28,000	0	11,000	0
Personnel Management Services	750,000	0	101,000	0
Total	<u>778,000</u>	<u>0</u>	<u>114,000</u>	<u>0</u>

## CIVIL SERVICE

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	148,000	(16,000)	9,000	0
Commission Operations and Municipal Assistance	45,000	(5,000)	3,000	0
Personnel Benefit Services	119,000	(14,000)	41,000	0
Personnel Management Services	304,000	(33,000)	50,000	0
<b>Total</b>	<b>616,000</b>	<b>(68,000)</b>	<b>103,000</b>	<b>0</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	35,000	0	94,000	(16,000)
Commission Operations and Municipal Assistance	17,000	0	25,000	(5,000)
Personnel Benefit Services	0	0	73,000	(14,000)
Personnel Management Services	46,000	0	199,000	(33,000)
<b>Total</b>	<b>98,000</b>	<b>0</b>	<b>391,000</b>	<b>(68,000)</b>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration and Information Management	10,000	0
Commission Operations and Municipal Assistance	0	0
Personnel Benefit Services	5,000	0
Personnel Management Services	9,000	0
<b>Total</b>	<b>24,000</b>	<b>0</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration and Information Management	3,549,000	0	1,883,000	0
Personnel Benefit Services	30,099,000	0	12,397,000	0
Personnel Management Services	9,313,000	0	3,922,000	0
<b>Total</b>	<b>42,961,000</b>	<b>0</b>	<b>18,202,000</b>	<b>0</b>

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Administration and Information Management	1,666,000	0
Personnel Benefit Services	17,702,000	0
Personnel Management Services	5,391,000	0
<b>Total</b>	<b>24,759,000</b>	<b>0</b>

# **DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION**

## **MISSION**

The Department of Corrections and Community Supervision – the combined entity which will result from the proposed merger of the Department of Correctional Services and the Division of Parole – will be responsible for the safe and secure confinement of convicted felons, preparing these individuals for successful reintegration into the community upon release, setting the conditions of release, supervising offenders in the community, and assisting parolees toward successful completion of their sentence.

## **ORGANIZATION AND STAFFING**

The 2011-12 Executive Budget redesigns the provision of State services and recalibrates State spending by merging the Department of Correctional Services and the Division of Parole into the new Department of Corrections and Community Supervision. The agency will have a new unified mission – to provide offenders support throughout the period of incarceration and reintegration into the community, thereby increasing their ability to successfully return to the community. By blending the operations of the formerly separate agencies, the focus on re-entry is strengthened, and the integration of programming both inside and outside the prisons is improved. By enhancing the prospects of offenders successfully returning to life in their home communities, the agency lowers the risk of new crimes, makes the community safer, and reduces the costs of returning offenders to prison.

The Department oversees the nation's fourth largest state prison system, currently operating 67 institutions, grouped within nine regional hubs. Each of the 65 correctional facilities, as well as the Willard Drug Treatment Campus in Seneca County and including Edgecombe Residential Treatment Facility in Manhattan – both of which are operated by the Department in cooperation with the Office of Alcoholism and Substance Abuse Services, is managed by a Superintendent, who reports to the Commissioner. More than 19,800 – or 64 percent – of the new combined Department's staff are security personnel, with remaining staff primarily dedicated to the delivery of inmate programs, health services, community supervision and facility operations. Community supervision staff is located across the State in 38 community-based field supervision offices.

The Parole Board will continue as an independent body, housed within and receiving administrative support from the new agency. The members of the Board are appointed by the Governor, and confirmed by the Senate. One member is designated by the Governor to serve as the Board's Chair. Board members review the cases of offenders eligible for parole release and determine if the offender should be released to parole supervision.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$2.9 billion** All Funds (\$2.4 billion General Fund; \$39 million Federal Funds; \$30 million Other Funds; \$74 million Internal Service Funds; \$43 million Enterprise Funds; \$320 million in Capital Projects Funds) for the Department of Corrections and Community Supervision. There is a decrease of \$271 million in General Fund State Operations appropriations (**-10 percent**) from the combined 2010-11 totals of the Department of Correctional Services and the Division of

## ***CORRECTIONS AND COMMUNITY SUPERVISION***

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Parole. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. Generally these savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible. In this Department, savings are also anticipated from the closure of prison facilities, reduced central office management staff, and the merger.

Despite the efforts of the Department of Correctional Services to consolidate and achieve savings, the system continues to maintain more facilities than are necessary to house the State's prison population safely. With the closure of only five small facilities during the past several years, excess capacity remains. Total capacity in medium and minimum general confinement facilities is approximately 36,400 beds, of which at least 3,500 are not needed. The transfer of inmates into facilities that operate the most efficiently and offer more rehabilitative services is expected to yield significant recurring savings and eliminate most of the excess capacity. The Governor will create a task force by Executive Order that will recommend the specific facilities to be closed. If the task force does not recommend rightsizing, the Commissioner would be empowered to implement facility closures. Communities impacted by the closures would receive assistance from the Governor's new regional economic development councils, with up to \$100 million available to help communities end their reliance on incarceration as a major source of employment and economic sustainability.

### ***PROGRAM HIGHLIGHTS***

#### ***CORRECTIONS***

Since peaking at nearly 71,600 in 1999, the under-custody prison population is projected to have declined by approximately 15,000 inmates by the end of the current fiscal year. This decline can be largely attributed to the dramatic drop in the State's crime rate over the last decade, and the success of legislatively enacted programs that allow certain non-violent offenders to earn time off their sentences for good behavior and program achievements.

As soon as an inmate enters prison, an assessment is conducted to determine the need for rehabilitative programs. The Department offers a variety of programs designed to improve the prospects of an offender's successful re-entry into the community. These include educational programming, with the minimum goal of assisting inmates who do not have high school diplomas to receive General Equivalency Diplomas; apprenticeships; substance abuse treatment services; anger management therapy; and a sex offender treatment program which was expanded under the Sex Offender Management and Treatment Act of 2007.

Meeting the critical need of providing appropriate levels of medical services is important to the safety of the prison system and to the general public when an inmate is released. The Department acts quickly to diagnose and begin treatment, if necessary, when an inmate enters prison and provides the greatest degree of services possible to seek a cure.

The Department continues to expand and enhance its services for inmates with mental illness. The Department of Correctional Services opened a state-of-the-art Residential Mental Health Unit (RMHU) at Marcy Correctional Facility in Oneida County in

## **CORRECTIONS AND COMMUNITY SUPERVISION**

December 2009 for up to 100 inmates with serious mental illness and disciplinary sanctions. The Department also plans to open a second, 60-bed RMHU at Five Points Correctional Facility in Seneca County in 2011-12.

### **COMMUNITY SUPERVISION**

The Community Supervision program retains responsibility for activities conducted by the former Division of Parole. The focus of this program is to prepare inmates for re-entry into the community; assist the Board in making release determinations; and supervise parolees released from prison while supporting their successful reintegration into the community.

Immediately upon being released from prison, parolees are assigned to a Field Parole Officer. Field Parole Officers supervise parolees by monitoring behavior, reviewing employment, evaluating treatment progress, and administering drug tests. In addition to closely monitoring offenders in the community, the Division helps parolees avoid reverting to a life of crime by contracting for various services to support their return to society, such as supportive housing and employment training. Through the merger, the Department will create a more seamless system for assessing the needs of offenders, ensuring access to services both inside and outside the confines of the prison walls, and addressing factors essential to successful community re-entry.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	2,875,707,000	2,605,074,000	(270,633,000)	39,422,000
Aid To Localities	22,171,000	17,171,000	(5,000,000)	15,153,000
Capital Projects	320,000,000	320,000,000	0	655,345,000
Total	<u>3,217,878,000</u>	<u>2,942,245,000</u>	<u>(275,633,000)</u>	<u>709,920,000</u>

# CORRECTIONS AND COMMUNITY SUPERVISION

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	214	214	0
Special Revenue Funds - Federal	653	653	0
Enterprise Funds	11	11	0
Community Supervision			
General Fund	0	1,893	1,893
Correctional Industries			
Internal Service Funds	291	291	0
Facilities Planning and Development			
Capital Projects Funds - Other	30	30	0
Health Services			
General Fund	1,953	2,003	50
Program Services			
General Fund	3,132	3,132	0
Supervision of Inmates			
General Fund	20,494	19,844	(650)
Support Services			
General Fund	3,100	3,105	5
Total	<u>29,878</u>	<u>31,176</u>	<u>1,298</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	2,689,347,000	2,418,614,000	(270,733,000)
Special Revenue Funds - Federal	38,900,000	39,400,000	500,000
Special Revenue Funds - Other	30,755,000	30,355,000	(400,000)
Enterprise Funds	43,013,000	43,013,000	0
Internal Service Funds	73,692,000	73,692,000	0
Total	<u>2,875,707,000</u>	<u>2,605,074,000</u>	<u>(270,633,000)</u>
Adjustments:			
Transfer(s) From			
Parole, Division of			
General Fund	(166,362,000)		
Special Revenue Funds - Federal	(600,000)		
Special Revenue Funds - Other	(1,275,000)		
Special Pay Bill			
General Fund	(10,279,000)		
Appropriated 2010-11	<u>2,697,191,000</u>		

# CORRECTIONS AND COMMUNITY SUPERVISION

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	26,646,000	22,182,000	(4,464,000)
Special Revenue Funds - Federal	38,300,000	38,800,000	500,000
Special Revenue Funds - Other	25,250,000	25,250,000	0
Enterprise Funds	2,701,000	2,701,000	0
Community Supervision			
General Fund	166,362,000	149,726,000	(16,636,000)
Special Revenue Funds - Federal	600,000	600,000	0
Special Revenue Funds - Other	1,275,000	1,275,000	0
Correctional Industries			
Enterprise Funds	0	412,000	412,000
Internal Service Funds	73,692,000	73,692,000	0
Health Services			
General Fund	360,523,000	324,471,000	(36,052,000)
Program Services			
General Fund	234,257,000	210,832,000	(23,425,000)
Special Revenue Funds - Other	100,000	100,000	0
Enterprise Funds	39,900,000	39,900,000	0
Supervision of Inmates			
General Fund	1,455,368,000	1,309,831,000	(145,537,000)
Support Services			
General Fund	446,191,000	401,572,000	(44,619,000)
Special Revenue Funds - Other	4,130,000	3,730,000	(400,000)
Enterprise Funds	412,000	0	(412,000)
Total	<u>2,875,707,000</u>	<u>2,605,074,000</u>	<u>(270,633,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	15,571,000	(1,730,000)	15,467,000	(1,718,000)
Community Supervision	118,534,000	(13,170,000)	114,862,000	(12,762,000)
Health Services	123,998,000	(13,778,000)	112,119,000	(12,458,000)
Program Services	174,429,000	(19,381,000)	168,713,000	(18,746,000)
Supervision of Inmates	1,288,290,000	(143,144,000)	1,218,294,000	(135,366,000)
Support Services	160,200,000	(17,800,000)	150,467,000	(16,719,000)
Total	<u>1,881,022,000</u>	<u>(209,003,000)</u>	<u>1,779,922,000</u>	<u>(197,769,000)</u>
			Holiday/Overtime Pay	
Program	Temporary Service (Nonannual Salaried)			
	Amount	Change	Amount	Change
Administration	0	0	104,000	(12,000)
Community Supervision	63,000	(7,000)	3,609,000	(401,000)
Health Services	5,282,000	(587,000)	6,597,000	(733,000)
Program Services	5,014,000	(557,000)	702,000	(78,000)
Supervision of Inmates	11,428,000	(1,270,000)	58,568,000	(6,508,000)
Support Services	197,000	(22,000)	9,536,000	(1,059,000)
Total	<u>21,984,000</u>	<u>(2,443,000)</u>	<u>79,116,000</u>	<u>(8,791,000)</u>

# CORRECTIONS AND COMMUNITY SUPERVISION

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	6,611,000	(2,734,000)	345,000	(38,000)
Community Supervision	31,192,000	(3,466,000)	960,000	(107,000)
Health Services	200,473,000	(22,274,000)	78,345,000	(8,705,000)
Program Services	36,403,000	(4,044,000)	7,018,000	(780,000)
Supervision of Inmates	21,541,000	(2,393,000)	10,134,000	(1,126,000)
Support Services	241,372,000	(26,819,000)	118,649,000	(13,183,000)
Total	<u>537,592,000</u>	<u>(61,730,000)</u>	<u>215,451,000</u>	<u>(23,939,000)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	306,000	(34,000)	5,372,000	(597,000)
Community Supervision	3,404,000	(378,000)	25,471,000	(2,830,000)
Health Services	381,000	(42,000)	120,965,000	(13,440,000)
Program Services	415,000	(46,000)	26,967,000	(2,996,000)
Supervision of Inmates	2,718,000	(302,000)	5,925,000	(658,000)
Support Services	294,000	(33,000)	112,983,000	(12,554,000)
Total	<u>7,518,000</u>	<u>(835,000)</u>	<u>297,683,000</u>	<u>(33,075,000)</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	588,000	(65,000)	0	(2,000,000)
Community Supervision	1,357,000	(151,000)	0	0
Health Services	782,000	(87,000)	0	0
Program Services	2,003,000	(222,000)	0	0
Supervision of Inmates	2,764,000	(307,000)	0	0
Support Services	9,446,000	(1,049,000)	0	0
Total	<u>16,940,000</u>	<u>(1,881,000)</u>	<u>0</u>	<u>(2,000,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	66,751,000	500,000	51,323,000	0
Community Supervision	1,875,000	0	100,000	0
Correctional Industries	74,104,000	412,000	20,239,000	0
Program Services	40,000,000	0	0	0
Support Services	3,730,000	(812,000)	0	0
Total	<u>186,460,000</u>	<u>100,000</u>	<u>71,662,000</u>	<u>0</u>

Program	Nonpersonal Service	
	Amount	Change
Administration	15,428,000	500,000
Community Supervision	1,775,000	0
Correctional Industries	53,865,000	412,000
Program Services	40,000,000	0
Support Services	3,730,000	(812,000)
Total	<u>114,798,000</u>	<u>100,000</u>

# CORRECTIONS AND COMMUNITY SUPERVISION

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	11,171,000	6,171,000	(5,000,000)
Internal Service Funds	11,000,000	11,000,000	0
Total	<u>22,171,000</u>	<u>17,171,000</u>	<u>(5,000,000)</u>

Adjustments:

Transfer(s) From			
Parole, Division of			
General Fund	(10,971,000)		
Internal Service Funds	(11,000,000)		
Appropriated 2010-11	<u>200,000</u>		

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

Program	Available 2010-11	Recommended 2011-12	Change
Community Supervision			
General Fund	10,971,000	5,971,000	(5,000,000)
Internal Service Funds	11,000,000	11,000,000	0
Support Services			
General Fund	200,000	200,000	0
Total	<u>22,171,000</u>	<u>17,171,000</u>	<u>(5,000,000)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Maintenance and Improvement of Existing Facilities				
Correctional Facilities Capital Improvement Fund	320,000,000	320,000,000	0	655,345,000
Total	<u>320,000,000</u>	<u>320,000,000</u>	<u>0</u>	<u>655,345,000</u>

# ***DIVISION OF CRIMINAL JUSTICE SERVICES***

## ***MISSION***

The mission of the Division of Criminal Justice Services (DCJS) is to enhance public safety and improve criminal justice. DCJS is a multi-functional criminal justice agency with a variety of responsibilities including collection and analysis of statewide crime data; operation of the DNA Databank and criminal fingerprint files; administration of Federal and State funds that support local criminal justice programs; and administration of the State's Sex Offender Registry. The Division also measures progress toward the overall goal of reducing crime, and tracks the effectiveness of both agency and system-wide criminal justice strategies designed to increase public safety.

## ***ORGANIZATION AND STAFFING***

The Division of Criminal Justice Services is located in Albany and is headed by a Commissioner who is appointed by the Governor subject to Senate confirmation. As part of the 2010-11 enacted budget, the former Division of Probation and Correctional Alternatives was merged into the Division of Criminal Justice Services and was reconstituted as the Office of Probation and Correctional Alternatives.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends that the Office for the Prevention of Domestic Violence, the Office of Victim Services, and the State Commission of Correction merge into the Division of Criminal Justice Services. These agencies will be established as specialized offices within the Division to continue their important missions. The Division already provides administrative support to three of these smaller agencies, and a full merger offers a more efficient and cost-effective environment for the delivery of programs and services for which these agencies are responsible. The merger will also foster improved coordination of policies and programs.

The Executive Budget recommends **\$347 million** in All Funds support for the Division. This reflects a **\$6.4 million decrease (-10 percent)** in the General Fund from 2010-11. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible. All Funds/ local assistance funding is reduced by \$46 million in the 2011-12 Executive Budget, primarily reflecting the discontinuation of new appropriations for Federal American Recovery and Reinvestment Act (ARRA) funding. Local programs in the General Fund are reduced by \$9.7 million, or an 8 percent decrease from the enacted 2010-11 Budget. Local assistance funding allocations for these programs will be made pursuant to a plan developed by the Commissioner, taking into consideration performance measures and program outcomes.

## ***PROGRAM HIGHLIGHTS***

The Division of Criminal Justice Services' mission is to make New York the safest state in the nation. Through strategic planning, the Division is meeting the objective to continue lowering the crime rate in New York by: improving coordination among

## **CRIMINAL JUSTICE SERVICES**

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Federal, State, and local law enforcement agencies; making vital information more readily available to help fight crime; expanding the use of technology to combat crime; and, fostering inter-agency initiatives concerning sex offender management.

The Division directly supports inter-agency law enforcement, in part through programs such as Operation IMPACT and the Promoting Safe Communities initiative. Operation IMPACT targets 17 counties that account for 80 percent of crime outside New York City. The focus of IMPACT is to bring together the resources and strategies of Federal, State and local law enforcement in order to fight crime more effectively. The Promoting Safe Communities initiative is intended to encourage the IMPACT jurisdictions to more intensely address spikes in discrete categories of violent crime with strategies designed to combat burglaries, persistent offenders, violent gangs and domestic violence. Additionally, the Division provides local assistance funding to support an array of criminal justice functions such as: law enforcement operations, prosecution, defense, crime laboratories, probation and alternatives to incarceration programs.

The Division also supports four Crime Analysis Centers located in Albany, Buffalo, Rochester and Syracuse. Each of these Centers is governed by a board composed of key local law enforcement officials, and supervised by a Director employed by DCJS. The Centers are multi-jurisdictional units responsible for in-depth analysis of crime incidents, offender data and police calls that provide a comprehensive picture of the criminal environment within the Center's geographical area of responsibility.

As the central repository for criminal history records, the Division identifies individuals through fingerprint comparison and provides criminal history records to law enforcement through the Statewide Automated Fingerprint Identification System (SAFIS). A comparable service is offered for civil fingerprints to check the backgrounds of prospective employees for sensitive positions in government and the private sector. A new state-of-the-art fingerprint identification system will be fully implemented by October 2011.

The Division also maintains a DNA Identification Index, conducts extensive criminal justice statistical research and policy analysis, and supports New York's Uniform Crime Reporting program. Further, the Division coordinates and provides information technology services for the criminal justice community. A statewide criminal justice information system, eJusticeNY, is utilized by nearly 2,600 organizations, and provides users with the ability to: obtain rap-sheets; perform name searches; and access NYS criminal history data, wanted/missing person data and the complete NYS Sex Offender Registry.

In addition, the Division 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 funds which support a statewide anti-drug strategy of prosecution and preventive enforcement efforts, and which focus on prosecution, law enforcement and victim services related to domestic violence.

A key new activity was added following enactment of the 2009 Drug Law Reform. In conjunction with the Office of Alcoholism and Substance Abuse Services and the Office of Court Administration, the Division is undertaking a comprehensive analysis of the impacts of this major legislation, and will provide ongoing data on the implementation and effectiveness of the reforms. The Division is overseeing the allocation of \$67 million in Federal funds through the American Reinvestment and

## ***CRIMINAL JUSTICE SERVICES***

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Recovery Act to support drug law reform through investments in drug treatment, drug courts, alternatives to incarceration, probation, probation violation centers, and computer training and transitional employment for former offenders.

The Office of Probation and Correctional Alternatives will continue to oversee county probation departments and community correction programs. It establishes standards, provides training and technical assistance, and monitors outcomes related to the supervision and treatment of offenders. The Office also will continue to focus on evidence-based practices, performance measurement, enhanced training and education for local providers, and improved technology.

Within the newly merged agency, each of the three existing agencies will maintain their distinct mission, as described below.

### ***OFFICE FOR THE PREVENTION OF DOMESTIC VIOLENCE***

The Office for the Prevention of Domestic Violence (OPDV) will continue to: lead New York State's efforts to respond to and prevent domestic violence; advise the Governor and Legislature; develop statewide policies; conduct domestic violence training for judges, prosecutors, police, attorneys, probation and parole personnel, social services and health care providers; and serve as a clearinghouse of information and guidance on domestic violence for the entire State.

In conjunction 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.

### ***OFFICE OF VICTIM SERVICES***

The Office of Victim Services (OVS) is the lead State source of assistance to persons who have been the victims of crime, particularly crimes of a violent nature. Its mission will continue to be: providing financial assistance to victims for losses they suffer as a result of crime; making grants to local agencies, which assist witnesses and victims; and, serving as the State's advocate for crime victims' rights, needs and interests.

### ***STATE COMMISSION OF CORRECTION***

The State Commission of Correction, comprised of 3 members appointed by the Governor, one of whom is the chair, will continue to regulate and oversee the operation and management of State and local correctional facilities, and secure youth facilities operated by the Office of Children and Family Services. The Commission's primary role is to promote a safe, secure and stable correctional system and to provide for the accountability of corrections officials.

## CRIMINAL JUSTICE SERVICES

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	136,878,000	114,350,000	(22,528,000)	139,400,000
Aid To Localities	278,547,000	232,565,000	(45,982,000)	309,047,986
Capital Projects	0	0	0	0
Total	<u>415,425,000</u>	<u>346,915,000</u>	<u>(68,510,000)</u>	<u>448,447,986</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
General Fund	100	100	0
Crime Prevention and Reduction Strategies			
General Fund	0	450	450
Funding and Program Assistance			
General Fund	58	0	(58)
Special Revenue Funds - Federal	77	77	0
Special Revenue Funds - Other	4	4	0
Operation and Systems			
General Fund	311	0	(311)
Special Revenue Funds - Federal	23	23	0
Oversight of Correctional Facilities			
General Fund	0	29	29
Prevention of Domestic Violence			
General Fund	0	14	14
Special Revenue Funds - Federal	0	2	2
Internal Service Funds	0	10	10
Probation and Correctional Alternatives			
General Fund	30	0	(30)
Public Safety			
General Fund	51	0	(51)
Special Revenue Funds - Other	3	3	0
Victim Services Program			
Special Revenue Funds - Federal	0	24	24
Special Revenue Funds - Other	0	51	51
Total	<u>657</u>	<u>787</u>	<u>130</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

# CRIMINAL JUSTICE SERVICES

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	64,185,000	57,787,000	(6,398,000)
Special Revenue Funds - Federal	40,886,000	30,361,000	(10,525,000)
Special Revenue Funds - Other	30,917,000	25,312,000	(5,605,000)
Internal Service Funds	890,000	890,000	0
Total	<u>136,878,000</u>	<u>114,350,000</u>	<u>(22,528,000)</u>

Adjustments:

Transfer(s) From

Correction, Commission of General Fund	(2,975,000)		
Prevention of Domestic Violence, Office for General Fund	(1,365,000)		
Special Revenue Funds - Federal	(1,100,000)		
Special Revenue Funds - Other	(70,000)		
Internal Service Funds	(890,000)		
Victim Services, Office of Special Revenue Funds - Federal	(3,061,000)		
Special Revenue Funds - Other	(7,268,000)		
Appropriated 2010-11	<u>120,149,000</u>		

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration General Fund	13,974,000	12,577,000	(1,397,000)
Crime Prevention and Reduction Strategies General Fund	45,871,000	40,870,000	(5,001,000)
Special Revenue Funds - Federal	22,725,000	24,700,000	1,975,000
Special Revenue Funds - Other	23,579,000	18,079,000	(5,500,000)
Funding and Program Assistance Special Revenue Funds - Federal	12,500,000	0	(12,500,000)
Oversight of Correctional Facilities General Fund	2,975,000	2,975,000	0
Prevention of Domestic Violence General Fund	1,365,000	1,365,000	0
Special Revenue Funds - Federal	2,600,000	2,600,000	0
Special Revenue Funds - Other	70,000	70,000	0
Internal Service Funds	890,000	890,000	0
Victim Services Program Special Revenue Funds - Federal	3,061,000	3,061,000	0
Special Revenue Funds - Other	7,268,000	7,163,000	(105,000)
Total	<u>136,878,000</u>	<u>114,350,000</u>	<u>(22,528,000)</u>

# CRIMINAL JUSTICE SERVICES

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	6,074,000	(675,000)	6,070,000	(674,000)
Crime Prevention and Reduction Strategies	26,615,000	(3,256,000)	26,531,000	(3,246,000)
Oversight of Correctional Facilities	2,453,000	0	2,433,000	0
Prevention of Domestic Violence	1,213,000	0	1,213,000	0
Total	<u>36,355,000</u>	<u>(3,931,000)</u>	<u>36,247,000</u>	<u>(3,920,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	0	0	4,000	(1,000)
Crime Prevention and Reduction Strategies	15,000	(2,000)	69,000	(8,000)
Oversight of Correctional Facilities	0	0	20,000	0
Prevention of Domestic Violence	0	0	0	0
Total	<u>15,000</u>	<u>(2,000)</u>	<u>93,000</u>	<u>(9,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	6,503,000	(722,000)	880,000	(98,000)
Crime Prevention and Reduction Strategies	14,255,000	(1,745,000)	597,000	(74,000)
Oversight of Correctional Facilities	522,000	0	15,000	0
Prevention of Domestic Violence	152,000	0	50,000	0
Total	<u>21,432,000</u>	<u>(2,467,000)</u>	<u>1,542,000</u>	<u>(172,000)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	31,000	(3,000)	4,961,000	(551,000)
Crime Prevention and Reduction Strategies	437,000	(53,000)	11,312,000	(1,384,000)
Oversight of Correctional Facilities	176,000	0	323,000	0
Prevention of Domestic Violence	42,000	0	42,000	0
Total	<u>686,000</u>	<u>(56,000)</u>	<u>16,638,000</u>	<u>(1,935,000)</u>

Program	Equipment	
	Amount	Change
Administration	631,000	(70,000)
Crime Prevention and Reduction Strategies	1,909,000	(234,000)
Oversight of Correctional Facilities	8,000	0
Prevention of Domestic Violence	18,000	0
Total	<u>2,566,000</u>	<u>(304,000)</u>

# CRIMINAL JUSTICE SERVICES

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Crime Prevention and Reduction Strategies	42,779,000	(3,525,000)	11,900,000	475,000
Funding and Program Assistance	0	(12,500,000)	0	0
Prevention of Domestic Violence	3,560,000	0	2,370,000	0
Victim Services Program	10,224,000	(105,000)	6,089,000	0
Total	56,563,000	(16,130,000)	20,359,000	475,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Crime Prevention and Reduction Strategies	30,879,000	(3,500,000)	0	(500,000)
Funding and Program Assistance	0	0	0	(12,500,000)
Prevention of Domestic Violence	1,190,000	0	0	0
Victim Services Program	4,135,000	(105,000)	0	0
Total	36,204,000	(3,605,000)	0	(13,000,000)

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

Fund Type	Available	Recommended	Change
	2010-11	2011-12	
General Fund	116,475,000	106,807,000	(9,668,000)
Special Revenue Funds - Federal	96,818,000	67,768,000	(29,050,000)
Special Revenue Funds - Other	65,254,000	57,990,000	(7,264,000)
Total	278,547,000	232,565,000	(45,982,000)

Adjustments:

Transfer(s) From

Prevention of Domestic Violence, Office  
for

General Fund (685,000)  
Special Revenue Funds - Federal (500,000)

Victim Services, Office of

Special Revenue Funds - Federal (37,843,000)  
Special Revenue Funds - Other (30,627,000)

Transfer(s) To

Victim Services, Office of

Special Revenue Funds - Federal 1,450,000

Appropriated 2010-11

210,342,000

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

Program	Available	Recommended	Change
	2010-11	2011-12	
Crime Prevention and Reduction Strategies			
General Fund	115,790,000	106,122,000	(9,668,000)
Special Revenue Funds - Federal	24,175,000	24,375,000	200,000
Special Revenue Funds - Other	34,627,000	27,363,000	(7,264,000)
Funding and Program Assistance			
Special Revenue Funds - Federal	28,750,000	0	(28,750,000)
Prevention of Domestic Violence			
General Fund	685,000	685,000	0
Special Revenue Funds - Federal	7,500,000	7,000,000	(500,000)
Victim Services Program			
Special Revenue Funds - Federal	36,393,000	36,393,000	0
Special Revenue Funds - Other	30,627,000	30,627,000	0
Total	278,547,000	232,565,000	(45,982,000)

# **DEVELOPMENTAL DISABILITIES PLANNING COUNCIL**

## **MISSION**

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

## **ORGANIZATION AND STAFFING**

Located in Albany, the Council comprises 26 current members who have been appointed by the Governor to three-year staggered terms. Federal law requires that at least 60 percent of the Council's membership be persons with developmental disabilities, parents or guardians of children with developmental disabilities and immediate relatives or guardians of adults with mentally impairing developmental disabilities who cannot advocate for themselves. Other required members represent State agencies, educational and training providers and local, public and private service agencies.

The Governor appoints the Chairperson of the Council from among the Council's members. In addition, a full-time staff of 18, under the leadership of an Executive Director, assists the Council in carrying out its mission.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$4.8 million** All Funds (all Federal funds) for the Council. This represents the same level of funding as in 2010-11 and is based on the level of anticipated Federal funding. This funding is sufficient to support the Council's role in coordinating information about persons with developmental disabilities and the services available to them, and in overseeing grant funds.

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

## **PROGRAM HIGHLIGHTS**

Through its Council membership of State agency heads, including the Commissioner of the Office for People with Developmental Disabilities, the Council employs an interagency approach to advocate improved and enhanced services, supports and assistance for persons with developmental disabilities. Its activities include conducting quarterly meetings, preparing policy papers on issues affecting people with developmental disabilities and their families, providing training and technical assistance and implementing its current five-year State Plan (FFY 2007 – FFY 2011). For 2011-12, the Council will continue to identify and fund new and innovative demonstration programs in support of its multi-year State Plan, including those aimed at increasing the number of available employment opportunities, enhancing programmatic responsiveness

## **DEVELOPMENTAL DISABILITIES PLANNING**

to maximize the inclusion of children with developmental disabilities in education and early intervention, ensuring access to and expanding health and wellness programs, promoting choice in housing, and reducing obstacles in transportation to facilitate community integration. In support of these and other strategic objectives, the Council works with persons with developmental disabilities, parents, service providers, advocacy groups and local and State government agencies to advocate for an enhanced system of community services, individualized supports and assistance that facilitates self-determination, independence, community inclusion and productivity.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	4,760,000	4,760,000	0	4,400,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>4,760,000</u>	<u>4,760,000</u>	<u>0</u>	<u>4,400,000</u>

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

<b>Program</b>	<b>Full-Time Equivalent Positions (FTE)</b>		
	<b>2010-11 Estimated FTEs 03/31/11</b>	<b>2011-12 Estimated FTEs 03/31/12</b>	<b>FTE Change</b>
	Developmental Disabilities Planning	18	18
Special Revenue Funds - Federal	18	18	0
Total	<u>18</u>	<u>18</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

<b>Fund Type</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Special Revenue Funds - Federal	4,750,000	4,750,000	0
Enterprise Funds	10,000	10,000	0
Total	<u>4,760,000</u>	<u>4,760,000</u>	<u>0</u>

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

<b>Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Developmental Disabilities Planning	4,750,000	4,750,000	0
Special Revenue Funds - Federal	10,000	10,000	0
Enterprise Funds	4,760,000	4,760,000	0
Total	<u>4,760,000</u>	<u>4,760,000</u>	<u>0</u>

# **DEVELOPMENTAL DISABILITIES PLANNING**

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**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Developmental Disabilities Planning	4,760,000	0	1,165,000	0
Total	4,760,000	0	1,165,000	0
<b>Nonpersonal Service</b>				
<b>Program</b>	<b>Amount</b>		<b>Change</b>	
Developmental Disabilities Planning	3,595,000	0		
Total	3,595,000	0		

# **DEPARTMENT OF ECONOMIC DEVELOPMENT**

## **MISSION**

Together with the Empire State Development Corporation, the New York State Department of Economic Development:

- Advises the Governor and Legislature on all major economic development issues and decisions;
- Develops State economic development strategies;
- Provides technical and financial assistance to businesses through a network of regional offices; and
- Coordinates the efforts of other State agencies, authorities and organizations, as well as local governments, on actions that affect the State's economy.

## **ORGANIZATION AND STAFFING**

State economic development programs are administered by the Department of Economic Development working in conjunction with the Empire State Development Corporation. The Department is headed by a Commissioner, who also serves as President and CEO of the Empire State Development Corporation and is appointed by the Governor subject to Senate confirmation.

The Department's central office is in Albany, with ten regional offices located in Troy, Buffalo, Rochester, Syracuse, Utica, Binghamton, New Windsor, Plattsburgh, Hauppauge and New York City, and satellite offices in Watertown and Elmira.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$28.3 million** All Funds (\$23.5 million General Fund; \$4.8 million other funds) for the Department of Economic Development. This reflects a **\$2.3 million decrease (-7.5 percent)** from 2010-11, all associated with a 10 percent year-to-year reduction in General Fund spending on State operations.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

State tax dollars from the General Fund will finance 83 percent, or \$23.5 million, of the Department of Economic Development's budget in 2011-12. The balance of the Department's Executive Budget will be supported by revenues raised through licensing of the "I ♥ NY" logo, and through seminars and programs run by the Department that directly offset the costs of these programs. Also included are Federal dollars used to help defense-dependent industries diversify into new markets, support recycling market development and help small businesses comply with Clean Air Act mandates.

The 2011-12 Budget provides:

- **"I ♥ NY" Program:** \$3.6 million for "I ♥ NY" tourism advertising;
- **Tourism Matching Grants:** \$3.8 million to assist local tourism promotion agencies;
- **International Trade:** \$1.1 million to attract international investment to New York State and increase export sales to foreign countries;

## ***ECONOMIC DEVELOPMENT***

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### ***PROGRAM HIGHLIGHTS***

#### ***EXCELSIOR JOBS PROGRAM***

The Excelsior Jobs Program, created as part of the 2010-11 Budget, acts as the State's premier job creating tax incentive program. The Department of Economic Development administers the program and offers a package of tax credits for selected firms in targeted industries that create and maintain new jobs in New York for five years. The tax credits, each of which is fully refundable, include the following: Excelsior Jobs Tax Credit, Excelsior Investment Tax Credit (ITC), Excelsior Research and Development (R&D) Tax Credit, and the Excelsior Real Property Tax Credit (RPTC). The 2011-12 Executive Budget includes legislation that would strengthen the effectiveness of the program by extending the benefit period from five to ten years and offering an enriched package of tax credits designed to further incentivize the creation of new jobs and investments in New York.

#### ***MARKETING AND ADVERTISING***

This program promotes New York State as a premier tourist destination and business location. Major activities include the "I ♥ NY" advertising campaign and local tourism matching grants administered through locally based tourism promotion agencies representing the State's 62 counties. The Department of Economic Development also develops the State's tourism master plan, targets information to consumers and the travel trade, participates in national and international trade shows, provides technical assistance to tour directors and creates publications for use by the Department and the other economic development agencies.

#### ***INTERNATIONAL TRADE***

The International Trade program promotes exports from, and attracts foreign investment to, New York State. The program coordinates State participation in trade shows and missions, compiles and disseminates trade leads, and administers grants and seminars designed to encourage increased exporting.

#### ***EMPIRE ZONES***

The Empire Zones Program expired on June 30, 2010 and all existing certified firms – over 7,500 businesses – remain eligible to receive Empire Zone benefits through the remainder of their certification. The Department remains responsible for monitoring performance and compliance, and for obtaining and processing annual reports from these businesses.

#### ***BUSINESS ASSISTANCE PROGRAMS***

To improve the competitiveness of New York State companies, the Department of Economic Development provides assistance to businesses for productivity assessments, business-specific skills training for new and existing workers, and third-party technical assistance to develop strategies for expanding export markets.

## ***ECONOMIC DEVELOPMENT***

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### ***SMALL BUSINESS ASSISTANCE***

The Division for Small Business serves as an ombudsman for small businesses and also offers these enterprises training and technical assistance. In addition, the Department provides State and Federal procurement assistance to small businesses. The Division also operates the Clean Air Act Ombudsman Unit, which helps small businesses comply with these environmental regulations.

### ***LINKED DEPOSIT PROGRAM***

This joint public-private program enables small businesses and companies in targeted investment areas to obtain loans from commercial banks at an interest rate that is 2 percent to 3 percent lower than the prevailing rate. The banks are compensated by deposits of State funds earning interest at comparably reduced rates. There is currently \$560 million in State funding authorized for deposits at a lower interest rate. The 2011-12 Executive Budget will enhance the Linked Deposit program by increasing the maximum linked deposit loan from \$1 million to \$2 million and allowing for a four-year renewal of loans. This enhancement will expand utilization of the program by making more dollars available to help New York's small businesses grow and create new jobs.

### ***RECYCLING MARKET DEVELOPMENT PROGRAM***

The Department of Economic Development is the lead agency in developing New York's recycling industries and creating programs to help municipalities and businesses develop uses for secondary materials.

### ***MINORITY AND WOMEN'S BUSINESS DEVELOPMENT***

The Division of Minority and Women's Business Development was established to increase the participation of minority- and women-owned businesses in State procurement opportunities. The Division identifies and certifies minority- and women-owned business enterprises; publishes a directory of certified firms to market small businesses to public and private sector organizations; and provides technical assistance to minority- and women-owned businesses. The 2011-12 Executive Budget will provide the necessary resources to increase minority- and women-owned business participation in State contracts and enhance business development opportunities, consistent with reforms enacted in 2010-11.

### ***POLICY AND RESEARCH DIVISION***

This Division develops the annual State strategic plan for economic development; collects and disseminates economic and demographic information; performs policy analysis and economic research; monitors and intervenes in State regulatory activities affecting energy supply, telecommunications, transportation, environmental facilities and commercial/industrial site and facility development; and coordinates the development and review of State economic development programs.

# ECONOMIC DEVELOPMENT

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	26,706,000	24,512,000	(2,194,000)	17,051,000
Aid To Localities	3,962,000	3,815,000	(147,000)	8,833,000
Capital Projects	0	0	0	0
Total	<u>30,668,000</u>	<u>28,327,000</u>	<u>(2,341,000)</u>	<u>25,884,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
General Fund	25	25	0
Economic Development			
General Fund	75	75	0
Special Revenue Funds - Other	4	4	0
Marketing and Advertising Program			
General Fund	30	30	0
Total	<u>134</u>	<u>134</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	21,941,000	19,747,000	(2,194,000)
Special Revenue Funds - Federal	1,000,000	1,000,000	0
Special Revenue Funds - Other	3,765,000	3,765,000	0
Total	<u>26,706,000</u>	<u>24,512,000</u>	<u>(2,194,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	4,118,000	3,706,000	(412,000)
Special Revenue Funds - Other	1,078,000	1,078,000	0
Economic Development			
General Fund	11,334,000	10,201,000	(1,133,000)
Special Revenue Funds - Federal	1,000,000	1,000,000	0
Special Revenue Funds - Other	933,000	933,000	0
Marketing and Advertising Program			
General Fund	6,489,000	5,840,000	(649,000)
Special Revenue Funds - Other	1,754,000	1,754,000	0
Total	<u>26,706,000</u>	<u>24,512,000</u>	<u>(2,194,000)</u>

# ECONOMIC DEVELOPMENT

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	1,956,000	289,000	1,917,000	292,000
Economic Development	7,548,000	(838,000)	7,542,000	(838,000)
Marketing and Advertising Program	1,904,000	(212,000)	1,845,000	(205,000)
Total	11,408,000	(761,000)	11,304,000	(751,000)

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	0	0	39,000	(3,000)
Economic Development	0	0	6,000	0
Marketing and Advertising Program	7,000	(1,000)	52,000	(6,000)
Total	7,000	(1,000)	97,000	(9,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,750,000	(701,000)	39,000	1,000
Economic Development	2,653,000	(295,000)	51,000	(5,000)
Marketing and Advertising Program	3,936,000	(437,000)	10,000	(1,000)
Total	8,339,000	(1,433,000)	100,000	(5,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	66,000	(2,000)	1,345,000	(72,000)
Economic Development	86,000	(10,000)	1,312,000	(146,000)
Marketing and Advertising Program	15,000	(2,000)	305,000	(34,000)
Total	167,000	(14,000)	2,962,000	(252,000)

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration	70,000	(6,000)	214,000	214,000
Economic Development	124,000	(14,000)	0	0
Marketing and Advertising Program	6,000	0	0	0
Total	200,000	(20,000)	214,000	214,000

Program	Special Departmental Charges		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	16,000	16,000	0	(852,000)
Economic Development	0	0	0	(120,000)
Marketing and Advertising Program	0	0	0	(400,000)
Total	16,000	16,000	0	(1,372,000)

# ECONOMIC DEVELOPMENT

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	1,078,000	0	195,000	0
Economic Development	1,933,000	0	0	0
Marketing and Advertising Program	1,754,000	0	84,000	0
Total	<u>4,765,000</u>	<u>0</u>	<u>279,000</u>	<u>0</u>

Program	Nonpersonal Service	
	Amount	Change
Administration	883,000	0
Economic Development	1,933,000	0
Marketing and Advertising Program	1,670,000	0
Total	<u>4,486,000</u>	<u>0</u>

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

Fund Type	Available	Recommended	Change
	2010-11	2011-12	
General Fund	3,962,000	3,815,000	(147,000)
Total	<u>3,962,000</u>	<u>3,815,000</u>	<u>(147,000)</u>

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

Program	Available	Recommended	Change
	2010-11	2011-12	
Marketing and Advertising Program			
General Fund	3,962,000	3,815,000	(147,000)
Total	<u>3,962,000</u>	<u>3,815,000</u>	<u>(147,000)</u>

# **STATE EDUCATION DEPARTMENT**

## **MISSION**

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

## **ORGANIZATION**

The Board of Regents oversees the State Education Department, which was originally established by the Legislature in 1784 and subsequently continued in the State Constitution. The Board of Regents is comprised of 17 members – one for each of the State's 13 judicial districts, plus four statewide members – who are elected by a joint session of the Legislature for staggered 5-year terms. The Board elects its chair, who holds the title Chancellor, and appoints the Commissioner of Education as the chief administrative officer of the Department.

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

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$29.63 billion** in All Funds support (\$18.76 billion General Fund; \$10.87 billion Other Funds). This is a decrease of **\$3.2 billion (-9.7 percent)** from the 2010-11 budget. This net change primarily reflects the loss of Federal American Recovery and Reinvestment Act of 2009 (ARRA) funds, a reduction to School Aid and other educational programs, and the addition of \$500 million for two new performance programs for school districts.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in nonpersonal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **SCHOOL AID**

The 2011-12 Executive Budget proposes \$19.39 billion in School Aid for the 2011-12 school year. While the State remains committed to improving educational outcomes, the high cost of education is unsustainable. In order to achieve necessary savings, the Executive Budget maintains formula aid categories that provide operating support at current levels and recommends a \$2.79 billion Gap Elimination Adjustment (GEA) for the 2011-12 school year. The GEA, combined with the loss of \$1.34 billion in one-time Federal funding, and growth in expense-based aids of \$305 million results in an overall School Aid year-to-year reduction of \$1.54 billion (-7.3 percent). This proposed reduction represents 2.9 percent of school district budgets statewide. Even with this reduction, School Aid will continue to represent the largest State-supported program. On a State fiscal year basis, School Aid will comprise approximately 23 percent of State

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operating funds spending in 2011-12 and 29 percent of General Fund spending. The Executive Budget also recommends initiatives to help schools improve student performance and operate more efficiently.

Major budget actions for the 2011-12 school year include:

- **School Year Support:** The Executive Budget provides \$19.39 billion in State support for public schools for the 2011-12 school year, a year-to-year decrease of \$1.54 billion (-7.3 percent). Even with this reduction, School Aid will have increased by \$5.70 billion, or 41.6 percent, since the 2000-01 school year.
- **Fiscal Year Support:** The Executive Budget provides \$18.74 billion in total appropriation support for public schools in 2011-12, a reduction of \$1.29 billion from 2010-11 fiscal year appropriation support. In 2010-11, Federal funding provided under ARRA and the Federal Education Jobs Fund provided \$1.45 billion in one-time revenue. The year-to-year reduction is primarily attributable to the loss of this one-time Federal funding.
- **Gap Elimination Adjustment:** The Executive Budget recommends a Gap Elimination Adjustment (GEA) of \$2.79 billion for the 2011-12 school year. This approach reduces School Aid progressively, accounting for each school district's wealth, student need, administrative efficiency, and residential property tax burden. The GEA would be applied against formula-based School Aid, excluding Building Aid and Universal Prekindergarten Aid. In future years, as we redesign our approach to funding schools, the GEA would be continued and scaled to limit growth in School Aid to sustainable levels.
- **Foundation Aid:** The Foundation Aid formula calculates funding based on the cost of an education in a successful school, student need, and local ability to pay. The Executive Budget recommends limiting Foundation Aid for the 2011-12 school year to the amount provided for the 2010-11 school year, \$14.89 billion. The Executive Budget recommends extending the full phase-in of Foundation Aid to 2016-17.
- **Early Childhood Education:** The Executive Budget recommends maintaining funding for Universal Prekindergarten for the 2011-12 school year at the 2010-11 level of \$393 million. The planned full phase-in will be extended from the 2013-14 school year to the 2016-17 school year, consistent with the proposed phase-in of Foundation Aid. Maintaining funding at the 2010-11 level ensures continued school district participation, stability of funding for those school districts that are currently participating, and preserves the current commitment for this high priority program. Existing statutory provisions for school districts to receive Full-Day Kindergarten Conversion Aid are continued.
- **Support for School Construction:** The Executive Budget recommends \$2.66 billion in 2011-12 State support for the construction of school facilities. This reflects an increase of \$171 million from the 2010-11 school year. In order to better target limited State resources for school construction, the Executive Budget recommends aligning reimbursement rates more closely with the current fiscal capacity of school districts and creating a new funding structure for school construction. Under this new approach, funding would be awarded based on a competitive application process that considers the need for the project, the age of the building to be renovated or replaced, and the fiscal capacity of the school district.

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- **Boards of Cooperative Educational Services (BOCES):** The Executive Budget recommends \$720 million in BOCES Aid for 2011-12, an increase of more than \$18 million from the 2010-11 school year. Beginning with aid payable in 2012-13, the Executive Budget would distribute BOCES Aid based on the same State aid ratio as Foundation Aid. In addition, in order to encourage system-wide cost effectiveness, beginning with costs reimbursed in 2012-13 certain non-instructional services provided by BOCES would no longer be aidable.
- **Special Services Aid:** The Executive Budget recommends total funding of \$214 million, an increase of \$2.8 million (1.3 percent) from the 2010-11 funding level. This amount is calculated under existing statutory provisions. This aid category funds career education programs and computer services for school districts that are not component districts of BOCES.
- **Transportation Aid:** The Executive Budget recommends \$1.65 billion for reimbursement for the costs of transporting students. This represents an increase of \$71 million (4.5 percent) from the 2010-11 funding level. In addition, the Executive Budget would encourage districts to engage in shared services or other efficiency measures.
- **Private Special Education Aid:** The Executive Budget recommends \$343 million – the amount that is calculated under existing statutory provisions. This represents a \$12.3 million (3.7 percent) increase from the 2010-11 funding level.
- **High Cost Special Education Aid:** The Executive Budget recommends \$483 million – the amount that is calculated under existing statutory provisions. This represents a \$28.5 million (6.3 percent) increase from the 2010-11 funding level.
- **Miscellaneous Operating Support Programs:** The Executive Budget maintains funding at 2010-11 levels for various programs that can be used by school districts for operating support. These programs include the following: High Tax Aid, Supplemental Public Special Education Aid, the New York City Academic Achievement Grant, Academic Enhancement Aid, and the Supplemental Educational Improvement Plan Grant. These actions are consistent with the existing statutory provisions included in the 2010-11 Enacted Budget and the approach taken to maintain Foundation Aid and other aids that provide operating support at 2010-11 levels.
- **Charter Schools:** The Executive Budget provides \$25.1 million in Transitional Aid for school districts impacted by a concentration of charter schools, as well as \$4.8 million for technical assistance and start-up grants for charter schools.
- **Roosevelt Union Free School District:** The Executive Budget recommends a \$6 million Academic Improvement Grant for the Roosevelt Union Free School District. This is the same amount provided to Roosevelt in the 2010-11 school year.
- **Teachers of Tomorrow:** The Executive Budget continues this \$25 million incentive program, which provides awards and stipends to retain and attract teachers into New York State classrooms in areas where teacher shortages exist.
- **Teacher Mentor Intern Program:** The \$2 million Teacher-Mentor Intern program is continued at the 2010-11 funding level.
- **Bilingual Education/English Language Learners:** The Executive Budget maintains \$12.5 million in funding for Bilingual Education grants. These funds support programs which include technical assistance centers, two-way bilingual classrooms, intensive bilingual teacher training and leadership programs.

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- **Other Programs:** The Executive Budget recommends funding based on existing statutory formulas for several programs including the following: Textbook Aid, Library Materials Aid, Computer Software Aid, Computer Hardware Aid, Full Day Kindergarten Conversion Aid and Reorganization Operating Aid. In addition, funding levels based on existing reimbursement methodologies are recommended for certain other categorical programs, including Urban-Suburban Transfer, Education of Homeless Pupils, Education of Incarcerated Youth, Education of Office of Mental Health/Office for People with Developmental Disabilities students, and Native American Building Aid.
- **Federal Race to the Top:** The Executive Budget would continue the Federal Race to the Top program. In August 2010, New York State was awarded \$696.6 million in Race to the Top funding. Over the next four years, this funding will support major reforms in standards and assessments, data systems, teacher and principal preparation and evaluation, with the goal of turning around the lowest-achieving schools. Race to the Top funding will be spent consistent with a plan submitted by the State Education Department and approved by the U.S. Department of Education that includes providing at least 50 percent of the funds to schools to be used for implementing the new reforms. The balance of funds will be used for statewide capacity building and supplemental grants to schools related to the reform initiatives.
- **Reimbursement for the Metropolitan Commuter Transportation Mobility Tax:** The Executive Budget includes \$70 million for full reimbursement of school district expenses for the mobility tax.

Other proposals in the Executive Budget relating to school districts include:

- **Mandate Relief:** The Governor has created the Mandate Relief Redesign Team by Executive Order. This team – made up of representatives of the Legislature, local government, education and private industry – will conduct a rigorous and comprehensive review of mandates imposed on school districts and other local taxing districts in order to look for the best and most cost-effective ways to deliver mandated programs and services and identify mandates that are ineffective, unnecessary, outdated and duplicative. The Team will report to the Governor on March 1, 2011.
- **Maintain the Contract for Excellence Program:** School districts recently participating in the Contracts for Excellence program would continue operating approved academic intervention programs consistent with Contract for Excellence requirements. However, the required investment in these programs will be permitted to decline by the same percentage as the district's formula-based aid will be reduced under the Gap Elimination Adjustment. This approach will ensure the continued participation of 23 school districts, including all "Big Five" city school districts (New York City, Buffalo, Rochester, Syracuse and Yonkers).
- **Allow Access to Employee Benefit Accrued Liability Reserve Funds:** In order to maintain educational programming during the 2011-12 school year, a school district's governing board would be permitted to authorize a withdrawal of excess funds in an employee benefits accrued liability reserve fund. The amount withdrawn could not exceed the Gap Elimination Adjustment for a school district. The State Comptroller would first certify that the amount remaining in the Fund is sufficient to meet employee benefit requirements after the withdrawal.

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### **PERFORMANCE INCENTIVES**

The 2011-12 Executive Budget includes a competitive program to reward efficient and improving schools, modeled on the Federal Race to the Top program. A total of \$500 million will be awarded via two \$250 million competitive grants:

- **School District Performance Improvement Awards:** Grants totaling \$250 million will be awarded to school districts that demonstrate significant improvements in their student performance outcomes. This program would build upon the objectives of the Race to the Top program by providing additional State funding to those school districts with most improved academic achievement gains and student outcomes.
- **School District Management Efficiency Awards:** Competitive grants totaling \$250 million will be awarded to school districts that undertake long-term structural changes which will reduce costs and improve efficiency.

### **STATE OPERATIONS**

The taxpayer-supported General Fund accounts for seven percent of the State Education Department's overall operating budget. Federal grants, including programs for disadvantaged pupils, account for 61 percent of the agency's resources. The remaining 32 percent is derived from fees, chargebacks and other miscellaneous receipts. For 2011-12, SED's General Fund State Operations budget totals \$38 million, a decrease of \$4 million from the 2010-11 Enacted Budget.

### **SPECIAL EDUCATION**

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

School districts receive funding for special education services provided to school-age children through the Foundation Aid formula. In addition, Public High Cost Special Education Aid and Private Special Education Aid supplement Foundation Aid for students with severe needs. The Executive Budget recommends continuing existing statutory provisions for these two aid categories with total funding of \$825 million for the 2011-12 school year, an increase of \$41 million (5 percent).

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

Approximately 500 providers (school districts, BOCES, and private entities) operate preschool special education programs that provide educational and therapeutic services to approximately 100,000 children aged 3 to 5 during any given school year. The General Fund recommendation of \$868 million will support a 59.5 percent State share of preschool special education program costs in the 2011-12 fiscal year.

#### ***Summer School Special Education***

The summer school special education program supports educational services provided during July and August for approximately 43,000 disabled students aged 5 to 21. The State has historically supported 70 percent of the total education, transportation and maintenance costs of these programs regardless of a school district's relative wealth. The

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2011-12 Executive Budget proposes to more closely align State reimbursement to school districts for summer school special education costs with wealth-based aid ratios used during the regular school year. Additionally, the priority of payment will be for claims for services provided during the 2011-12 school year, with State reimbursement for costs incurred for prior school years limited to \$100 million during the upcoming fiscal year.

### ***Private Schools for the Blind and Deaf***

Currently, nearly 1,500 students attend 11 State-supported private schools for the blind and deaf. Unlike other private special education schools, these schools have historically been funded through a discrete State appropriation. The Executive Budget would consolidate these 11 private schools into the broader classification of private special education schools to realign them with the needs of the State's current special education population. As such, State support for the costs of students attending these schools would be provided through Private Excess Cost Aid, as is the case for students attending other private special education schools at the direction of school districts.

### **EDUCATION-RELATED PROGRAMS**

The Executive Budget recommends a net year-to-year reduction of approximately \$23.5 million in funding for education-related programs. Major actions include:

- **Aid for Nonpublic Schools:** The Executive Budget provides nonpublic schools \$74.2 million in aid for mandated services and \$26.2 million for the comprehensive attendance-taking program. This represents a decrease of \$8.7 million (-8 percent) from the 2010-11 Enacted Budget.
- **Library Aid:** The Executive Budget provides \$76 million in funding for Library Aid; this represents a decrease of \$8.4 million (-10 percent) from the 2010-11 Enacted Budget. In addition, \$14 million in capital funding is included for public library construction projects.
- **Public Broadcasting Aid:** The Executive Budget provides \$13.5 million in State support for New York's public broadcasting stations, which includes support for eight public radio stations, three public television stations, and five stations that broadcast both radio and television. This represents a decrease of \$1.5 million (-10 percent) from the 2010-11 Enacted Budget.
- **Bundy Aid:** The Executive Budget recommends \$35.1 million for Unrestricted Aid for Independent Colleges and Universities, also known as Bundy Aid. This represents a \$3.9 million (-10 percent) decrease from the 2010-11 Enacted Budget.
- **Education Improvement Performance Grants:** The Executive Budget includes new funding of \$1.7 million for competitive grants for programs with demonstrated success in improving achievement outcomes.
- **Capital Projects:** The Executive Budget includes \$3.4 million in new capital support for various minor rehabilitation projects to maintain SED's facilities in safe operating condition. This represents a decrease of 50 percent from 2010-11 funding level of \$6.8 million and is consistent with the Department's priorities. SED will use these funds for various health and safety and critical infrastructure projects at its 24 State-owned buildings.

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## EDUCATION-RELATED PROGRAMS

Program	(\$000)		
	2010-11 School Year	2011-12 School Year	Change
Academic Intervention Services for Nonpublic Schools	922	922	0
Adult Basic Education	1,843	1,843	0
Adult Literacy Education	4,293	4,293	0
Charter School Start-Up and Technical Assistance	4,837	4,837	0
County Vocational Education and Extension Boards	932	932	0
Education of Children of Migrant Workers	89	89	0
Education Improvement Performance Grants	0	1,730	1,730
Extended Day/School Safety Program	24,343	24,343	0
Fiscal Stabilization Grants	30,022	30,022	0
Health Education Program	691	691	0
Math and Science High Schools*	1,382	1,382	0
National Board for Professional Teaching Standards	490	0	(490)
Nonpublic School Aid	109,105	100,377	(8,728)
Postsecondary Aid to Native Americans	598	598	0
Primary Mental Health	894	0	(894)
Prior Year Claims	15,046	15,046	0
School Lunch and Breakfast Program	32,300	33,100	800
Statewide Center for School Safety	466	466	0
Student Mentoring and Tutoring Initiative	490	0	(490)
Summer Food Program	3,049	3,049	0
SUNY Center for Autism and Related Disabilities	490	490	0
Syracuse City School District/Say Yes to Education*	350	350	0
Targeted Prekindergarten	1,303	1,303	0
<b>Subtotal P-12 Education programs</b>	<b>233,935</b>	<b>225,863</b>	<b>(8,072)</b>
Bundy Aid	39,032	35,129	(3,903)
Collegiate Science and Technology Entry Program	7,406	7,406	0
High Needs Nursing	941	0	(941)
Higher Education Opportunity Program	20,783	20,783	0
Liberty Partnerships	10,842	10,842	0
Science and Technology Entry Program	9,774	9,774	0
Teacher Opportunity Corps	671	0	(671)
<b>Subtotal Higher Education Programs</b>	<b>89,449</b>	<b>83,934</b>	<b>(5,515)</b>
Library Aid	84,458	76,012	(8,446)
Public Broadcasting Aid*	15,002	13,502	(1,500)
<b>Subtotal Cultural Education Programs</b>	<b>99,460</b>	<b>89,514</b>	<b>(9,946)</b>
College Readers Program	294	294	0
Independent Living Centers	12,361	12,361	0
Supported Employment	15,160	15,160	0
VESID Case Services	54,000	54,000	0
<b>Subtotal Vocational Rehab Programs</b>	<b>81,815</b>	<b>81,815</b>	<b>0</b>
<b>Total Education-Related Programs</b>	<b>504,659</b>	<b>481,126</b>	<b>(23,533)</b>

\*Includes Federal ARRA funding in 2010-11.

## SCHOOL TAX RELIEF (STAR)

The School Tax Relief (STAR) program was enacted in 1997 to provide needed tax relief for homeowners across the State. The Executive Budget provides \$3.3 billion for the STAR program comprised of the Enhanced STAR exemption for eligible senior citizens, the Basic STAR exemption for other qualified homeowners, and the New York City Personal Income tax rate reduction and refundable tax credit.

Major budget actions include:

- **Adjust STAR Exemption Benefit:** When the STAR program was created, it included a mechanism to prevent large drops in benefits resulting from rising property values. However, no similar mechanism was created to prevent significant benefit increases driven by declines in property values. As a result, STAR spending increased significantly in areas where property values declined

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dramatically, but the increases were unrelated to property tax burdens. To control spending growth, the Executive Budget limits growth in exemption benefits to two percent annually. This change is worth \$125 million in 2011-12.

- **Audit STAR Recipients to Discover and Eliminate Fraud:** The Tax Department will use its in-house database management systems to identify those homeowners who do not qualify for the benefit, then send a list to local assessors to verify. This is expected to produce annual savings of \$50 million starting in 2012-13.
- **Create a Mechanism for STAR Recipients to Repay Improper Exemption:** The Executive Budget creates a mechanism for STAR recipients to repay (with interest and a \$500 processing fee) STAR exemptions received that they acknowledge they were not entitled to. This will generate \$100,000 in 2011-12.

### **PROGRAM HIGHLIGHTS**

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

#### **SCHOOL AID**

The Executive Budget provides \$19.4 billion in School Aid for the 2011-12 school year. State support for public schools, including lottery payments, accounts for approximately 23 percent of State operating funds and 29 percent of the General Fund.

School Aid is distributed to school districts through formula-based aids and categorical grants including the following:

- **Foundation Aid** is based on the cost of a successful education adjusted by regional cost variations and pupil needs. The 2011-12 Executive Budget would maintain Foundation Aid at its current level of \$14.9 billion.
- **Transportation Aid and Building Aid** provide support to school districts for student transportation and the construction/preservation of school facilities. These two aid categories will total \$4.3 billion. They account for 22 percent of overall School Aid.
- **Universal Prekindergarten** provides grants to school districts ranging from \$2,700 to \$6,500 per child reflective of varying district wealth and educational needs. For the 2011-12 school year, funding will be available for approximately 108,400 students to attend Universal Prekindergarten programs throughout the State.
- **Specialized Aid and Grant Programs** address specific educational needs, ranging from textbooks to adult education programs.

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

New York provides a full spectrum of special education services for students aged 3 to 21. These services range from speech therapy to placement in full-time residential schools for school-age children with the most severely disabling conditions. Statewide,

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over 400,000 children with special needs receive special education services. Students who require particularly intensive programs are served by approximately 150 private schools, including 13 Special Act School Districts.

Two State-operated schools provide specialized services for blind and deaf students with multiple disabilities. The Batavia School for the Blind serves 54 blind and multiply-disabled students. The Rome School for the Deaf serves 70 deaf and multiply-disabled school-age students.

### **EDUCATION-RELATED PROGRAMS**

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

Major programs include:

- **School Nutrition Programs:** The Executive Budget recommends \$36 million in State funds to supplement Federal support for the School Lunch and Breakfast program and the Summer Food service program. Approximately 400 million school meals are served annually to nearly three million students participating in the school lunch and breakfast program. In addition, more than 280 sponsors of summer food programs serve free meals to approximately 325,000 low-income students participating in summer recreation programs.
- **Aid for Nonpublic Schools:** The Executive Budget recommends a total of \$100.4 million to reimburse nonpublic schools for the cost of mandated services and comprehensive attendance-taking.

### **CULTURAL EDUCATION**

Cultural Education programs administered by the State Education Department include support for public broadcasting stations and aid to public libraries and library systems. The State Library, the State Museum and the State Archives are located in the Cultural Education Center in Albany and are also administered by SED staff.

The State Library is the largest of its kind in the nation, providing reference information and other coordinated library services to State agencies, businesses and the public. The State Library also charters all libraries in the State and distributes State and Federal aid to local libraries.

The State Museum is the largest state-operated museum in the nation and contains exhibits on New York's cultural and natural history. The Museum is also a major research center and the home of the Geological Survey, Biological Survey, Anthropological Survey and the Historical Survey. Each of these surveys is involved with developing and maintaining the collections and exhibits of the State Museum. The State Museum also administers the Cultural Resource Survey Program, which oversees the handling and preservation of artifacts found at construction sites.

The State Archives is responsible for the maintenance and preservation of important State and local government records. In addition to its operations in the Cultural Education Center, the State Archives also operates the State Records Center at the Harriman State Office Campus in Albany. The operations of the State Museum, State Library and State Archives are largely supported by a surcharge on certain documents filed in county clerk offices.

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### **HIGHER EDUCATION AND REGULATION OF THE PROFESSIONS**

The Office of Higher Education and the Professions is responsible for ensuring the quality and availability of postsecondary education programs and regulating professionals in order to protect the public by ensuring the quality and integrity of services provided to consumers in the State. This Office conducts the following activities:

- Assists the Regents in making higher education policies and plans; administers aid programs for colleges, universities and students; and reviews and registers academic programs of degree-granting institutions. This Office also oversees teacher certification and discipline and background checks for prospective school personnel.
- Licenses and provides oversight for members of the 48 professions regulated pursuant to Title VIII of the Education Law, including the following: Nursing, Optometry, Dentistry, Pharmacy, Veterinary Medicine, Social Work, Architecture, Engineering and Public Accountancy. The Office is also responsible for enforcing standards of practice, codes of conduct and professional discipline for the licensees, except members of the medical professions (Physicians, Physician Assistants and Special Assistants) whose professional conduct is within the purview of the Department of Health. Professional licensure, oversight and enforcement functions are self-supporting through the collection of professional licensing fees and fines.

### **ADULT CAREER AND CONTINUING EDUCATION SERVICES**

The former Vocational and Educational Services for Individuals with Disabilities (VESID) program is now called Adult Career and Continuing Education Services (ACCES). Special education, formerly part of VESID, is now under the auspices of the new Office of Prekindergarten through Grade Twelve Education. ACCES supports, promotes and develops the State's adult education programs; provides a full range of services that may be needed by people with disabilities, including vocational rehabilitation services; regulates the State's proprietary schools; and oversees the General Education Development (GED) testing office within the State Education Department.

Using its network of 15 district offices across the State, ACCES provides vocational rehabilitation services to clients with disabilities tailored to their individual goals, capabilities and needs. In 2009-10, this program arranged job placements for nearly 12,000 individuals from an active caseload of 58,000.

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

For 2011-12, STAR will provide New York's taxpayers with savings of \$3.3 billion in school tax relief.

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

- In 2011-12, approximately 630,000 senior homeowners will be eligible to receive an enhanced exemption. The statewide average STAR enhanced benefit for seniors is estimated at \$1,253. To be eligible for the enhanced benefit, residential property owners must be at least 65 years of age (if property is owned by husband and wife or by siblings, then one of them must be at least 65 years old. Eligibility

## **EDUCATION**

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was expanded in 2000 to surviving spouses who are at least 62 years of age, and certain nursing home residents). In addition to the age requirement, annual income cannot exceed \$79,050 to receive benefits in 2011.

- In 2011-12, the school property tax exemption will provide over 2.8 million qualified homeowners who are not eligible for the senior citizen enhanced exemption with a full value equivalent homestead exemption of at least \$30,000. Statewide tax savings relating to this basic STAR exemption will average \$681.
- The exemptions provided to homeowners living in counties where median home sale prices exceed the statewide median are adjusted upward from the minimums stated above to account for regional variations in property values.
- Legislation accompanying the Executive Budget would correct STAR exemption benefit oversight and create a mechanism for STAR recipients to repay improper exemptions.

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

- Under the current STAR program, New York City's more than 3 million resident personal income taxpayers receive a rate reduction benefit on the first \$500,000 of income.
- Those taxpayers whose income is below certain thresholds also receive a flat refundable credit.
- Total New York City taxpayer savings will be nearly \$580 million in 2011-12, or about 7 percent of tax liability.

# EDUCATION

Program	School Aid			
	School Year Payments (Millions)			
	Estimated 2010-11	Recommended 2011-12	Change Amount	Change Percent
<b><u>I. Formula-Based Aids:</u></b>				
Foundation Aid	14,893.62	14,893.62	0.00	0.00
Excess Cost - High Cost	454.14	482.62	28.48	6.27
Excess Cost - Private	330.45	342.73	12.28	3.72
Reorganization Operating Aid	2.86	2.86	0.00	0.00
Textbooks (Incl. Lottery)	181.03	182.09	1.06	0.59
Computer Hardware	37.88	37.93	0.05	0.13
Computer Software	45.20	46.37	1.17	2.59
Library Materials	19.17	19.40	0.23	1.20
BOCES	701.69	720.08	18.39	2.62
Special Services	211.09	213.89	2.80	1.33
Transportation (Including Summer)	1,583.32	1,654.69	71.37	4.51
High Tax	204.77	204.77	0.00	0.00
Universal Prekindergarten	393.00	393.00	0.00	0.00
Academic Achievement Grant	1.20	1.20	0.00	0.00
Supplemental Educational Improvement Grant	17.50	17.50	0.00	0.00
Charter School Transitional Aid	23.22	25.11	1.89	8.14
Full-Day Kindergarten	1.36	4.67	3.31	243.38
Academic Enhancement Aid	8.32	8.32	0.00	0.00
Supplemental Public Excess Cost	4.31	4.31	0.00	0.00
<b>Formula-Based Aids</b>	<b>19,114.13</b>	<b>19,255.17</b>	<b>141.04</b>	<b>0.74</b>
Gap Elimination Adjustment	(2,138.07)	(2,785.79)	(647.72)	NA
Federal SFSF and Education Jobs Fund Restorations	1,333.51	0.00	1,333.51	NA
Net Gap Elimination Adjustment	(804.56)	(2,785.79)	(1,981.23)	NA
FMAP Reduction	(131.51)	0.00	131.51	NA
	(936.07)	(2,785.79)	(1,849.72)	NA
<b>Formula-Based Aids w/ GEA, SFSF, Ed Jobs, and FMAP</b>	<b>18,178.06</b>	<b>16,469.38</b>	<b>(1,708.68)</b>	<b>(9.40)</b>
Building Aid/Reorganization Building	2,488.58	2,659.91	171.33	6.88
<b>Total Formula-Based and Other Aids</b>	<b>20,666.64</b>	<b>19,129.29</b>	<b>(1,537.35)</b>	<b>(7.44)</b>
<b><u>II. Grant Programs and Additional Aid Categories:</u></b>				
Teachers of Tomorrow	25.00	25.00	0.00	0.00
Teacher-Mentor Intern	2.00 (a)	2.00	0.00	0.00
School Health Services	13.84	13.84	0.00	0.00
Roosevelt	6.00	6.00	0.00	0.00
Urban-Suburban Transfer	2.73	2.73	0.00	0.00
Employment Preparation Education	96.00	96.00	0.00	0.00
Homeless Pupils	16.23	17.23	1.00	6.16
Incarcerated Youth	18.75	19.50	0.75	4.00
Bilingual Education	12.50	12.50	0.00	0.00
Education of OMH/OPWDD Pupils	72.00	76.00	4.00	5.56
Special Act School Districts	2.70	2.70	0.00	0.00
Chargebacks	(52.00)	(54.50)	(2.50)	0.00
BOCES Aid for Special Act Districts	0.70	0.70	0.00	0.00
Learning Technology Grants	3.29	3.29	0.00	0.00
Native American Building Aid	3.50	5.00	1.50	42.86
Native American Education	35.00	32.00	(3.00)	(8.57)
Bus Driver Safety	0.40	0.40	0.00	0.00
<b>Total Grant Programs and Additional Aid Categories</b>	<b>258.64</b>	<b>260.39</b>	<b>1.75</b>	<b>0.68</b>
<b>SCHOOL YEAR TOTAL</b>	<b>20,925.28</b>	<b>19,389.68</b>	<b>(1,535.60)</b>	<b>(7.34)</b>

(a) Supported in full by American Recovery and Reinvestment (ARRA) Aid.

# EDUCATION

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	596,334,000	566,868,000	(29,466,000)	459,423,000
Aid To Localities	32,193,128,000	29,046,154,000	(3,146,974,000)	9,330,784,000
Capital Projects	41,200,000	17,400,000	(23,800,000)	143,096,000
Total	<u>32,830,662,000</u>	<u>29,630,422,000</u>	<u>(3,200,240,000)</u>	<u>9,933,303,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Adult Career and Continuing Education Services			
Special Revenue Funds - Federal	957	957	0
Office of Management Services Program			
General Fund	55	55	0
Special Revenue Funds - Other	210	210	0
Internal Service Funds	135	135	0
Office of Pre-kindergarten Through Grade 12 Education			
General Fund	149	149	0
Special Revenue Funds - Federal	330	330	0
School for the Blind			
Special Revenue Funds - Other	121	121	0
School for the Deaf			
Special Revenue Funds - Other	96	96	0
Higher Education and the Professions, Office of			
General Fund	42	42	0
Special Revenue Funds - Federal	9	9	0
Special Revenue Funds - Other	404	404	0
Cultural Education			
General Fund	7	7	0
Special Revenue Funds - Federal	59	59	0
Special Revenue Funds - Other	209	209	0
Internal Service Funds	23	23	0
Total	<u>2,806</u>	<u>2,806</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	42,564,000	38,309,000	(4,255,000)
Special Revenue Funds - Federal	367,224,000	345,703,000	(21,521,000)
Special Revenue Funds - Other	154,983,000	149,293,000	(5,690,000)
Internal Service Funds	31,563,000	33,563,000	2,000,000
Total	<u>596,334,000</u>	<u>566,868,000</u>	<u>(29,466,000)</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Federal	(39,000)		
Special Revenue Funds - Other	(683,000)		
Appropriated 2010-11	<u>595,612,000</u>		

# EDUCATION

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

Program	Available 2010-11	Recommended 2011-12	Change
Adult Career and Continuing Education			
Services			
General Fund	2,400,000	2,160,000	(240,000)
Special Revenue Funds - Federal	122,393,000	122,393,000	0
Special Revenue Funds - Other	7,481,000	7,781,000	300,000
Office of Management Services Program			
General Fund	11,633,000	10,470,000	(1,163,000)
Special Revenue Funds - Other	27,504,577	25,505,000	(1,999,577)
Internal Service Funds	18,914,000	20,914,000	2,000,000
Office of Pre-kindergarten Through Grade 12 Education			
General Fund	20,553,000	18,498,000	(2,055,000)
Special Revenue Funds - Federal	222,514,000	204,980,000	(17,534,000)
Special Revenue Funds - Other	5,631,000	1,631,000	(4,000,000)
School for the Blind			
Special Revenue Funds - Other	10,060,000	10,070,000	10,000
School for the Deaf			
Special Revenue Funds - Other	9,661,000	9,661,000	0
Higher Education and the Professions, Office of			
General Fund	7,376,000	6,639,000	(737,000)
Special Revenue Funds - Federal	2,952,000	2,952,000	0
Special Revenue Funds - Other	52,624,000	52,624,000	0
Cultural Education			
General Fund	602,000	542,000	(60,000)
Special Revenue Funds - Federal	19,365,000	15,378,000	(3,987,000)
Special Revenue Funds - Other	42,021,423	42,021,000	(423)
Internal Service Funds	12,649,000	12,649,000	0
Total	<u>596,334,000</u>	<u>566,868,000</u>	<u>(29,466,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Adult Career and Continuing Education				
Services	684,000	(76,000)	630,000	(70,000)
Office of Management Services Program	6,553,000	(728,000)	6,319,000	(702,000)
Office of Pre-kindergarten Through Grade 12 Education	12,193,000	(1,354,000)	11,597,000	(1,288,000)
Higher Education and the Professions, Office of	2,834,000	(315,000)	2,815,000	(313,000)
Cultural Education	398,000	(44,000)	398,000	(44,000)
Total	<u>22,662,000</u>	<u>(2,517,000)</u>	<u>21,759,000</u>	<u>(2,417,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Adult Career and Continuing Education				
Services	54,000	(6,000)	0	0
Office of Management Services Program	117,000	(13,000)	117,000	(13,000)
Office of Pre-kindergarten Through Grade 12 Education	466,000	(52,000)	130,000	(14,000)
Higher Education and the Professions, Office of	18,000	(2,000)	1,000	0
Cultural Education	0	0	0	0
Total	<u>655,000</u>	<u>(73,000)</u>	<u>248,000</u>	<u>(27,000)</u>

# EDUCATION

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Adult Career and Continuing Education				
Services	1,476,000	(164,000)	36,000	(4,000)
Office of Management Services Program	3,917,000	(435,000)	203,000	(23,000)
Office of Pre-kindergarten Through Grade 12 Education	6,305,000	(701,000)	90,000	(10,000)
Higher Education and the Professions, Office of	3,805,000	(422,000)	57,000	(6,000)
Cultural Education	144,000	(16,000)	23,000	(3,000)
Total	<u>15,647,000</u>	<u>(1,738,000)</u>	<u>409,000</u>	<u>(46,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Adult Career and Continuing Education				
Services	5,000	(1,000)	1,435,000	(159,000)
Office of Management Services Program	103,000	(11,000)	1,429,000	(159,000)
Office of Pre-kindergarten Through Grade 12 Education	112,000	(12,000)	5,891,000	(655,000)
Higher Education and the Professions, Office of	57,000	(6,000)	3,634,000	(404,000)
Cultural Education	2,000	0	115,000	(13,000)
Total	<u>279,000</u>	<u>(30,000)</u>	<u>12,504,000</u>	<u>(1,390,000)</u>

<b>Program</b>	<b>Equipment</b>		<b>General State Charges</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Adult Career and Continuing Education				
Services	0	0	0	0
Office of Management Services Program	714,000	(79,000)	1,468,000	(163,000)
Office of Pre-kindergarten Through Grade 12 Education	212,000	(24,000)	0	0
Higher Education and the Professions, Office of	57,000	(6,000)	0	0
Cultural Education	4,000	0	0	0
Total	<u>987,000</u>	<u>(109,000)</u>	<u>1,468,000</u>	<u>(163,000)</u>

# EDUCATION

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Adult Career and Continuing Education Services	130,174,000	300,000	58,052,000	14,000
Office of Management Services Program	46,419,000	423	24,651,000	275
Office of Pre-kindergarten Through Grade 12 Education	206,611,000	(21,534,000)	82,358,000	0
School for the Blind	10,070,000	10,000	5,956,000	(105,000)
School for the Deaf	9,661,000	0	5,574,000	(186,000)
Higher Education and the Professions, Office of	55,576,000	0	25,241,000	0
Cultural Education	70,048,000	(3,987,423)	29,677,000	(275)
<b>Total</b>	<b>528,559,000</b>	<b>(25,211,000)</b>	<b>231,509,000</b>	<b>(277,000)</b>

  

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Adult Career and Continuing Education Services	72,122,000	15,173,824	0	(14,887,824)
Office of Management Services Program	21,768,000	148	0	0
Office of Pre-kindergarten Through Grade 12 Education	114,053,000	8,978,176	10,200,000	(30,512,176)
School for the Blind	4,114,000	115,000	0	0
School for the Deaf	4,087,000	186,000	0	0
Higher Education and the Professions, Office of	30,335,000	721,000	0	(721,000)
Cultural Education	40,371,000	1,135,852	0	(5,123,000)
<b>Total</b>	<b>286,850,000</b>	<b>26,310,000</b>	<b>10,200,000</b>	<b>(51,244,000)</b>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	18,245,852,000	18,721,587,000	475,735,000
Special Revenue Funds - Federal	7,484,797,000	4,084,088,000	(3,400,709,000)
Special Revenue Funds - Other	6,462,479,000	6,240,479,000	(222,000,000)
<b>Total</b>	<b>32,193,128,000</b>	<b>29,046,154,000</b>	<b>(3,146,974,000)</b>

# EDUCATION

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

Program	Available 2010-11	Recommended 2011-12	Change
Adult Career and Continuing Education			
Services			
General Fund	81,815,000	81,815,000	0
Special Revenue Funds - Federal	521,776,000	118,776,000	(403,000,000)
Special Revenue Funds - Other	12,458,000	12,458,000	0
Office of Management Services Program			
Special Revenue Funds - Other	5,214,000	5,214,000	0
Office of Pre-kindergarten Through Grade 12 Education			
General Fund	17,980,715,000	18,466,324,000	485,609,000
Special Revenue Funds - Federal	6,936,627,000	3,959,912,000	(2,976,715,000)
Special Revenue Funds - Other	3,163,000,000	2,912,000,000	(251,000,000)
School Tax Relief			
Special Revenue Funds - Other	3,273,000,000	3,302,000,000	29,000,000
Higher Education and the Professions, Office of			
General Fund	89,449,000	83,934,000	(5,515,000)
Cultural Education			
General Fund	93,873,000	89,514,000	(4,359,000)
Special Revenue Funds - Federal	26,394,000	5,400,000	(20,994,000)
Special Revenue Funds - Other	8,807,000	8,807,000	0
Total	<u>32,193,128,000</u>	<u>29,046,154,000</u>	<u>(3,146,974,000)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Education Building				
Capital Projects Fund	0	0	0	2,026,000
Capital Projects Fund - Advances	0	0	0	20,000
School for the Blind				
Capital Projects Fund	0	0	0	2,095,000
Capital Projects Fund - Advances	0	0	0	200,000
School for the Deaf				
Capital Projects Fund	0	0	0	676,000
Schools For Native American Reservations				
Capital Projects Fund	0	0	0	120,000
Capital Projects Fund - Authority Bonds	0	0	0	3,398,000
Cultural Education Center				
Capital Projects Fund	0	0	0	12,403,000
Capital Projects Fund - Advances	0	0	0	1,280,000
Capital Projects Fund - Authority Bonds	0	0	0	13,797,000
Administration				
Capital Projects Fund	6,800,000	3,400,000	(3,400,000)	10,458,000
Capital Projects Fund - Authority Bonds	20,400,000	0	(20,400,000)	20,400,000
Library Construction				
Library Aid (Auth Bonds)	14,000,000	14,000,000	0	16,222,000
Public Broadcasting Facilities				
Capital Projects Fund - Authority Bonds	0	0	0	1,000
Cultural Education Storage Facility				
Cap Proj Fund - Cultrual Education Storage Facility	0	0	0	60,000,000
Total	<u>41,200,000</u>	<u>17,400,000</u>	<u>(23,800,000)</u>	<u>143,096,000</u>

# STATE BOARD OF ELECTIONS

## MISSION

The New York State Board of Elections executes and enforces all laws relating to the elective franchise and oversees the disclosure of campaign financing and practices.

## ORGANIZATION AND STAFFING

The State Board of Elections is comprised of four commissioners, two chosen by each major political party. The Board administers provisions of the Election Law regarding campaign financial disclosure, including civil judgments levied for failure to file disclosure documents; oversees the petitioning process and certification of ballots; investigates allegations of criminal violations of the Election Law and recommends prosecution where warranted; and certifies electronic voting machines purchased by local Boards of Elections. The Board also assists County Boards of Elections by completing administrative reviews, assisting in resolving complaints and monitoring statewide compliance with the Help America Vote Act (HAVA), the National Voter Registration Act (NVRA) and the Military and Overseas Voter Empowerment Act (MOVE).

## BUDGET HIGHLIGHTS

The 2011-12 Executive Budget recommends **\$13.5 million** All Funds (\$5.5 million General Fund; \$8.0 million Other Funds) for the State Board of Elections. This is a General Fund decrease of **\$614,000 (-10 percent)** from the 2010-11 budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## PROGRAM HIGHLIGHTS

Over the past 30 years, the scope of the Board's services has grown to include providing legal counsel to the 62 County Boards of Election, administering registration efforts, providing technical assistance to administrators of elections, investigating violations of the Election Law and coordinating the State's responses to new Federal election requirements.

New York continues to work towards full compliance with federal election mandates and achieved a major milestone with the successful deployment in 2010 of new voting systems.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	13,135,000	12,521,000	(614,000)	25,000,000
Aid To Localities	1,000,000	1,000,000	0	76,100,000
Capital Projects	0	0	0	0
Total	14,135,000	13,521,000	(614,000)	101,100,000

# ELECTIONS

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Regulation of Elections			
General Fund	60	60	0
Total	60	60	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	6,135,000	5,521,000	(614,000)
Special Revenue Funds - Federal	6,500,000	6,500,000	0
Special Revenue Funds - Other	500,000	500,000	0
Total	13,135,000	12,521,000	(614,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Regulation of Elections			
General Fund	6,135,000	5,521,000	(614,000)
Special Revenue Funds - Federal	6,500,000	6,500,000	0
Special Revenue Funds - Other	500,000	500,000	0
Total	13,135,000	12,521,000	(614,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Regulation of Elections	3,746,000	(416,000)	3,727,000	(366,000)
Total	3,746,000	(416,000)	3,727,000	(366,000)
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Regulation of Elections	15,000	(46,000)	4,000	(4,000)
Total	15,000	(46,000)	4,000	(4,000)

# ELECTIONS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Regulation of Elections	1,775,000	(198,000)	65,000	(15,000)
Total	<u>1,775,000</u>	<u>(198,000)</u>	<u>65,000</u>	<u>(15,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Regulation of Elections	25,000	(5,000)	1,610,000	(153,000)
Total	<u>25,000</u>	<u>(5,000)</u>	<u>1,610,000</u>	<u>(153,000)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Regulation of Elections	75,000	(25,000)
Total	<u>75,000</u>	<u>(25,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Regulation of Elections	7,000,000	0	500,000	0
Total	<u>7,000,000</u>	<u>0</u>	<u>500,000</u>	<u>0</u>

<b>Program</b>	<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>
Regulation of Elections	6,500,000	0
Total	<u>6,500,000</u>	<u>0</u>

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

<b>Fund Type</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Special Revenue Funds - Federal	1,000,000	1,000,000	0
Total	<u>1,000,000</u>	<u>1,000,000</u>	<u>0</u>

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

<b>Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Regulation of Elections			
Special Revenue Funds - Federal	1,000,000	1,000,000	0
Total	<u>1,000,000</u>	<u>1,000,000</u>	<u>0</u>

# ***EMPIRE STATE DEVELOPMENT CORPORATION***

## ***MISSION***

Doing business as Empire State Development Corporation (ESDC), the Urban Development Corporation (UDC) is a New York State public benefit corporation. Its overall objective is to stimulate economic growth through the creation of jobs by fostering business development, enhancing industrial competitiveness, revitalizing downtown areas, advancing high technology and promoting tourism. It engages in three principal activities: economic and real estate development; State facility financing; and housing portfolio maintenance.

## ***ECONOMIC AND REAL ESTATE DEVELOPMENT***

The Corporation provides financial and technical assistance to businesses, local governments, and community-based not-for-profit corporations for economic development and large-scale real estate projects that create and/or retain jobs in New York and reinvigorate distressed areas.

## ***STATE FACILITY FINANCING***

The Empire State Development Corporation issues bonds to finance the construction and modernization of correctional facilities and other special projects for the State. Debt service on these bonds is paid from State appropriations.

## ***HOUSING PORTFOLIO MAINTENANCE***

In the early 1970s, the Urban Development Corporation built 113 large-scale housing developments for low- to middle-income persons. The Corporation also built non-residential civic and industrial properties, including the Niagara Falls Convention Center, the Wards Island Fire Training Center, the Monroe County Fairgrounds, the Ten Eyck Plaza in Albany, and public school facilities in Buffalo, Manhattan, the Bronx, and Brooklyn. Since the mid-1970s, activity in this area has been limited to the monitoring and loan servicing of projects.

## ***ORGANIZATION AND STAFFING***

Historically, State economic development programs have been administered by the Empire State Development Corporation working in conjunction with the Department of Economic Development. In addition, the Corporation and Department have worked closely with the Foundation for Science, Technology, and Innovation to foster technology-related job creation. The 2011-12 Executive Budget would reform and reinvent New York's high technology academic research and economic development efforts by fully merging the Foundation into the Corporation. This recommendation will streamline and improve the delivery of economic development services, eliminate duplicative administrative support and save \$1.9 million in State taxpayer dollars.

For 2011-12, ESDC will be overseen by a chairman who will coordinate statewide operations of the newly consolidated entity and collaborate with stakeholders on establishing 10 Regional Economic Development Councils to create a more regionally-based approach to allocating economic development resources.

## **EMPIRE STATE DEVELOPMENT**

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### **OVERSIGHT**

The Corporation is governed by a nine-member Board of Directors comprising two ex-officio members and seven members appointed by the Governor with the consent of the Senate. The chairman of the Empire State Development Corporation Board is selected by the Governor. Board members serve without compensation.

### **SUBSIDIARIES**

The Corporation's Board of Directors is authorized to create subsidiaries to manage specific projects or economic development activities. Subsidiaries have been established to: (1) oversee revitalization of Lower Manhattan in the wake of the September 11, 2001 terrorist attacks; (2) formulate policies and initiatives to promote economic growth in Harlem; (3) redevelop Times Square; (4) plan and oversee a mixed-use development on 74.5 acres on the East River in Queens County; (5) redevelop the U.S. Postal Service facility, known as the Farley Building, in connection with the New York City Amtrak Train Station Redevelopment project; (6) promote economic development and tourism, and leverage private investment in Niagara Falls; (7) oversee conversion of the 300-acre Harriman State Office Building Campus in Albany into a world-class research and development park; and (8) coordinate the development of the former Buffalo Memorial Auditorium and additional projects along the waterfront and inner harbor in downtown Buffalo.

### **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$310.8 million** for the Empire State Development Corporation in 2011-12, an increase of **\$239.9 million (338.4 percent)** from 2010-11. However, this increase for ESDC will not increase overall State spending, since ESDC will assume administration of funding formerly provided through the Foundation and through other existing economic development programs to support the newly created Regional Economic Development Councils and Economic Transformation Program Grants, as well as the continued support of projects in the New York City Empowerment Zone.

In 2011-12, Empire State Development Corporation's activities will be funded through a combination of State General Fund appropriations and corporate revenues generated by corporation-owned residential and non-residential properties and by its financing programs.

Major budget actions include:

- **Regional Economic Development Councils:** \$200 million in existing State resources will be provided to support new and competitively selected regional economic development projects and initiatives. Nearly \$130.6 million will be provided by reprioritizing and redirecting existing economic development funds for competitively determined project grants, and \$70 million will be provided in tax credits through the enhanced Excelsior Jobs Program. Ten newly created Regional Economic Development Councils, which will be chaired by the Lieutenant Governor, will compete for these funds based on the best economic development plans; coordinate all economic development resources from State agencies and authorities; and review all previous economic development commitments to ensure projects demonstrating maximum benefits to the State

## EMPIRE STATE DEVELOPMENT

- receive the limited State resources available. These Regional Economic Development Councils will consist of local business, community, academic, municipal, State government, labor and other key regional stakeholders;
- **Economic Transformation Program:** The Budget includes \$100 million for new Economic Transformation Program grants for communities adversely impacted by correctional and youth facility closures. In consultation with the new Regional Councils, those affected communities will be able to fund new economic development projects that create jobs and spur new investments, fostering a re-invention of local economies. This spending will be supported by reprioritizing and redirecting existing economic development funds;
  - **Ongoing Economic Development Programs:** \$43.4 million is provided to support ongoing economic development programs, including: the Empire State Economic Development Fund; Minority - and Women-Owned Business Development and Lending programs; the Urban and Community Development Program; the Entrepreneurial Assistance Program; the retention of professional football in Western New York; and other high technology research centers;
  - **Ongoing High Technology Programs:** \$35.9 million is made available to support ongoing university-based matching grant programs, and other high technology and research and development programs previously administered by the Foundation;
  - **Continued support of specific existing capital projects:** Nearly \$2.4 billion is recommended in reappropriations for continued support of various economic development and regional initiatives including statewide competitive grant programs administered by the Corporation, specific downstate regional initiatives, upstate city-by-city projects, and other economic development projects administered by the Corporation and Dormitory Authority of the State of New York. Any new commitments from these resources will be reviewed by the Regional Councils; and
  - **Operations:** The Budget includes \$1 million to support the Empire State Development Corporation's administration and continued development of New York's efforts to support high technology academic research and economic growth.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	0	0	0	0
Aid To Localities	45,896,000	55,239,000	9,343,000	380,798,000
Capital Projects	25,000,000	255,550,000	230,550,000	2,449,675,000
Total	<u>70,896,000</u>	<u>310,789,000</u>	<u>239,893,000</u>	<u>2,830,473,000</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	45,896,000	55,239,000	9,343,000
Total	<u>45,896,000</u>	<u>55,239,000</u>	<u>9,343,000</u>

# EMPIRE STATE DEVELOPMENT

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

Program	Available 2010-11	Recommended 2011-12	Change
Economic Development			
General Fund	45,896,000	19,378,000	(26,518,000)
High Technology Program			
General Fund	0	34,048,000	34,048,000
Research Development Program			
General Fund	0	343,000	343,000
Training and Business Assistance Program			
General Fund	0	1,470,000	1,470,000
Total	<u>45,896,000</u>	<u>55,239,000</u>	<u>9,343,000</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Regional Development				
Capital Projects Fund - Authority Bonds	0	0	0	666,861,000
Cap Proj Fund - CEFAP (Direct Auth Bonds)	0	0	0	59,898,000
Economic Development				
Capital Projects Fund - Authority Bonds	25,000,000	255,550,000	230,550,000	1,449,927,000
Cap Proj Fund - Downtown Buffalo (Auth Bonds)	0	0	0	22,989,000
Misc. Capital Projects	0	0	0	250,000,000
Total	<u>25,000,000</u>	<u>255,550,000</u>	<u>230,550,000</u>	<u>2,449,675,000</u>

# **OFFICE OF EMPLOYEE RELATIONS**

## **MISSION**

Under the Public Employees' Fair Employment Act (the Taylor Law), the Office of Employee Relations (OER) assists the Governor in relations between the State and its employees, including representing the Executive Branch in collective bargaining negotiations with nine public employee unions. OER's mission is to advance the performance of State government through collaborative labor relations, workforce training, education and benefits.

## **ORGANIZATION AND STAFFING**

OER is organized into five divisions: Executive; Contract Negotiations and Administration; Counsel's Office; Information Technology; and Administration. OER is located in Albany and administered by a Director appointed by the Governor.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$6.8 million** All Funds (\$3.0 million General Fund; \$3.7 million Internal Service Funds; \$121,000 Other Funds) for the Office of Employee Relations. This is a decrease in the General Fund of **\$329,000 (-10 percent)** from the 2010-11 budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

The Office of Employee Relations' focus in 2011-12 will be negotiating new union contracts to succeed those that expire in 2011, continuing negotiations or interest arbitrations for those bargaining units without contracts that extend into 2011, and administering the terms of current contracts and arbitration awards.

In 2011-12, the agency will continue to develop and implement a statewide Learning Management System. This initiative will enable employees to register for and receive training, and allow State agencies to track employees' progress – seamlessly across the State's entire enterprise.

The joint labor-management committees, with OER as the State's representative, will continue to provide skills training for represented and Management/Confidential employees to increase the efficiency and quality of State operations. Joint committee activities, such as the Employee Assistance Program and NYS-Balance, a resource and referral service, as well as pre-tax health care and dependent care savings plans and the NYS-Ride transportation benefit, all help to improve the quality of State employees' lives on the job and at home.

## EMPLOYEE RELATIONS

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	7,121,000	6,792,000	(329,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>7,121,000</u>	<u>6,792,000</u>	<u>(329,000)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Contract Negotiation and Administration		
General Fund	27	27	0
Internal Service Funds	12	12	0
Management Confidential Affairs			
General Fund	4	4	0
Total	<u>43</u>	<u>43</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	3,290,000	2,961,000	(329,000)
Special Revenue Funds - Other	121,000	121,000	0
Internal Service Funds	3,710,000	3,710,000	0
Total	<u>7,121,000</u>	<u>6,792,000</u>	<u>(329,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Contract Negotiation and Administration			
General Fund	2,948,000	2,653,000	(295,000)
Special Revenue Funds - Other	121,000	121,000	0
Internal Service Funds	3,710,000	3,710,000	0
Management Confidential Affairs			
General Fund	342,000	308,000	(34,000)
Total	<u>7,121,000</u>	<u>6,792,000</u>	<u>(329,000)</u>

## EMPLOYEE RELATIONS

### STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	2,551,000	(295,000)	2,541,000	(295,000)
Management Confidential Affairs	281,000	(34,000)	280,000	(34,000)
Total	<u>2,832,000</u>	<u>(329,000)</u>	<u>2,821,000</u>	<u>(329,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	10,000	0	0	0
Management Confidential Affairs	0	0	1,000	0
Total	<u>10,000</u>	<u>0</u>	<u>1,000</u>	<u>0</u>

### STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	102,000	0	20,000	0
Management Confidential Affairs	27,000	0	1,000	0
Total	<u>129,000</u>	<u>0</u>	<u>21,000</u>	<u>0</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	10,000	0	72,000	0
Management Confidential Affairs	1,000	0	25,000	0
Total	<u>11,000</u>	<u>0</u>	<u>97,000</u>	<u>0</u>

### STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Contract Negotiation and Administration	3,831,000	0	986,000	0
Total	<u>3,831,000</u>	<u>0</u>	<u>986,000</u>	<u>0</u>

Program	Nonpersonal Service	
	Amount	Change
Contract Negotiation and Administration	2,845,000	0
Total	<u>2,845,000</u>	<u>0</u>

# **NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY**

## **MISSION**

The New York State Energy Research and Development Authority (NYSERDA) was established in 1975 to develop and implement new energy technologies, focusing on renewable energy sources and energy conservation.

As part of its central mission, the Authority manages energy research, development and demonstration programs, which are funded by assessments on gas and electric utilities. Projects are selected on a competitive basis to promote applied research on State energy problems.

The Authority administers Federal grant programs which help businesses, schools and hospitals implement energy efficiency measures, and issues tax-exempt bonds on behalf of investor-owned utilities for capital improvements. The Authority also administers the System Benefits Charge, which supports energy programs for low-income consumers, energy efficiency, energy research and development, and environmental protection. In addition, the Authority administers the Renewable Portfolio Standard program, designed to increase the percentage of electricity used by retail customers in the State derived from renewable resources.

The Authority manages the former nuclear fuel reprocessing plant at West Valley in Cattaraugus County and the Saratoga Technology and Energy Park (STEP) in Saratoga County. Currently, NYSERDA has several clean-energy technology companies located at STEP, and is continuing to work toward bringing in other clean-energy technology companies.

## **ORGANIZATION AND STAFFING**

The Energy Research and Development Authority is headed by a 13-member board, consisting of nine members nominated by the Governor with the consent of the Senate and four ex-officio members, who include the commissioners of the departments of Transportation and Environmental Conservation, and the chairs of the Public Service Commission and the Power Authority of the State of New York. All board members serve without compensation.

## **BUDGET HIGHLIGHTS**

The Authority is partially funded by assessments on electric and gas utility gross intrastate operating receipts. The Executive Budget recommends **\$31.5 million** All Funds (\$16.2 million Special Revenue Funds for energy, research and development programs; \$15.3 million Capital Funds for ongoing work at West Valley) for the Energy Research and Development Authority. This is a decrease of **\$3.9 million** (\$3.9 million Capital Funds) **(-11 percent)** from the 2010-11 budget. This change reflects a decrease in capital funding for nuclear waste cleanup activities at West Valley. The Authority's costs at West Valley are largely dictated by a Federal match requirement, and are expected to decrease in 2011-12 as a result of decreased spending by the Federal government.

# ENERGY RESEARCH AND DEVELOPMENT

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	6,996,000	8,090,000	1,094,000	0
Aid To Localities	9,234,000	8,140,000	(1,094,000)	0
Capital Projects	19,247,000	15,310,000	(3,937,000)	0
Total	<u>35,477,000</u>	<u>31,540,000</u>	<u>(3,937,000)</u>	<u>0</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	6,996,000	8,090,000	1,094,000
Total	<u>6,996,000</u>	<u>8,090,000</u>	<u>1,094,000</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Research, Development and Demonstration			
Special Revenue Funds - Other	6,996,000	8,090,000	1,094,000
Total	<u>6,996,000</u>	<u>8,090,000</u>	<u>1,094,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Research, Development and Demonstration	8,090,000	1,094,000	3,565,000	266,000
Total	<u>8,090,000</u>	<u>1,094,000</u>	<u>3,565,000</u>	<u>266,000</u>

Program	Nonpersonal Service	
	Amount	Change
Research, Development and Demonstration	4,525,000	828,000
Total	<u>4,525,000</u>	<u>828,000</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	9,234,000	8,140,000	(1,094,000)
Total	<u>9,234,000</u>	<u>8,140,000</u>	<u>(1,094,000)</u>

# **ENERGY RESEARCH AND DEVELOPMENT**

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Research, Development and Demonstration			
Special Revenue Funds - Other	9,234,000	8,140,000	(1,094,000)
Total	<u>9,234,000</u>	<u>8,140,000</u>	<u>(1,094,000)</u>

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

<u>Comprehensive Construction Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>	<u>Reappropriations 2011-12</u>
Western New York Nuclear Service Center Program				
Capital Projects Fund	0	15,310,000	15,310,000	0
Capital Projects Fund - Authority Bonds	19,247,000	0	(19,247,000)	0
Total	<u>19,247,000</u>	<u>15,310,000</u>	<u>(3,937,000)</u>	<u>0</u>

# **DEPARTMENT OF ENVIRONMENTAL CONSERVATION**

## **MISSION**

The Department of Environmental Conservation is responsible for conserving, improving and protecting the State's natural resources and environment. The Department also works to control water, land and air pollution in order to enhance the health, safety and welfare of all New Yorkers. In addition, the Department plays a major role in implementing the Environmental Protection Fund, the State's dedicated environmental fund.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner appointed by the Governor subject to Senate confirmation. The Department's Central Office is in Albany, with regional offices in Avon, Buffalo, Long Island City, New Paltz, Ray Brook, Schenectady, Stony Brook, Syracuse and Watertown. These regional offices are the operational arms of the Department. Staff in the regional offices review and issue environmental permits for activities regulated by the Department such as the operation of landfills and sewage treatment plants. In addition, these offices ensure compliance with State and Federal environmental statutes, consistent with policy and management direction from program divisions in the Central Office.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$950 million** All Funds (\$110 million General Fund; \$76 million Federal funds and \$764 million for all other funds) for the Department of Environmental Conservation. This is a decrease of **\$53 million (-5 percent)** from the 2010-11 budget, primarily as the result of the loss of one-time Federal Great Lakes Restoration Initiative funding and reductions in State operations and capital projects.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

General Fund appropriations will finance 24.6 percent of the Department of Environmental Conservation's operations in 2011-12. Fees and license revenues will support 58.2 percent, including the major permitting functions, the hazardous substances bulk storage and oil spill programs and the hazardous waste remedial and enforcement programs. Federal funds will support the remaining 17.2 percent of the Department's budget.

The Environmental Protection Fund (EPF) will continue to receive \$134 million, the same level as in 2010-11, to support environmental programs, including land acquisition, farmland preservation, recycling programs, non-point source pollution control projects, and municipal park and waterfront revitalization projects. The EPF is supported primarily by revenues from the real estate transfer tax as well as by the sale or lease of State property, Fund interest earnings and receipts from water withdrawal fees, wetland application permits and pesticide applicator fees.

## **ENVIRONMENTAL CONSERVATION**

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The voter-approved Clean Water/Clean Air Bond Act authorizes \$1.75 billion for critical environmental programs in the following categories: Safe Drinking Water Program (\$355 million); Clean Water Program (\$790 million); Solid Waste Projects (\$175 million); Air Quality Projects (\$230 million); and Environmental Restoration Projects (\$200 million). Unspent portions of these authorizations are reappropriated in the Executive Budget.

The Clean Air Fund will continue to provide the resources needed to meet the State's obligations under the Federal Clean Air Act to control stationary and mobile sources of air pollution. The Fund is supported by vehicle emission inspection fees and fees on regulated pollutants emitted by factories, power plants and other stationary source facilities.

General Fund appropriations will support the preservation and maintenance of the State's trails, regional facilities, campgrounds and the 20 percent match required for Federal grants provided through the Clean Water State Revolving Fund. Since 1992-93, the cost of the State match has been reimbursed by proceeds from the sale of bonds issued by the Environmental Facilities Corporation. Principal and interest on the bonds are paid from State taxes.

The 2011-12 Executive Budget provides approximately \$950 million to support the Department's critical environmental, resource management and recreation programs, including:

- \$120 million to support the refinanced Superfund program to continue the cleanup of inactive hazardous waste sites and to address hazardous substance sites. Recommendations also include \$81.7 million in reappropriated funds from the 1986 Environmental Quality Bond Act to continue work already underway for existing Superfund sites;
- \$134 million in funding from the Environmental Protection Fund to provide resources to address a variety of priority programs including the continued implementation of the Hudson River Estuary Management Plan, the Hudson River Park, stewardship projects, the Pollution Prevention Institute; local solid waste reduction/recycling and marketing of recycled materials; landfill closure/gas management projects; natural resource damage projects; local parks and historic preservation grants; local waterfront revitalization projects; non-point source water pollution control projects; land acquisition; farmland protection; funding for soil and water conservation districts; support for Land Trust Alliance; urban forestry projects; and invasive species grants.
- The total 1996 Clean Water/Clean Air Bond Act authorization of \$1.75 billion has been appropriated. However, the Executive Budget includes \$50 million in continued Bond Act disbursements in 2011-12 for critical Water Quality, Air, Solid Waste, Brownfield and Safe Drinking Water Projects;
- \$17 million in appropriations to support the abatement of illegal waste tire piles and the development of new markets for waste tires under the Waste Tire Management and Recycling Act of 2003.
- \$5.8 million to implement the New York City Watershed Agreement. These funds will support State enforcement and monitoring efforts in the Watershed and the provision of technical assistance to participating Watershed communities;
- \$210 million in new State and Federal funds for the Clean Water State Revolving Fund low-interest loan program to build and rehabilitate municipal sewage treatment facilities;

## **ENVIRONMENTAL CONSERVATION**

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- \$51 million to support the programs of the Conservation Fund;
- \$16.8 million in new funding for basic capital infrastructure projects to ensure health, safety and compliance with State and Federal laws and environmental requirements;
- \$23.7 million in non-General Fund support for the State's Clean Air programs. New programs began in 1997-98 to control pollution from automobiles and to establish new consolidated permits for major stationary sources of air pollution, and in 1999-2000 to control air pollution from heavy-duty vehicles; and
- \$366.1 million to support the operations of the Department.

### **PROGRAM HIGHLIGHTS**

Under both State and Federal law, the Department carries out a wide range of environmental, regulatory, remedial, resource management, outdoor recreation and education programs. These include the protection and management of the State's air, water, mineral and energy resources, as well as the management of both solid and hazardous waste. In this regard, the Department has undertaken expanded responsibilities as part of the State's Homeland Security effort including air and water toxic assessments, hazardous materials monitoring, water infrastructure monitoring and security and other activities to protect public health and safety.

The Department has restructured its operations to eliminate redundant management layers and refocused its attention on the core mission of the Department. Additionally, the regulatory process for issuing environmental permits has been streamlined to simplify requirements while still ensuring that environmental standards are maintained and the State's natural resources are protected.

The Department's functions are divided into the following categories: Natural Resources, Environmental Quality/Remediation and Environmental Enforcement and Regulation.

### **NATURAL RESOURCES**

In addition to its responsibility to protect the State's fish, wildlife and marine resources and habitats, the Fish, Wildlife and Marine program also manages 200,000 acres of Wildlife Management Area Lands, operates 12 fish hatcheries, and maintains more than 300 boat launching and fishing access sites. The primary source of funding for this program is sporting license fees (over \$50 million annually) deposited to the Conservation Fund.

The Lands and Forests program manages more than 4.5 million acres of State land under the Department's jurisdiction, including nearly three million acres of State-Forest Preserve within the Adirondack and Catskill parks, and manages over 786,000 acres of State Forest land and 825,000 acres of State-owned Conservation Easements. The Lands and Forests program also supports statewide urban and community forestry, forest health and other programs to encourage the long-term sustainable management of private forest lands. Revenues from the sale of forest products from State lands help offset program costs. The Mineral Resources program regulates more than 13,000 active oil and gas wells and oversees the mined land reclamation program. This program is focused on returning land previously used for mining to a productive use and also performs technical and environmental review of new and approximately 2,100 existing active mines.

## **ENVIRONMENTAL CONSERVATION**

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The Water program protects and conserves the State's water resources, which include 87,124 miles of rivers, 7,849 waterbodies covering 687,672 acres and 979,200 acres of bays, estuaries and harbors, 577 miles of Great Lakes shoreline and 120 miles of ocean coastline, 2.4 million acres of fresh water wetlands, and 25,000 acres of tidal wetlands.

The Department also operates 52 campgrounds and six day-use areas within the Adirondack and Catskill parks, as well as the Belleayre Mountain Ski Center. These recreational facilities serve approximately 1.8 million visits annually, generating over \$14 million in revenue and greatly increasing tourist trade to their host communities. Camping and skiing user fees are intended to fully support facility operations.

### **ENVIRONMENTAL QUALITY/REMEDATION**

The 1988 Solid Waste Management Act established the State's policies for the management of solid waste, identifying reduction and recycling as the preferred options. The Act required municipalities to implement source separation programs and to prepare Local Solid Waste Management Plans. Also in 1988, the Department of Environmental Conservation established requirements for the construction and operation of solid waste management facilities, such as landfills. Local governments must meet those requirements before the Department will grant an operating permit.

The 1990 amendments to the Federal Clean Air Act imposed new mandates on the State designed to improve air quality. While the cost of complying with the Act is significant, the cost of non-compliance would be more severe. If the Federal Environmental Protection Agency determines that there is a deficiency in New York's clean air programs, then it must apply sanctions if the deficiency is not corrected within 18 months. Sanctions include the withholding of Federal highway funds and the requirement of a two-for-one air pollution emissions offset for new or modified sources of emissions in areas that do not meet Federal air quality standards. The sanction would result in a virtual ban on industrial expansion and would place New York at a severe economic disadvantage with other states.

New York has taken steps to implement a comprehensive stationary source air permit program, a small business assistance program and programs to reduce vehicular emissions from all vehicle types through the establishment of strict emission standards, fuel specification and in-use testing requirements. Air quality programs are supported by Federal Air Pollution Control Grants that must be matched by State funds as well as fees charged to stationary sources and for motor vehicle inspections. The Department has also established regulations implementing the most aggressive Acid Rain controls on emissions of sulfur dioxide and nitrogen oxide in the country.

The 1986 Environmental Quality Bond Act – commonly known as the State Superfund – made \$1.1 billion available for inactive hazardous waste cleanups, allowing the Department to embark on one of the most ambitious remedial programs in the nation.

The Department implements the State's Superfund Program and the Brownfield Cleanup Program to encourage private investment and job creation through liability reform, tax incentives, and a predictable process for cleaning up and redeveloping brownfields. A total of 347 sites have been approved for the Brownfield Cleanup Program, and 92 have been completely cleaned as of December 2010.

The Department has also undertaken significant new initiatives including the most aggressive program in the nation to address the emerging problem of soil vapor intrusion from contaminated sites.

## **ENVIRONMENTAL CONSERVATION**

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### **ENVIRONMENTAL ENFORCEMENT AND REGULATION**

The Department of Environmental Conservation also enforces and regulates a myriad of activities carried out by businesses, local governments and individuals that can have an impact on the environment and the State's natural resources.

The Department carries out this responsibility through a variety of regulatory and permitting processes and through ongoing communication with those subject to environmental laws and regulations to ensure that such requirements are understood. The Department uses its Environmental Conservation Officers and Forest Rangers as its front line to interact directly with the public and the regulated community to ensure compliance with all Department regulations and the initiatives described above.

The Department has enhanced and improved its overall regulatory and enforcement capabilities, including the coordination of enforcement and inspection programs at each of its regional offices. The Department will continue to review its regulatory practices to streamline procedures and eliminate unnecessary requirements, while still ensuring that strict environmental standards are maintained.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	514,486,400	440,476,000	(74,010,400)	437,601,300
Aid To Localities	1,867,900	1,675,000	(192,900)	3,231,900
Capital Projects	486,726,000	511,834,000	25,108,000	3,556,326,000
Total	<u>1,003,080,300</u>	<u>953,985,000</u>	<u>(49,095,300)</u>	<u>3,997,159,200</u>

# ENVIRONMENTAL CONSERVATION

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	125	125	0
Special Revenue Funds - Other	137	137	0
Air and Water Quality Management			
General Fund	136	136	0
Special Revenue Funds - Federal	142	142	0
Special Revenue Funds - Other	327	327	0
Environmental Enforcement			
General Fund	312	312	0
Special Revenue Funds - Other	120	120	0
Fish, Wildlife and Marine Resources			
General Fund	10	10	0
Special Revenue Funds - Federal	67	67	0
Special Revenue Funds - Other	282	282	0
Forest and Land Resources			
General Fund	226	226	0
Special Revenue Funds - Federal	10	10	0
Special Revenue Funds - Other	133	133	0
Operations			
General Fund	248	248	0
Special Revenue Funds - Other	39	39	0
Rehabilitation and Improvement			
Capital Projects Funds - Other	120	120	0
Solid and Hazardous Waste Management			
General Fund	39	39	0
Special Revenue Funds - Federal	37	37	0
Special Revenue Funds - Other	212	212	0
Capital Projects Funds - Federal	7	7	0
Capital Projects Funds - Other	274	274	0
Total	3,003	3,003	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	120,373,100	108,327,000	(12,046,100)
Special Revenue Funds - Federal	127,419,000	76,012,000	(51,407,000)
Special Revenue Funds - Other	266,634,300	256,077,000	(10,557,300)
Internal Service Funds	60,000	60,000	0
Total	514,486,400	440,476,000	(74,010,400)
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(58,000)		
Special Revenue Funds - Other	(284,000)		
Appropriated 2010-11	514,144,400		

# ENVIRONMENTAL CONSERVATION

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	12,200,000	10,472,000	(1,728,000)
Special Revenue Funds - Other	15,504,000	15,226,000	(278,000)
Internal Service Funds	60,000	60,000	0
Air and Water Quality Management			
General Fund	12,645,000	12,444,000	(201,000)
Special Revenue Funds - Federal	90,019,000	38,612,000	(51,407,000)
Special Revenue Funds - Other	80,841,000	74,742,000	(6,099,000)
Environmental Enforcement			
General Fund	36,266,000	32,303,000	(3,963,000)
Special Revenue Funds - Other	23,631,000	23,332,000	(299,000)
Fish, Wildlife and Marine Resources			
General Fund	4,629,100	3,860,000	(769,100)
Special Revenue Funds - Federal	26,000,000	26,000,000	0
Special Revenue Funds - Other	42,168,300	44,153,000	1,984,700
Forest and Land Resources			
General Fund	21,121,000	18,384,000	(2,737,000)
Special Revenue Funds - Federal	5,000,000	5,000,000	0
Special Revenue Funds - Other	30,707,000	26,300,000	(4,407,000)
Operations			
General Fund	28,622,000	27,012,000	(1,610,000)
Special Revenue Funds - Other	12,342,000	12,342,000	0
Solid and Hazardous Waste Management			
General Fund	4,890,000	3,852,000	(1,038,000)
Special Revenue Funds - Federal	6,400,000	6,400,000	0
Special Revenue Funds - Other	61,441,000	59,982,000	(1,459,000)
Total	<u>514,486,400</u>	<u>440,476,000</u>	<u>(74,010,400)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	9,338,000	(1,728,000)	8,788,000	(1,729,000)
Air and Water Quality Management	10,700,000	(201,000)	10,585,000	(202,000)
Environmental Enforcement	28,106,000	(773,000)	25,510,000	(861,000)
Fish, Wildlife and Marine Resources	2,372,000	(420,000)	2,240,000	(424,000)
Forest and Land Resources	16,192,000	(2,737,000)	14,955,000	(2,747,000)
Operations	14,120,000	(1,881,000)	13,471,000	(1,883,000)
Solid and Hazardous Waste Management	3,275,000	(1,038,000)	3,157,000	(1,039,000)
Total	<u>84,103,000</u>	<u>(8,778,000)</u>	<u>78,706,000</u>	<u>(8,885,000)</u>
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	485,000	0	65,000	1,000
Air and Water Quality Management	59,000	0	56,000	1,000
Environmental Enforcement	78,000	63,000	2,518,000	25,000
Fish, Wildlife and Marine Resources	91,000	0	41,000	4,000
Forest and Land Resources	241,000	0	996,000	10,000
Operations	532,000	0	117,000	2,000
Solid and Hazardous Waste Management	114,000	0	4,000	1,000
Total	<u>1,600,000</u>	<u>63,000</u>	<u>3,797,000</u>	<u>44,000</u>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	1,134,000	0	238,000	0
Air and Water Quality Management	1,744,000	0	446,000	0
Environmental Enforcement	4,197,000	(3,190,000)	330,000	33,000
Fish, Wildlife and Marine Resources	1,488,000	(349,100)	676,000	0
Forest and Land Resources	2,192,000	0	1,672,000	0
Operations	12,892,000	271,000	2,012,000	171,000
Solid and Hazardous Waste Management	577,000	0	109,000	0
Total	24,224,000	(3,268,100)	5,483,000	204,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	91,000	0	712,000	0
Air and Water Quality Management	43,000	0	1,140,000	0
Environmental Enforcement	47,000	20,000	3,780,000	2,555,000
Fish, Wildlife and Marine Resources	57,000	7,000	698,000	2,000
Forest and Land Resources	40,000	0	411,000	0
Operations	256,000	0	8,688,000	100,000
Solid and Hazardous Waste Management	18,000	0	448,000	0
Total	552,000	27,000	15,877,000	2,657,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	93,000	0	0	0
Air and Water Quality Management	115,000	0	0	0
Environmental Enforcement	40,000	10,000	0	(5,808,000)
Fish, Wildlife and Marine Resources	57,000	0	0	(358,100)
Forest and Land Resources	69,000	0	0	0
Operations	1,936,000	0	0	0
Solid and Hazardous Waste Management	2,000	0	0	0
Total	2,312,000	10,000	0	(6,166,100)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	15,286,000	(278,000)	9,382,000	(190,000)
Air and Water Quality Management	113,354,000	(57,506,000)	45,454,000	(764,000)
Environmental Enforcement	23,332,000	(299,000)	11,242,000	(1,254,000)
Fish, Wildlife and Marine Resources	70,153,000	1,984,700	29,555,000	180,000
Forest and Land Resources	31,300,000	(4,407,000)	16,154,000	(2,599,000)
Operations	12,342,000	0	2,420,000	0
Solid and Hazardous Waste Management	66,382,000	(1,459,000)	25,046,000	(904,000)
Total	332,149,000	(61,964,300)	139,253,000	(5,531,000)

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	5,904,000	(88,000)	0	0
Air and Water Quality Management	67,900,000	6,408,000	0	(63,150,000)
Environmental Enforcement	12,090,000	955,000	0	0
Fish, Wildlife and Marine Resources	40,598,000	6,484,700	0	(4,680,000)
Forest and Land Resources	15,146,000	(1,808,000)	0	0
Operations	9,922,000	0	0	0
Solid and Hazardous Waste Management	41,336,000	(555,000)	0	0
Total	192,896,000	11,396,700	0	(67,830,000)

# ENVIRONMENTAL CONSERVATION

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	1,867,900	1,675,000	(192,900)
Total	<u>1,867,900</u>	<u>1,675,000</u>	<u>(192,900)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Air and Water Quality Management			
General Fund	936,900	744,000	(192,900)
Solid and Hazardous Waste Management			
General Fund	931,000	931,000	0
Total	<u>1,867,900</u>	<u>1,675,000</u>	<u>(192,900)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Marine Resources				
Federal Capital Projects Fund	5,700,000	5,000,000	(700,000)	14,242,000
Air Resources - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	6,346,000
Environmental Quality Bond Act Fund				
Environmental Quality Bond Act Fund - 1986	0	0	0	81,736,000
Water Resources - PWBA				
Capital Projects Fund - PWBA (Bondable)	0	0	0	8,469,000
Solid Waste Management				
Capital Projects Fund	50,000	0	(50,000)	2,460,000
Capital Projects Fund - Advances	0	0	0	1,240,000
Federal Capital Projects Fund	0	0	0	24,885,000
Environmental Protection and Enhancements				
Environmental Protection Fund	0	0	0	16,990,000
Environment and Recreation				
Environmental Protection Fund	134,000,000	134,000,000	0	803,135,000
Fish and Wildlife				
Capital Projects Fund	1,000,000	1,000,000	0	6,186,000
Federal Capital Projects Fund	3,000,000	0	(3,000,000)	5,278,000
Hudson River Habitat Restor. Fund	0	0	0	351,000
Lands and Forests				
Capital Projects Fund	1,300,000	1,000,000	(300,000)	31,330,000
Federal Capital Projects Fund	0	4,000,000	4,000,000	3,846,000
Forest Preserve Expansion Fund	0	0	0	110,000
Water Resources - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	4,593,000
Air Resources				
Clean Air Fund	0	0	0	3,951,000
Administration				
Capital Projects Fund	600,000	500,000	(100,000)	11,328,000
Environmental Quality Protection Bond Fund				
Environmental Quality Protection Bond Fund	0	0	0	29,913,000
Clean Water/Clean Air Bond Fund				
Clean Water - Clean Air Bond Fund	0	0	0	285,522,000
Pure Waters Bond Fund				
Pure Waters Bond Fund	0	0	0	24,557,000
Recreation				
Capital Projects Fund	500,000	0	(500,000)	2,954,000
Cap Proj Fund - DEC Regular (Auth Bonds)	0	0	0	3,594,000
Solid Waste Management - EQBA				
Capital Projects Fund - EQBA (Bondable)	0	0	0	9,449,000

# ENVIRONMENTAL CONSERVATION

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Operations				
Capital Projects Fund	11,050,000	11,000,000	(50,000)	45,980,000
Cap Proj Fund - DEC Regular (Auth Bonds)	12,000,000	12,000,000	0	36,000,000
Natural Resource Damages Fund	0	0	0	21,193,000
Financial Security Fund	0	0	0	1,134,000
Water Resources				
Capital Projects Fund	2,334,000	3,334,000	1,000,000	25,826,000
Capital Projects Fund - Advances	0	0	0	13,821,000
Cap Proj Fund - State Revolving Fund (Auth Bonds)	29,600,000	35,000,000	5,400,000	111,211,000
Cap Proj Fund - Onondaga Lake (Auth Bonds)	5,000,000	0	(5,000,000)	35,000,000
Federal Capital Projects Fund	148,000,000	175,000,000	27,000,000	556,055,000
Federal Stimulus	0	0	0	328,129,000
Air Quality - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	0	0	0	28,752,000
Clean Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	0	0	0	148,091,000
Solid Waste - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	0	0	0	8,172,000
Environmental Restoration - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	0	0	0	85,975,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund	0	0	0	6,841,000
Solid and Hazardous Waste Management - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)	342,000	0	(342,000)	65,184,000
Solid and Hazardous Waste Management				
Capital Projects Fund - Advances	0	0	0	27,967,000
Cap Proj Fund - DEC Regular (Auth Bonds)	0	0	0	22,579,000
Hazardous Waste Remedial Fund - Oversight & Assessment	12,250,000	10,000,000	(2,250,000)	115,714,000
Hazardous Waste Remedial Fund - Cleanup	120,000,000	120,000,000	0	490,237,000
Total	<u>486,726,000</u>	<u>511,834,000</u>	<u>25,108,000</u>	<u>3,556,326,000</u>

# **ENVIRONMENTAL FACILITIES CORPORATION**

## **MISSION**

The Environmental Facilities Corporation (EFC) is a public benefit corporation that promotes environmental quality by providing low cost financing and technical assistance to municipalities, businesses and State agencies for environmental and public health projects in New York State.

EFC's largest program is the Clean Water State Revolving Fund (CWSRF). This program, administered jointly with the Department of Environmental Conservation (DEC), provides reduced interest rate financing to municipalities for infrastructure projects that control water pollution. EFC, in conjunction with the New York State Department of Health, also administers the Drinking Water State Revolving Fund (DWSRF), which provides reduced interest rate financing and grants to community and private water systems for safe drinking water projects. A Federal grant and corresponding State match provide funding for these programs. The Clean Water/Clean Air Bond Act provides a State match for the DWSRF. Administration of these programs is also supported with a portion of the Federal Capitalization Grant and fees charged on financings.

EFC also administers other funding programs including the Industrial Finance Program and the Clean Vessel Assistance Program (in conjunction with DEC). In addition, technical assistance is provided through its New York City Watershed Programs and Small Business Environmental Assistance Program.

## **ORGANIZATION AND STAFFING**

A seven-member Board of Directors governs the Corporation. Ex-officio board members include the Commissioner of the Department of Environmental Conservation, who serves as the Board Chair, the Commissioner of the Department of Health, and the Secretary of State. The four remaining board members serve six-year terms and require nomination by the Governor and confirmation by the Senate. The Board of Directors appoints the Corporation President and Corporate Officers.

## **BUDGET HIGHLIGHTS**

Corporate operations are funded by:

- Financing fees and annual fees charged to recipients that receive Revolving Fund loans and a portion of State and Federal grants made for the Clean Water and Drinking Water programs; and
- User fees paid by businesses, municipalities, and industrial clients for the Corporation's technical and financial services.

The Executive Budget recommends **\$12.7 million** for EFC, made up entirely of non-General Fund spending. This is a continuation of 2010-11 enacted budget levels. In addition, State funds are included in the DEC and Department of Health's capital budgets for the required match to Federal funding for the CWSRF and DWSRF programs.

EFC will continue to provide approximately \$3.5 million for DEC employees who are assigned administratively to the Corporation.

## **ENVIRONMENTAL FACILITIES**

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### **PROGRAM HIGHLIGHTS**

EFC currently administers four major programs: the Clean Water State Revolving Fund (CWSRF), the Drinking Water State Revolving Fund (DWSRF), the Industrial Finance Program (IFP) and the Technical Advisory Services Program (TAS).

The American Recovery and Reinvestment Act of 2009 (ARRA) allocated \$433 million for the CWSRF and \$87 million for the DWSRF. The ARRA funding supported 45 CWSRF ARRA projects, 16 DWSRF ARRA projects and 49 Green Innovation ARRA grants, over and above EFC's conventional Federal funding. The ARRA projects will receive 50 percent of the project costs as a low-cost loan and the remaining 50 percent as principal forgiveness.

### **CLEAN WATER STATE REVOLVING FUND PROGRAM**

This program was established in 1989 to help municipalities comply with the Federal Clean Water Act by providing low-interest rate financings to build or upgrade water pollution control facilities. Since 1989, the program has received Federal and State appropriations totaling \$3.2 billion and \$633 million, respectively. The State Revolving Fund has made financings totaling \$15.3 billion to 511 recipients across the State. Interest rates range from as low as zero percent to no more than two-thirds of the market rate. These low-interest rate financings substantially reduce the cost of water pollution control projects for borrowers, making environmental compliance and protection more attainable.

### **DRINKING WATER STATE REVOLVING FUND PROGRAM**

In 1996, Congress enacted Federal legislation authorizing the Drinking Water State Revolving Fund program. This program, modeled after the Clean Water State Revolving Fund program, provides reduced interest rate financings to community and private water systems to finance safe drinking water projects. In cases of financial hardship, funds are also available from the Clean Water/Clean Air Bond Act to make grants for the construction of drinking water facilities. The Drinking Water Program has made loans and grants totaling \$2.7 billion to 342 recipients across the State. Federal funding provided for the Drinking Water State Revolving Fund requires a 20 percent State match. Since 1996, the program has received Federal and State appropriations totaling \$738 million and \$265 million, respectively. The State's share of the Drinking Water State Revolving Fund is provided from the Clean Water/Clean Air Bond Act.

### **INDUSTRIAL FINANCE PROGRAM**

Since 1976, the Industrial Finance Program has provided more than \$2.7 billion in low-interest rate loans to businesses and State agencies for environmental improvement projects. Projects eligible for loans include solid waste management facilities, hazardous waste management facilities, and water supply and wastewater management facilities. Loans under the program are financed from the proceeds of special obligation revenue bonds issued by the Corporation.

## ENVIRONMENTAL FACILITIES

### TECHNICAL ADVISORY SERVICES PROGRAM

The Technical Advisory Services Program advises businesses, industrial clients, State agencies, and municipalities on pollution prevention, waste management, and compliance with environmental laws and regulations. The Corporation also provides fund management and loan and grant servicing to its clients. The Environmental Facilities Corporation addresses such issues as air pollution control and compliance, multi-media waste management, inactive hazardous waste site remediation, water and wastewater management, and solid waste management and landfill closure. This program is funded by fees paid by Corporation clients who contract for these services.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	12,310,000	12,310,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	343,000	343,000	0	1,991,000
Total	<u>12,653,000</u>	<u>12,653,000</u>	<u>0</u>	<u>1,991,000</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
Special Revenue Funds - Other	88	88	0
Total	<u>88</u>	<u>88</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	12,310,000	12,310,000	0
Total	<u>12,310,000</u>	<u>12,310,000</u>	<u>0</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	12,310,000	12,310,000	0
Total	<u>12,310,000</u>	<u>12,310,000</u>	<u>0</u>

# ENVIRONMENTAL FACILITIES

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	12,310,000	0	7,429,000	0
Total	12,310,000	0	7,429,000	0

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Administration	4,881,000	0
Total	4,881,000	0

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Pipeline for Jobs Program				
Capital Projects Fund - Authority Bonds	0	0	0	1,305,000
Clean Water - Clean Air Implementation				
Clean Water Clean Air Implementation Fund	343,000	343,000	0	686,000
Total	343,000	343,000	0	1,991,000

# EXECUTIVE CHAMBER

## MISSION

The Executive Chamber is the Office of the Governor and includes the immediate staff that assists the Governor in managing State government.

## ORGANIZATION AND STAFFING

The Office of the Governor is located in the State Capitol in Albany and also has offices in New York City and Washington, D.C. This budget represents programs directly related to the Governor's Office and is supported by General Fund revenues.

## BUDGET HIGHLIGHTS

The Executive Budget recommends **\$17.9 million** All Funds (\$17.8 million General Fund; \$90,000 Other Funds) for the Executive Chamber. Appropriations in 2011-12 have decreased by almost **\$2 million (-10 percent)** from 2010-11, with reductions in both personal and non-personal service. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

ALL FUNDS APPROPRIATIONS (dollars)				
Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	19,938,000	17,944,000	(1,994,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	19,938,000	17,944,000	(1,994,000)	0

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Executive Chamber		
General Fund	136	136	0
Total	136	136	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	19,838,000	17,854,000	(1,984,000)
Special Revenue Funds - Other	100,000	90,000	(10,000)
Total	19,938,000	17,944,000	(1,994,000)

# EXECUTIVE CHAMBER

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

Program	Available 2010-11	Recommended 2011-12	Change
Executive Chamber			
General Fund	19,838,000	17,854,000	(1,984,000)
Special Revenue Funds - Other	100,000	90,000	(10,000)
Total	<u>19,938,000</u>	<u>17,944,000</u>	<u>(1,994,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Executive Chamber	13,371,000	(1,485,000)	13,011,000	(1,445,000)
Total	<u>13,371,000</u>	<u>(1,485,000)</u>	<u>13,011,000</u>	<u>(1,445,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Executive Chamber	180,000	(20,000)	180,000	(20,000)
Total	<u>180,000</u>	<u>(20,000)</u>	<u>180,000</u>	<u>(20,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Chamber	4,483,000	(499,000)	180,000	(20,000)
Total	<u>4,483,000</u>	<u>(499,000)</u>	<u>180,000</u>	<u>(20,000)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Chamber	450,000	(50,000)	3,673,000	(409,000)
Total	<u>450,000</u>	<u>(50,000)</u>	<u>3,673,000</u>	<u>(409,000)</u>

Program	Equipment	
	Amount	Change
Executive Chamber	180,000	(20,000)
Total	<u>180,000</u>	<u>(20,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Executive Chamber	90,000	(10,000)	90,000	(10,000)
Total	<u>90,000</u>	<u>(10,000)</u>	<u>90,000</u>	<u>(10,000)</u>

# OFFICE OF THE LIEUTENANT GOVERNOR

The Office of the Lieutenant Governor, in addition to other projects, is responsible for assisting the Governor in leading the new regional economic development councils that will coordinate and integrate State agency responses with local government and business activities to create jobs.

The Executive Budget recommends **\$630,000** in General Funds for the Office of the Lieutenant Governor. Appropriations in 2011-12 have decreased by **\$70,000 (-10 percent)** from 2010-11, with reductions in both personal and non-personal service. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	700,000	630,000	(70,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>700,000</u>	<u>630,000</u>	<u>(70,000)</u>	<u>0</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	7	7	0
Total	<u>7</u>	<u>7</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	700,000	630,000	(70,000)
Total	<u>700,000</u>	<u>630,000</u>	<u>(70,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	700,000	630,000	(70,000)
Total	<u>700,000</u>	<u>630,000</u>	<u>(70,000)</u>

# LIEUTENANT GOVERNOR

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	495,000	(55,000)	488,000	(54,000)
Total	495,000	(55,000)	488,000	(54,000)

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	4,000	(700)	3,000	(300)
Total	4,000	(700)	3,000	(300)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	135,000	(15,000)	9,000	(1,000)
Total	135,000	(15,000)	9,000	(1,000)

  

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	27,000	(3,000)	81,000	(9,000)
Total	27,000	(3,000)	81,000	(9,000)

  

Program	Equipment	
	Amount	Change
Administration	18,000	(2,000)
Total	18,000	(2,000)

# **OFFICE OF CHILDREN AND FAMILY SERVICES**

## **MISSION**

The Office of Children and Family Services (OCFS) was established in 1998 to strengthen services for and promote the well-being and safety of children and families.

## **ORGANIZATION AND STAFFING**

The Office is headquartered in Rensselaer with regional offices throughout the State. These offices provide operational support and policy direction to local social services districts and youth bureaus. OCFS operates residential facilities (including secure, limited secure, non secure and community residential home programs) and day placement programs statewide, with the capacity to serve 833 youth, projected, by the end of 2011-12.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$3.7 billion** All Funds (\$2 billion General Fund; \$1.7 billion Other Funds) for the Office of Children and Family Services. This is a net decrease of **\$167.6 million (-4.3 percent)** (\$173.2 million General Fund decrease; \$5.5 million Other Funds increase) from the 2010-11 budget. This net change primarily reflects reductions to non-core programs. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major budget actions include:

- **Preserve Open-ended Funding for Child Welfare Services:** The centerpiece of the child welfare financing system is the provision of 62 percent State reimbursement for preventive and child protective services. In order to preserve this funding source, the Executive Budget discontinues funding for the child welfare quality program, which supports services related to improving child welfare services. In addition, OCFS will expand the collection and distribution of information to local social services districts outside of New York City. This information will allow local districts to assess performance and make more informed decisions when contracting for preventive and foster care services.
- **Utilize Federal Title XX Funding to Support Child Welfare Services:** Currently, districts are allocated \$102 million annually in Federal Title XX funding, of which the State requires that \$66 million be used to offset the State and local cost of the Adult Protective and Domestic Violence Services program. The 2011-12 Executive Budget would shift the remaining \$36 million in Title XX funds from mainly discretionary services to reduce the 62 percent State and 38 percent local share of child welfare services. In doing this, the State generates \$22 million in savings and reduces by \$14 million the direct cost to districts for providing such services. Districts would lose \$36 million of discretionary Title XX funds.
- **Create the Primary Prevention Incentive Program:** This new \$35 million program (growing to \$42 million in 2012-13) would support Statewide front-end prevention services. Primary Prevention Incentive Program funding would be allocated to local social services districts on a competitive basis, and would

## CHILDREN AND FAMILY SERVICES

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support locally administered strategies that improve performance in youth services. This proposal would provide \$35 million in net savings in 2011-12 by partially replacing funding for a number of existing OCFS programs.

➤ **Juvenile Justice Reform:**

- **Right-Size Youth Facility Capacity:** The 2011-12 Executive Budget reflects \$22 million in net savings from the closure and downsizing of OCFS facilities. These actions are consistent with declining population trends in OCFS facilities, which has led to system-wide utilization rates of only 50 percent. These actions will reduce OCFS facility jobs by a net 371 annual salaried positions and youth facility capacity by 376 beds.
- **Improve OCFS Facility Operations:** In 2010-11, OCFS began implementing improved medical, mental health and direct care services and increased staff to youth ratios in four youth facilities. The Executive Budget includes \$13.5 million for improvements in the remaining facilities in 2011-12. This investment will improve services in all OCFS facilities and outcomes for youth as they return to their home communities. This action will increase staff in the youth facility program by 414.
- **Establish the Supervision and Treatment Services for Juveniles Program:** This program will provide funding (\$31.4 million in 2011-12 growing to \$48.3 million in 2012-13) to local governments to support performance focused, community based alternatives to placing youth in costly State youth facilities and local detention centers.
- **Eliminate the Alternatives to Detention/Residential Placement Program:** The Executive Budget eliminates \$2.2 million in funding for programs that offer community based services to youth as an alternative to institutional placement. Enhanced funding levels will be supported through the new Supervision and Treatment Services for Juveniles Program.
- **Establish a Capped Detention Program.** The Executive Budget provides \$15 million to support 50 percent of local detention costs for high-risk youth who pose a risk to public safety. Low risk youth will be served in programs supported with funding from the new Supervision and Treatment Services for Juveniles Program.
- **Eliminate Open Ended Funding for Local Secure and Non Secure Detention:** The Executive Budget eliminates 49 percent state reimbursement for local secure and non secure detention effective July 1, 2011. Local detention costs for high risk youth will be supported through the new capped Detention Program that will provide stronger incentives for local governments to implement effective community-based programs that will generate long-term state and local savings, and better serve youth.

➤ **Maintain the Foster Care Block Grant:** The 2011-12 Executive Budget maintains funding for the Foster Care Block grant at \$436 million. Under the block grant, savings that result from reduced use of foster care can be reinvested in locally-designed child welfare initiatives that strengthen preventive services or better serve high-needs children.

➤ **Maintain the Bridges to Health Program:** The Bridges to Health Home and Community-Based Medicaid Waiver Program, designed to enhance services to foster care children with multiple needs and prevent them from entering institutional care, was reauthorized by the Federal government for five years starting in 2011. The State will continue to support 3,305 slots for this program.

## **CHILDREN AND FAMILY SERVICES**

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- **Implement Child Care Unionization Agreements:** In October 2009, the State reached agreements with the Civil Service Employees Association and the United Federation of Teachers, the unions that represent home based child care providers. The 2011-12 Executive Budget includes \$5 million in appropriations pursuant to the agreements for quality improvement grants for home-based child care providers.
- **Align Adoption Subsidy Reimbursement Percentage with Preventive Services:** The Adoption Subsidy Program is designed to maintain permanent homes for youth in foster care that cannot return to the care of their biological parents. Monthly subsidies are paid to adoptive parents to support the special needs of handicapped and hard-to-place children in foster care. The current State share, net of available Federal funding, is 73.5 percent. This proposal would reduce the State share to 62 percent, in order to align cost shares with preventive services, which are designed to prevent foster care placements.
- **Better Align Committee on Special Education (CSE) Funding Responsibility:** OCFS oversees the maintenance (room and board) costs of students who are placed in residential schools by a CSE when the child's needs cannot be met in the school district. Educational determinations that result in residential placements are made by a school district's CSE. Currently, the maintenance cost shares are split between the State (36.8 percent), the local social services districts (43.2 percent) and the school districts (20 percent). This proposal would better align costs with the entity that makes determinations of placement for children by shifting the State share of costs to the school district. This would result in State savings of \$69.3 million. This action should also incentivize school districts to find more effective and less costly ways to better serve these children in their schools and community.
- **Eliminate the Human Services COLA:** This action would eliminate the projected 1.2 percent cost of living adjustment scheduled to take effect in 2011-12 for savings of \$13 million. This recommendation would impact the following human services programs: Adoption, Foster Care, Committee on Special Education, Office of Mental Health Home and Community Based Services Waiver, Bridges to Health Medicaid Waiver and New York/New York III.
- **Eliminate Child Welfare Quality Funding:** This action would eliminate supplemental programs and initiatives designed to improve the quality of child welfare services including demonstration projects, training and program evaluations.
- **Require a \$60 Fee for Child Abuse and Maltreatment Background Checks through the Statewide Central Registrar (SCR):** The Executive Budget proposes to increase the fee for child abuse and maltreatment clearance checks from \$5 to \$60 for individuals who currently pay for clearances and impose a \$60 fee on individuals who are currently exempt from the fee. Fees will be applied to those obtaining a clearance check for employment purposes. The proposed fee modifications would generate \$12 million in revenue.
- **Additional Agency Reductions:** The Executive Budget recommends an additional reduction to OCFS State operations of \$21.4 million. The agency will achieve these savings through reductions to personal service and non-personal service costs.

## **CHILDREN AND FAMILY SERVICES**

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### **PROGRAM HIGHLIGHTS**

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

OCFS also oversees a variety of programs serving the State's most needy and vulnerable adult residents. Programs include oversight of locally administered adult protective services and programs providing services to victims of domestic violence, including emergency shelters and community-based crisis intervention.

### **CHILD CARE**

The Office's Child Care Block Grant supports child care subsidies for public assistance and low-income families. Subsidized child care is guaranteed for public assistance recipients with children up to age 13 when such care is required for the parent/guardian to engage in work activities. Families transitioning from welfare to work are guaranteed subsidized child care for up to 12 months after leaving public assistance. The State also provides subsidized child care to families at risk of becoming dependent on public assistance.

### **YOUTH FACILITIES**

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

### **CHILD ABUSE HOTLINE**

The Office operates the State Central Register Child Abuse Hotline, which is expected to receive over 370,000 calls reporting alleged child maltreatment or abuse in 2011-12. The State initiates investigations of these allegations, which are conducted by county protective services staff and/or local law enforcement agencies. The Register maintains a master database of those found culpable of child abuse so that employers, such as day care centers, can screen out potential employees with a history of child abuse.

# CHILDREN AND FAMILY SERVICES

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	534,363,700	529,200,000	(5,163,700)	394,358,500
Aid To Localities	3,301,424,700	3,138,976,300	(162,448,400)	3,146,117,624
Capital Projects	37,675,000	37,675,000	0	155,454,000
Total	<u>3,873,463,400</u>	<u>3,705,851,300</u>	<u>(167,612,100)</u>	<u>3,695,930,124</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Central Administration		
General Fund	274	274	0
Special Revenue Funds - Federal	2	8	6
Child Care			
Special Revenue Funds - Federal	232	232	0
Commission for the Blind and Visually Handicapped			
General Fund	10	10	0
Special Revenue Funds - Federal	139	139	0
Special Revenue Funds - Other	1	1	0
Family and Children Services			
General Fund	475	475	0
Special Revenue Funds - Federal	57	57	0
Special Revenue Funds - Other	2	2	0
Maintenance & Improvement of Youth Facilities			
Capital Projects Funds - Other	7	7	0
Systems Support			
General Fund	137	137	0
Training and Development			
Special Revenue Funds - Other	56	56	0
Youth Facilities			
General Fund	1,959	2,373	414
Total	<u>3,351</u>	<u>3,771</u>	<u>420</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	287,088,000	283,251,000	(3,837,000)
Special Revenue Funds - Federal	142,165,700	140,836,000	(1,329,700)
Special Revenue Funds - Other	104,535,000	104,538,000	3,000
Enterprise Funds	475,000	475,000	0
Internal Service Funds	100,000	100,000	0
Total	<u>534,363,700</u>	<u>529,200,000</u>	<u>(5,163,700)</u>

# CHILDREN AND FAMILY SERVICES

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

Program	Available 2010-11	Recommended 2011-12	Change
Central Administration			
General Fund	30,308,000	27,277,000	(3,031,000)
Special Revenue Funds - Federal	6,528,000	528,000	(6,000,000)
Special Revenue Funds - Other	3,534,000	3,534,000	0
Internal Service Funds	100,000	100,000	0
Child Care			
Special Revenue Funds - Federal	49,583,700	51,254,000	1,670,300
Commission for the Blind and Visually Handicapped			
General Fund	9,098,000	8,188,000	(910,000)
Special Revenue Funds - Federal	32,503,000	32,503,000	0
Special Revenue Funds - Other	1,919,000	1,920,000	1,000
Departmental Administrative Reimbursement			
General Fund	(27,990,000)	(27,992,000)	(2,000)
Special Revenue Funds - Other	34,490,000	34,492,000	2,000
Family and Children Services			
General Fund	43,884,000	39,497,000	(4,387,000)
Special Revenue Funds - Federal	22,958,000	25,958,000	3,000,000
Special Revenue Funds - Other	1,343,000	1,343,000	0
Systems Support			
General Fund	56,968,000	57,697,000	729,000
Special Revenue Funds - Federal	30,593,000	30,593,000	0
Special Revenue Funds - Other	10,000,000	10,000,000	0
Training and Development			
General Fund	5,887,000	5,299,000	(588,000)
Special Revenue Funds - Other	53,249,000	53,249,000	0
Enterprise Funds	200,000	200,000	0
Youth Facilities			
General Fund	168,933,000	173,285,000	4,352,000
Enterprise Funds	275,000	275,000	0
Total	<u>534,363,700</u>	<u>529,200,000</u>	<u>(5,163,700)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Central Administration	21,217,000	(2,357,000)	20,832,000	(2,314,000)
Commission for the Blind and Visually Handicapped	1,673,000	(186,000)	1,661,000	(185,000)
Departmental Administrative Reimbursement	(27,992,000)	(2,000)	(27,992,000)	(2,000)
Family and Children Services	27,883,000	(3,097,000)	25,543,000	(2,837,000)
Systems Support	9,855,000	(1,095,000)	9,701,000	(1,079,000)
Youth Facilities	102,887,000	(18,915,000)	91,563,000	(16,897,000)
Total	<u>135,523,000</u>	<u>(25,652,000)</u>	<u>121,308,000</u>	<u>(23,314,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Central Administration	311,000	(35,000)	74,000	(8,000)
Commission for the Blind and Visually Handicapped	0	0	12,000	(1,000)
Departmental Administrative Reimbursement	0	0	0	0
Family and Children Services	0	0	2,340,000	(260,000)
Systems Support	0	0	154,000	(16,000)
Youth Facilities	3,051,000	(491,000)	8,273,000	(1,527,000)
Total	<u>3,362,000</u>	<u>(526,000)</u>	<u>10,853,000</u>	<u>(1,812,000)</u>

# CHILDREN AND FAMILY SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	6,060,000	(674,000)	468,000	(52,000)
Commission for the Blind and Visually Handicapped	6,515,000	(724,000)	8,000	(1,000)
Family and Children Services	11,614,000	(1,290,000)	323,000	(36,000)
Systems Support	47,842,000	1,824,000	336,000	(37,000)
Training and Development	5,299,000	(588,000)	0	0
Youth Facilities	70,398,000	23,267,000	9,439,000	(1,030,000)
Total	<u>147,728,000</u>	<u>21,815,000</u>	<u>10,574,000</u>	<u>(1,156,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	185,000	(21,000)	4,577,000	(509,000)
Commission for the Blind and Visually Handicapped	0	0	6,507,000	(723,000)
Family and Children Services	304,000	(34,000)	10,928,000	(1,214,000)
Systems Support	177,000	(19,000)	45,971,000	2,031,000
Training and Development	0	0	5,299,000	(588,000)
Youth Facilities	408,000	(45,000)	15,808,000	(1,725,000)
Total	<u>1,074,000</u>	<u>(119,000)</u>	<u>89,090,000</u>	<u>(2,728,000)</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Central Administration	830,000	(92,000)	0	0
Commission for the Blind and Visually Handicapped	0	0	0	0
Family and Children Services	59,000	(6,000)	0	0
Systems Support	1,358,000	(151,000)	0	0
Training and Development	0	0	0	0
Youth Facilities	435,000	(47,000)	44,308,000	26,114,000
Total	<u>2,682,000</u>	<u>(296,000)</u>	<u>44,308,000</u>	<u>26,114,000</u>

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Central Administration	4,162,000	(6,000,000)	251,000	215,000
Child Care	51,254,000	1,670,300	16,780,000	16,780,000
Commission for the Blind and Visually Handicapped	34,423,000	1,000	8,849,000	8,799,000
Departmental Administrative Reimbursement	34,492,000	2,000	27,992,000	2,000
Family and Children Services	27,301,000	3,000,000	8,167,000	8,056,000
Systems Support	40,593,000	0	0	0
Training and Development	53,449,000	0	5,557,000	0
Youth Facilities	275,000	0	0	0
Total	<u>245,949,000</u>	<u>(1,326,700)</u>	<u>67,596,000</u>	<u>33,852,000</u>

  

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Administration	3,911,000	313,000	0	(6,528,000)
Child Care	34,474,000	34,474,000	0	(49,583,700)
Commission for the Blind and Visually Handicapped	25,574,000	23,705,000	0	(32,503,000)
Departmental Administrative Reimbursement	6,500,000	0	0	0
Family and Children Services	19,134,000	8,491,000	0	(13,547,000)
Systems Support	10,000,000	10,000,000	30,593,000	(10,000,000)
Training and Development	47,692,000	0	200,000	0
Youth Facilities	275,000	0	0	0
Total	<u>147,560,000</u>	<u>76,983,000</u>	<u>30,793,000</u>	<u>(112,161,700)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	1,886,087,400	1,716,768,300	(169,319,100)
Special Revenue Funds - Federal	1,396,535,300	1,406,865,000	10,329,700
Special Revenue Funds - Other	18,802,000	15,343,000	(3,459,000)
Total	<u>3,301,424,700</u>	<u>3,138,976,300</u>	<u>(162,448,400)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Child Care			
General Fund	142,351,700	144,351,700	2,000,000
Special Revenue Funds - Federal	310,416,300	308,746,000	(1,670,300)
Special Revenue Funds - Other	343,000	343,000	0
Family and Children Services			
General Fund	1,738,919,900	1,567,600,800	(171,319,100)
Special Revenue Funds - Federal	1,066,900,000	1,078,900,000	12,000,000
Special Revenue Funds - Other	18,459,000	15,000,000	(3,459,000)
Training and Development			
General Fund	4,815,800	4,815,800	0
Special Revenue Funds - Federal	19,219,000	19,219,000	0
Total	<u>3,301,424,700</u>	<u>3,138,976,300</u>	<u>(162,448,400)</u>

# CHILDREN AND FAMILY SERVICES

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Design and Construction Supervision				
Youth Facilities Improvement Fund	7,000,000	7,000,000	0	15,139,000
Maintenance and Improvement of Facilities				
Capital Projects Fund	1,825,000	1,825,000	0	9,930,000
Youth Facilities Improvement Fund	18,850,000	18,850,000	0	81,331,000
Executive Direction and Administrative Services				
Misc. Capital Projects	0	0	0	2,120,000
Program Improvement or Program Change				
Youth Facilities Improvement Fund	10,000,000	10,000,000	0	41,621,000
Youth Center				
Capital Projects Fund	0	0	0	5,313,000
Total	37,675,000	37,675,000	0	155,454,000

# **OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE**

## **MISSION**

The Office of Temporary and Disability Assistance (OTDA), working in close collaboration with the Office of Children and Family Services and other agencies, helps low-income households achieve economic self-sufficiency through work, job training and the provision of supportive services that help avert welfare dependency. OTDA also provides economic assistance to aged and disabled persons who are unable to work.

## **ORGANIZATION AND STAFFING**

The Office of Temporary and Disability Assistance is headed by a Commissioner, who is appointed by the Governor subject to confirmation by the Senate. OTDA has its central office in Albany and three major field offices throughout the State. These offices provide direct operational support, supervision and guidance to the State's 58 local social services districts, which include each county and New York City. Social services districts are responsible for directly administering most public assistance programs, including those that serve the homeless and refugees.

Agency staff also provide legal, audit and computer systems support. Through its Disability Determinations Program, the agency evaluates the medical eligibility of disability claimants for Supplemental Security Income (SSI) and Social Security Disability Insurance (SSDI).

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$5.6 billion** All Funds (\$1.4 billion General Fund; \$4.2 billion Other Funds) for OTDA. This is a decrease of **\$367.8 million** (-6.2 percent) from the 2010-11 budget (\$48.5 million General Fund increase (3.7 percent); \$416.3 million Other Funds decrease (-9 percent)).

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major budget actions include:

- **Fully Finance Family Assistance with Federal Funding:** Under current practice, households on public assistance for fewer than five years are financed utilizing Federal, State and local dollars. The Executive Budget maximizes the usage of Federal funds by using Temporary Assistance for Needy Families (TANF) dollars to pay for the full benefit costs of such households, thereby reducing the State and local shares of public assistance benefit costs.
- **Delay the 2011 Public Assistance Grant Increase:** The 2009-10 Enacted Budget increased the basic allowance portion of the public assistance grant by 10 percent a year for three consecutive years, starting in July 2009. The 2011-12 Budget delays, until July 2012, the final grant increase which is scheduled for July 2011. The State will continue to assume the local share of the previously implemented grant increases through March 31, 2012.

## **TEMPORARY AND DISABILITY ASSISTANCE**

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- **Reduce Reimbursement for New York City Adult Homeless Shelters:** The Executive Budget caps reimbursement for the New York City adult homeless shelter system at \$69 million, a reduction of \$15.68 million from the 2010-11 level.
- **Eliminate State Funding for the New York City Work Advantage Program:** In addition to the public assistance grant, the State contributes to a shelter supplement program that allows local social services districts to provide an enhanced shelter allowance for those households either at-risk for eviction or already residing in homeless shelters. The 2011-12 Budget ceases funding for the New York City Work Advantage shelter supplement program.
- **Strengthen Compliance with Public Assistance Work Requirements:** Benefit payments to public assistance cases in which the head of the household is out of compliance with work requirements are reduced by the portion of the grant attributable to the head of the household. The 2011-12 Executive Budget withholds a family's entire benefit in the second and subsequent instances in which the head of the household does not comply with employment requirements.

### **PROGRAM HIGHLIGHTS**

#### **PUBLIC ASSISTANCE PROGRAM**

The Federal Personal Responsibility and Work Opportunity Reconciliation Act of 1996 replaced the old welfare program, Aid to Families with Dependent Children, with the Temporary Assistance for Needy Families (TANF) program – a capped block grant program with both a mandatory recipient work requirement and a five-year time limit provision for cash assistance. The New York State public assistance program is comprised of two populations: *Family Assistance Households* – who are on assistance for under five years and are thus eligible for federal reimbursement; and *Safety Net Households* – who are ineligible for federal reimbursement either because they are families who have exhausted their five-year federal limit for cash assistance or because they are single adults or childless couples. By evolving from an entitlement program focused on determining eligibility to a work-focused program that seeks to develop individual responsibility while reducing dependence on public assistance, welfare reform efforts have decreased the public assistance caseload by over 1 million individuals since 1995.

#### **STATE SUPPLEMENTAL SECURITY INCOME PROGRAM**

The Federal SSI program, which is administered by the Social Security Administration (SSA), provides monthly cash benefits to people with limited income and resources who are elderly (age 65 or older), blind, or disabled. In New York State, most SSI recipients receive both a Federal benefit and an additional State supplement. The amount of State supplementation, like the Federal benefit, is established by law and varies by living arrangement, with most recipients residing in the “living alone” category.

## **TEMPORARY AND DISABILITY ASSISTANCE**

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### **FOOD STAMP PROGRAM**

The Food Stamp program is a federally mandated program that seeks to improve the nutritional level of low-income households by supplementing their ability to purchase food items. Food stamp benefits are fully funded by the Federal government, which also shares in the administrative cost of implementing the program, including benefit issuance, fraud prevention, outreach, and employment and training activities. The Food Stamp program was initially authorized by the Food Stamp Act of 1977 but was reauthorized through the Food, Conservation and Energy Act of 2008 which also changed the name of the Federal program to the Supplemental Nutrition Assistance Program (SNAP). Legislation has not yet been enacted at the State level to change the name of the program to SNAP; as such its formal State title remains the Food Stamp program. In addition to outreach efforts, programmatic and administrative initiatives such as the *Working Families Food Stamp Initiative* (which mitigated some of the eligibility requirements for working families) and *myBenefits* (an online tool which helps in the enrollment process) have increased the number of food stamp recipients to approximately 3 million individuals.

### **HOME ENERGY ASSISTANCE PROGRAM**

The Federal Low Income Home Energy Assistance Program (LIHEAP) helps eligible households meet the cost of home energy. Unlike the public assistance and food stamp programs, HEAP is not an entitlement program. Benefits are contingent upon the availability of Federal funding and are only authorized during the program period, which, in New York, typically runs from the beginning of November until mid-May. Households receiving public assistance, food stamp benefits, or SSI are categorically eligible for HEAP, whereas other households must apply and be deemed income eligible. In addition to benefit payments, the Federal HEAP grant also funds administrative activities associated with implementing the HEAP program, as well as weatherization activities which reduce energy usage in residential units occupied by low-income households.

### **CHILD SUPPORT ENFORCEMENT PROGRAM**

The Child Support Enforcement Program, established in 1975 as Title IV-D of the Social Security Act, requires all states to enact laws and implement procedures for the establishment of paternity and the establishment, enforcement and collection of support. In an effort to reduce child poverty and maximize child well-being, activities undertaken since welfare reform have strengthened child support enforcement procedures to ensure that non-custodial parents provide for the economic well-being of their children. Recent improvements in the child support program include automated updating of child support awards to reflect inflation; improved customer services through website access of account information; interstate reciprocity in child support proceedings; and administrative authority for social services districts to order genetic tests, subpoena information and collect relevant data from Federal, State and local agencies.

## TEMPORARY AND DISABILITY ASSISTANCE

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	471,292,000	472,292,000	1,000,000	278,625,000
Aid To Localities	5,433,457,700	5,064,674,000	(368,783,700)	3,597,097,900
Capital Projects	30,000,000	30,000,000	0	104,851,000
Total	<u>5,934,749,700</u>	<u>5,566,966,000</u>	<u>(367,783,700)</u>	<u>3,980,573,900</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	7	7	0
Special Revenue Funds - Federal	65	65	0
Special Revenue Funds - Other	268	268	0
Internal Service Funds	4	4	0
Child Well Being Program			
Special Revenue Funds - Federal	59	59	0
Special Revenue Funds - Other	25	25	0
Disability Determinations Program			
Special Revenue Funds - Federal	1,071	1,071	0
Employment and Economic Support Program			
General Fund	3	3	0
Special Revenue Funds - Federal	146	146	0
Special Revenue Funds - Other	79	79	0
Information Technology Program			
General Fund	11	11	0
Special Revenue Funds - Federal	40	40	0
Special Revenue Funds - Other	118	118	0
Legal Affairs			
General Fund	112	112	0
Special Revenue Funds - Other	175	175	0
Specialized Services Program			
General Fund	21	21	0
Special Revenue Funds - Federal	23	23	0
Special Revenue Funds - Other	21	21	0
Total	<u>2,248</u>	<u>2,248</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	63,116,000	56,804,000	(6,312,000)
Special Revenue Funds - Federal	250,359,000	275,086,000	24,727,000
Special Revenue Funds - Other	156,618,000	139,203,000	(17,415,000)
Internal Service Funds	1,199,000	1,199,000	0
Total	<u>471,292,000</u>	<u>472,292,000</u>	<u>1,000,000</u>

# TEMPORARY AND DISABILITY ASSISTANCE

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	11,934,000	10,741,000	(1,193,000)
Special Revenue Funds - Federal	8,919,000	9,410,000	491,000
Special Revenue Funds - Other	37,519,000	35,908,000	(1,611,000)
Internal Service Funds	1,199,000	1,199,000	0
Child Well Being Program			
General Fund	2,400,000	2,160,000	(240,000)
Special Revenue Funds - Federal	17,375,000	39,900,000	22,525,000
Special Revenue Funds - Other	24,170,000	12,524,000	(11,646,000)
Disability Determinations Program			
Special Revenue Funds - Federal	170,544,000	169,631,000	(913,000)
Special Revenue Funds - Other	3,280,000	0	(3,280,000)
Employment and Economic Support Program			
General Fund	3,674,000	3,306,000	(368,000)
Special Revenue Funds - Federal	17,900,000	20,600,000	2,700,000
Special Revenue Funds - Other	10,479,000	5,785,000	(4,694,000)
Information Technology Program			
General Fund	29,913,000	26,920,000	(2,993,000)
Special Revenue Funds - Federal	31,500,000	31,500,000	0
Special Revenue Funds - Other	66,618,000	68,919,000	2,301,000
Legal Affairs			
General Fund	13,063,000	11,758,000	(1,305,000)
Special Revenue Funds - Other	12,520,000	14,034,000	1,514,000
Specialized Services Program			
General Fund	2,132,000	1,919,000	(213,000)
Special Revenue Funds - Federal	4,121,000	4,045,000	(76,000)
Special Revenue Funds - Other	2,032,000	2,033,000	1,000
Total	<u>471,292,000</u>	<u>472,292,000</u>	<u>1,000,000</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	1,835,000	(203,000)	1,508,000	(167,000)
Child Well Being Program	270,000	(30,000)	270,000	(30,000)
Employment and Economic Support Program	721,000	(80,000)	644,000	(72,000)
Information Technology Program	556,000	(62,000)	556,000	(62,000)
Legal Affairs	7,744,000	(860,000)	7,330,000	(814,000)
Specialized Services Program	1,592,000	(177,000)	1,557,000	(173,000)
Total	<u>12,718,000</u>	<u>(1,412,000)</u>	<u>11,865,000</u>	<u>(1,318,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	226,000	(25,000)	101,000	(11,000)
Child Well Being Program	0	0	0	0
Employment and Economic Support Program	0	0	77,000	(8,000)
Information Technology Program	0	0	0	0
Legal Affairs	0	0	414,000	(46,000)
Specialized Services Program	0	0	35,000	(4,000)
Total	<u>226,000</u>	<u>(25,000)</u>	<u>627,000</u>	<u>(69,000)</u>

## TEMPORARY AND DISABILITY ASSISTANCE

### STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	8,906,000	(990,000)	99,000	(11,000)
Child Well Being Program	1,890,000	(210,000)	0	0
Employment and Economic Support Program	2,585,000	(288,000)	16,000	(2,000)
Information Technology Program	26,364,000	(2,931,000)	52,000	14,000
Legal Affairs	4,014,000	(445,000)	113,000	(12,000)
Specialized Services Program	327,000	(36,000)	11,000	(1,000)
Total	44,086,000	(4,900,000)	291,000	(12,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	261,000	(29,000)	8,231,000	(915,000)
Child Well Being Program	0	0	1,890,000	(210,000)
Employment and Economic Support Program	77,000	(9,000)	2,474,000	(275,000)
Information Technology Program	42,000	5,000	25,244,000	18,646,000
Legal Affairs	167,000	(18,000)	3,428,000	(381,000)
Specialized Services Program	95,000	(10,000)	213,000	(24,000)
Total	642,000	(61,000)	41,480,000	16,841,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	315,000	(35,000)	0	0
Child Well Being Program	0	0	0	0
Employment and Economic Support Program	18,000	(2,000)	0	0
Information Technology Program	1,026,000	956,000	0	(22,552,000)
Legal Affairs	306,000	(34,000)	0	0
Specialized Services Program	8,000	(1,000)	0	0
Total	1,673,000	884,000	0	(22,552,000)

### STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	46,517,000	(1,120,000)	24,456,000	(611,000)
Child Well Being Program	52,424,000	10,879,000	9,599,000	1,011,000
Disability Determinations Program	169,631,000	(4,193,000)	83,000,000	282,000
Employment and Economic Support Program	26,385,000	(1,994,000)	15,517,000	(2,560,000)
Information Technology Program	100,419,000	2,301,000	16,445,000	2,301,000
Legal Affairs	14,034,000	1,514,000	13,534,000	1,014,000
Specialized Services Program	6,078,000	(75,000)	3,562,000	297,000
Total	415,488,000	7,312,000	166,113,000	1,734,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	22,061,000	(509,000)	0	0
Child Well Being Program	42,825,000	9,868,000	0	0
Disability Determinations Program	86,631,000	(4,475,000)	0	0
Employment and Economic Support Program	10,868,000	566,000	0	0
Information Technology Program	83,974,000	0	0	0
Legal Affairs	500,000	500,000	0	0
Specialized Services Program	2,516,000	278,000	0	(650,000)
Total	249,375,000	6,228,000	0	(650,000)

## **TEMPORARY AND DISABILITY ASSISTANCE**

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

<b>Fund Type</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
General Fund	1,249,887,700	1,304,707,000	54,819,300
Special Revenue Funds - Federal	4,143,670,000	3,720,067,000	(423,603,000)
Special Revenue Funds - Other	29,900,000	29,900,000	0
Fiduciary Funds	10,000,000	10,000,000	0
Total	<u>5,433,457,700</u>	<u>5,064,674,000</u>	<u>(368,783,700)</u>

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

<b>Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Child Well Being Program			
General Fund	34,760,000	34,760,000	0
Special Revenue Funds - Federal	146,200,000	110,000,000	(36,200,000)
Employment and Economic Support Program			
General Fund	1,096,952,000	1,161,652,000	64,700,000
Special Revenue Funds - Federal	3,961,970,000	3,574,567,000	(387,403,000)
Special Revenue Funds - Other	20,000,000	20,000,000	0
Fiduciary Funds	10,000,000	10,000,000	0
Specialized Services Program			
General Fund	118,175,700	108,295,000	(9,880,700)
Special Revenue Funds - Federal	35,500,000	35,500,000	0
Special Revenue Funds - Other	9,900,000	9,900,000	0
Total	<u>5,433,457,700</u>	<u>5,064,674,000</u>	<u>(368,783,700)</u>

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Supported Housing Program				
Housing Program Fund	30,000,000	30,000,000	0	104,851,000
Total	<u>30,000,000</u>	<u>30,000,000</u>	<u>0</u>	<u>104,851,000</u>

# **DEPARTMENT OF FINANCIAL REGULATION**

## **MISSION**

The new Department of Financial Regulation (DFR) harnesses the regulatory powers and expertise of the Banking and Insurance Departments, as well as the Consumer Protection Board, to make the State's oversight of financial services responsive to the 21st century needs of the industry and its consumers. This new State agency, created pursuant to legislation submitted as part of the 2011-12 Executive Budget, consolidates the functions, operations and staff of the Banking and Insurance Departments, along with related segments of the Consumer Protection Board, into a single State agency.

Consolidation of these agencies and activities within a single agency platform will afford the State the ability to unify the State's regulation of financial services and to more rapidly and adroitly respond to changing market practices and consumer preferences, thereby ensuring the industry's continued integrity while shielding consumers from abuses. In addition to enhancing and refining the State's regulatory oversight of the industry, the consolidation will provide the State with the opportunity to reduce overall spending by rightsizing the new agency's administrative and overhead activities in order to ensure that available State moneys are more effectively focused upon DFR's core regulatory mission.

## **ORGANIZATION AND STAFFING**

The Superintendent of the Department of Financial Regulation will be appointed by the Governor, with the consent of the Senate. The Department's main offices will be located in Albany and New York City with smaller offices located throughout the State. The Department's activities will be carried out through three programs: Administration, Regulation and Consumer Protection.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$564 million** in Special Revenue Funds for the Department of Financial Regulation, reflecting a net increase of approximately **\$6.4 million (1.1 percent)** over the combined 2010-11 budgets of Banking and Insurance (because of the manner in which the Consumer Protection Board will be merged into the new Department, there is no comparable 2010-11 budget figure). This increase reflects annualized adjustments related to personal service costs, accommodates expenditures necessary to effectuate full consolidation of the two departments, and provides additional resources that will allow the Department to perform more onsite examinations of insurance companies. Increasing onsite examinations will result in savings to the insurance industry by reducing costly direct-pay examinations for which insurers contract with outside vendors to fulfill regulatory requirements.

The Department of Financial Regulation's operations will be primarily funded through assessments charged to regulated insurance and banking institutions and organizations. The remainder of the Department's operating budget will be derived from various fees, such as those paid by entities applying for licensure or charter. Of the recommended \$564 million, the Department's operating budget totals \$550 million and the remaining \$14 million is an appropriation to support the State Transmitter of Money Insurance Fund, which protects moneys that New Yorkers electronically transfer via commercial third parties.

## **DEPARTMENT OF FINANCIAL REGULATION**

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### **PROGRAM HIGHLIGHTS**

The Department's main responsibilities will be carried out through two major programs: regulation and consumer protection.

#### **REGULATION**

To ensure the safety and soundness of all regulated entities, the Department will monitor banks, insurance companies and other financial institutions to identify problems and will work with management to promptly solve them. The Department will carry out this responsibility through annual on-site examinations, regular review of institutional financial reports, and periodic site visits.

#### **CONSUMER PROTECTION**

To ensure that State-chartered banking institutions are complying with State laws and regulations and that no individuals are unfairly denied credit, Department employees will conduct consumer compliance examinations and resolve consumer complaints. Staff will monitor whether institutions are helping to meet the credit and banking needs of local communities as required by various State laws.

The Department will strive for the fair treatment of insurance policyholders, 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 will promote high standards of industry conduct and competence through testing, oversight, and pre-licensing and enforcing educational standards of licensees.

The Department will proactively educate consumers regarding unscrupulous financial industry practices and products and will advocate on behalf of consumers who have been defrauded or harmed by such abuses.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	331,968,555	338,430,823	6,462,268	2,523,000
Aid To Localities	225,566,000	225,566,000	0	4,200,000
Capital Projects	0	0	0	0
Total	<u>557,534,555</u>	<u>563,996,823</u>	<u>6,462,268</u>	<u>6,723,000</u>

# DEPARTMENT OF FINANCIAL REGULATION

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
Special Revenue Funds - Other	0	186	186
Consumer Protection			
Special Revenue Funds - Other	0	198	198
Regulation			
Special Revenue Funds - Other	0	1,154	1,154
Total	0	1,538	1,538

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	150,000	0	(150,000)
Special Revenue Funds - Federal	1,000,000	0	(1,000,000)
Special Revenue Funds - Other	330,818,555	338,430,823	7,612,268
Total	331,968,555	338,430,823	6,462,268

Adjustments:

Transfer(s) From			
Banking Department			
Special Revenue Funds - Federal	(1,000,000)		
Special Revenue Funds - Other	(105,194,000)		
Insurance Department			
General Fund	(150,000)		
Special Revenue Funds - Other	(225,624,555)		
Appropriated 2010-11	0		

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	41,329,176	42,063,146	733,970
Consumer Protection			
Special Revenue Funds - Other	19,059,984	20,840,607	1,780,623
Regulation			
General Fund	150,000	0	(150,000)
Special Revenue Funds - Federal	1,000,000	0	(1,000,000)
Special Revenue Funds - Other	270,429,395	275,527,070	5,097,675
Total	331,968,555	338,430,823	6,462,268

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Regulation	0	(120,000)	0	(120,000)
Total	0	(120,000)	0	(120,000)

# DEPARTMENT OF FINANCIAL REGULATION

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Regulation	0	(30,000)	0	(30,000)
Total	0	(30,000)	0	(30,000)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	42,063,146	733,970	17,077,151	421,578
Consumer Protection	20,840,607	1,780,623	13,215,287	1,498,237
Regulation	275,527,070	4,097,675	132,177,590	35,020,342
Total	338,430,823	6,612,268	162,470,028	36,940,157

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	24,985,995	312,392	0	0
Consumer Protection	7,625,320	282,386	0	0
Regulation	143,349,480	50,261,375	0	(81,184,042)
Total	175,960,795	50,856,153	0	(81,184,042)

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	225,566,000	225,566,000	0
Total	225,566,000	225,566,000	0

Adjustments:

Transfer(s) From	
Banking Department	
Special Revenue Funds - Other	(850,000)
Insurance Department	
Special Revenue Funds - Other	(224,716,000)
Appropriated 2010-11	0

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	850,000	850,000	0
Regulation			
Special Revenue Funds - Other	224,716,000	224,716,000	0
Total	225,566,000	225,566,000	0

# **OFFICE OF GENERAL SERVICES**

## **MISSION**

The mission of the Office of General Services (OGS) is to manage and lease real property, design and build facilities, contract for goods and services, and deliver a wide array of essential support services. In its effort to support cost-effective operations and responsible public stewardship, the Office seeks to provide State agencies, local governments and nonprofit organizations with innovative solutions, integrated service, and best values. As OGS influences the spending of approximately \$6 billion in public funds, the Office continually strives to increase efficiencies and improve service.

## **ORGANIZATION AND STAFFING**

OGS is headed by a Commissioner, who is appointed by the Governor subject to Senate confirmation. The agency is organized into four major business units: Real Property Management and Development; Design and Construction; Procurement Services; and Administration. These units are under the direction of an Executive group which includes the Commissioner's Office, Public Information, Legal Services, Organizational Effectiveness, and Internal Audit.

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommends **\$546.2 million** in All Funds spending (\$128.9 million General Fund; \$300.7 million Internal Service Fund; \$84 million Capital Projects; and \$32.6 million Other Funds) to support ongoing agency activities. This is a decrease of **\$31.4 million (-5.4 percent)** All Funds (\$14.3 million General Fund; \$14 million Capital Projects; and \$3.1 million Other Funds) from the 2010-11 Enacted Budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

### **EXECUTIVE DIRECTION**

This program provides the day-to-day management of the Office, assists State agencies with acquisition of vehicle insurance, administers financing for the State equipment purchasing program, coordinates the centralized purchase of electricity from the Power Authority of the State of New York, manages a donated foods program for local school districts and food pantries, and provides administrative services to several other State agencies.

### **REAL PROPERTY MANAGEMENT AND DEVELOPMENT**

This program is responsible for the safe and efficient operation of approximately 53 major and 79 ancillary State-owned and operated buildings. Services provided by this program include building management, operation, maintenance, cleaning, security, and renovation projects for facilities encompassing approximately 20.8 million interior gross

## **GENERAL SERVICES**

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square feet with a replacement value estimated at nearly \$ 7 billion. This program also manages food services, parking lots and garages, and cultural events at various State facilities.

Real Estate Planning and Development is responsible for negotiating leased space and determining space requirements for State agencies, the disposition of real property, and other real estate services and analysis.

### **PROCUREMENT SERVICES**

The Procurement Services program maintains more than 2,500 centralized contracts available to State agencies as well as other public and nonprofit entities. Other programmatic responsibilities include administering New York State Preferred Source contracts, providing technical assistance in public procurement mechanisms and offering best values.

### **DESIGN AND CONSTRUCTION**

The design and construction program provides architectural, engineering, planning, and design and construction management services to State agencies operating State-owned facilities. The program has turned its focus to enhancing green technology practices, including energy efficiency, the use of renewable energy sources wherever feasible, and the utilization of environmentally friendly material in all new construction and rehabilitation projects it undertakes for its State agency clients.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	479,582,000	462,212,000	(17,370,000)	16,967,000
Aid To Localities	0	0	0	0
Capital Projects	98,000,000	84,000,000	(14,000,000)	334,346,000
Total	<u>577,582,000</u>	<u>546,212,000</u>	<u>(31,370,000)</u>	<u>351,313,000</u>

# GENERAL SERVICES

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Design and Construction			
Internal Service Funds	384	384	0
Executive Direction			
General Fund	89	89	0
Internal Service Funds	21	21	0
Procurement Program			
General Fund	128	128	0
Special Revenue Funds - Other	14	14	0
Internal Service Funds	42	45	3
Real Property Management and Development			
General Fund	604	604	0
Special Revenue Funds - Other	50	50	0
Enterprise Funds	10	10	0
Internal Service Funds	29	29	0
Total	1,371	1,374	3

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	143,172,000	128,912,000	(14,260,000)
Special Revenue Funds - Federal	11,340,000	8,230,000	(3,110,000)
Special Revenue Funds - Other	21,591,000	21,591,000	0
Enterprise Funds	2,009,000	2,009,000	0
Internal Service Funds	300,720,000	300,720,000	0
Fiduciary Funds	750,000	750,000	0
Total	479,582,000	462,212,000	(17,370,000)
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(66,000)		
Appropriated 2010-11	479,516,000		

# GENERAL SERVICES

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

Program	Available 2010-11	Recommended 2011-12	Change
Curatorial Services Program			
General Fund	66,000	0	(66,000)
Fiduciary Funds	750,000	750,000	0
Design and Construction			
Internal Service Funds	64,548,000	64,548,000	0
Executive Direction			
General Fund	13,065,000	11,876,000	(1,189,000)
Special Revenue Funds - Other	818,000	818,000	0
Enterprise Funds	89,000	89,000	0
Internal Service Funds	188,440,000	188,440,000	0
Procurement Program			
General Fund	11,447,000	10,302,000	(1,145,000)
Special Revenue Funds - Federal	11,340,000	8,230,000	(3,110,000)
Special Revenue Funds - Other	4,903,000	4,903,000	0
Internal Service Funds	24,669,000	24,669,000	0
Real Property Management and Development			
General Fund	118,594,000	106,734,000	(11,860,000)
Special Revenue Funds - Other	15,870,000	15,870,000	0
Enterprise Funds	1,920,000	1,920,000	0
Internal Service Funds	23,063,000	23,063,000	0
Total	<u>479,582,000</u>	<u>462,212,000</u>	<u>(17,370,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Curatorial Services Program	0	(66,000)	0	(66,000)
Executive Direction	5,636,000	(626,000)	5,608,000	(623,000)
Procurement Program	8,918,000	(991,000)	8,891,000	(988,000)
Real Property Management and Development	35,791,000	(3,977,000)	32,251,000	(3,583,000)
Total	<u>50,345,000</u>	<u>(5,660,000)</u>	<u>46,750,000</u>	<u>(5,260,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Curatorial Services Program	0	0	0	0
Executive Direction	0	0	28,000	(3,000)
Procurement Program	0	0	27,000	(3,000)
Real Property Management and Development	2,221,000	(247,000)	1,319,000	(147,000)
Total	<u>2,221,000</u>	<u>(247,000)</u>	<u>1,374,000</u>	<u>(153,000)</u>

# GENERAL SERVICES

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	6,240,000	(563,000)	85,000	(9,000)
Procurement Program	1,384,000	(154,000)	28,000	(4,000)
Real Property Management and Development	70,943,000	(7,883,000)	6,577,000	(730,000)
Total	<u>78,567,000</u>	<u>(8,600,000)</u>	<u>6,690,000</u>	<u>(743,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	39,000	(4,000)	6,057,000	632,000
Procurement Program	39,000	(4,000)	1,257,000	(140,000)
Real Property Management and Development	109,000	(13,000)	63,768,000	(7,085,000)
Total	<u>187,000</u>	<u>(21,000)</u>	<u>71,082,000</u>	<u>(6,593,000)</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Executive Direction	59,000	(7,000)	0	(1,175,000)
Procurement Program	60,000	(6,000)	0	0
Real Property Management and Development	489,000	(55,000)	0	0
Total	<u>608,000</u>	<u>(68,000)</u>	<u>0</u>	<u>(1,175,000)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Curatorial Services Program	750,000	0	0	0
Design and Construction	64,548,000	0	28,628,000	0
Executive Direction	189,347,000	0	2,201,000	0
Procurement Program	37,802,000	(3,110,000)	4,499,000	0
Real Property Management and Development	40,853,000	0	6,596,000	0
Total	<u>333,300,000</u>	<u>(3,110,000)</u>	<u>41,924,000</u>	<u>0</u>

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Curatorial Services Program	750,000	0	0	0
Design and Construction	35,920,000	0	0	0
Executive Direction	187,146,000	90,000,000	0	(90,000,000)
Procurement Program	33,303,000	0	0	(3,110,000)
Real Property Management and Development	34,257,000	0	0	0
Total	<u>291,376,000</u>	<u>90,000,000</u>	<u>0</u>	<u>(93,110,000)</u>

# GENERAL SERVICES

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Design and Construction Supervision				
Capital Projects Fund	12,766,000	13,166,000	400,000	34,003,000
Maintenance and Improvement of Real Property				
Facilities				
Capital Projects Fund	58,284,000	37,734,000	(20,550,000)	258,201,000
Capital Projects Fund - Advances	0	0	0	856,000
Capital Projects Fund - Authority Bonds	16,000,000	33,100,000	17,100,000	39,286,000
Sustainability				
Capital Projects Fund - Authority Bonds	10,950,000	0	(10,950,000)	2,000,000
Total	<u>98,000,000</u>	<u>84,000,000</u>	<u>(14,000,000)</u>	<u>334,346,000</u>

# **DEPARTMENT OF HEALTH**

## **MISSION**

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

- Promoting and supervising public health activities throughout the State;
- Ensuring high quality medical care in a sound and cost effective manner for all residents;
- Reducing infectious diseases such as food and waterborne illnesses, hepatitis, HIV, meningitis, sexually transmitted infections, tuberculosis, vaccine-preventable diseases and chronic disabling illnesses such as heart disease, cancer, stroke and respiratory diseases; and
- Directing a variety of emergency preparedness initiatives in response to statewide and local epidemic outbreaks. As part of this mission, the Department works with the State's health care community to ensure appropriate readiness and response to potential public health threats.

The Department of Health is also the principal State agency that interacts with the Federal and local governments, health care providers and program participants for the State's Medicaid program. In addition, the Office of Health Insurance Programs is responsible for developing and implementing strategies to improve access to health insurance coverage for the uninsured and providing for an integrated approach to oversight and administration of the Medicaid program to strengthen coordination within the Department and among State agencies.

## **ORGANIZATION AND STAFFING**

Under the direction of the Commissioner, who is appointed by the Governor subject to Senate confirmation, the Department of Health meets its responsibilities through the Office of Health Insurance Programs, the Office of Long Term Care, the centers located in the Office of Public Health, and the Office of Health Systems Management. The Executive Budget centralizes all General Fund State Operations funding within the Administration Program in order to provide greater flexibility for the Commissioner to redesign agency operations. The Office of Health Insurance Programs administers the State's Medicaid program, which is the largest insurance program in the nation covering 4.8 million people and including the Family Health Plus, Child Health Plus and Elderly Pharmaceutical Insurance Coverage programs, as well as the Health Care Reform Act (HCRA). The Office of Long Term Care oversees the integration of planning and program development, inspection, and quality assurance for services related to long term care. The Office of Public Health, the Office of Health Systems Management, and the Office of Long Term Care are responsible for providing policy and management direction to the Department's system of regional offices. Department staff located in regional offices conduct health facility surveillance, monitor public health, provide direct services and oversee county health department activities.

Additionally, the Department is responsible for five health care facilities that are engaged in patient care: the Helen Hayes Hospital in West Haverstraw, which offers specialty rehabilitation services, and four nursing homes for the care of veterans and their dependents in Oxford, New York City, Batavia and Montrose. In early 1999, responsibility for the operations of the Roswell Park Cancer Institute was transferred to a

## **HEALTH**

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public benefit corporation, the Roswell Park Cancer Institute Corporation, pursuant to an operating agreement between the Corporation and the Department. This has provided Roswell with the flexibility needed to compete more effectively in a changing health care environment.

### **BUDGET HIGHLIGHTS**

#### **MEDICAID**

Despite years of attempts at cost containment, Medicaid spending has continued to grow at an unsustainable rate, while failing to deliver the quality outcomes that New Yorkers deserve. Governor Cuomo is advancing a new and inclusive approach that will bring New Yorkers into the process of developing proposals to provide critical health care services at lower costs. The Executive Budget reflects savings anticipated from the proposals of the Medicaid Redesign Team, established pursuant to Executive Order Number Five. The team's 27 voting members bring vast experience as health care providers, consumers and industry experts to address the challenges of refocusing our health care system to provide quality care at lower costs. They will conduct a comprehensive review of New York's Medicaid Program and report their findings and recommendations for cost reductions to the Governor by March 1, 2011 for consideration in the budget negotiation process. The Executive Budget assumes that the Medicaid Redesign Team will identify initiatives to reduce State Funds Medicaid spending by \$2.85 billion in 2011-12 and limit Medicaid Program State Funds growth to the 10-year rolling average of the medical care component of the Consumer Price Index.

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

In 2011-12, General Fund appropriations will finance 18 percent of the Department of Health's total budget of \$5.6 billion, after excluding Medicaid and HCRA program costs. Other revenue sources – including: reimbursement for patient care provided at the Department's health care facilities; regulatory fees and audit recoveries; management fees for hospital and nursing home construction projects financed through bond proceeds; and registration, testing and certification fees for various public health services – support 30 percent of the Department of Health's budget, including the Professional Medical Conduct Program, clinical and environmental laboratory certification activities, and health care facilities' operating costs. The remaining 52 percent is provided by Federal grants.

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

Major budget actions include:

- **Early Intervention:** The Executive Budget includes \$165 million for the State share of Early Intervention (EI), which provides services to infants and toddlers under the age of three who have developmental delays. Savings are derived from requiring large EI providers to directly bill Medicaid; increasing program reimbursement from commercial insurance; modifying service and service coordination rates; recovering overpayment for Medicaid transportation; revising

## HEALTH

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- rates for updated regional cost variations; and applying a 10 percent across-the-board rate cut. These actions generate savings, including Medicaid, of \$20.5 million in 2011-12.
- **General Public Health Work:** The Executive Budget includes \$319 million for the General Public Health Work (GPHW) Program to reimburse counties for various services. Reimbursement for the General Public Health Work program will be limited to basic services and reimbursement for all optional services will be discontinued. Optional services currently funded include: Medical Examiners, Early Intervention Service Coordination, Dental Services, Home Health Services, Long Term Care, Emergency Medical Services, Other Environmental Services, Radioactive Materials Licensing, Radioactive Equipment Inspection, and Housing Hygiene.
  - **Elderly Pharmaceutical Insurance Coverage (EPIC) Program:** The Executive Budget includes \$230.5 million for EPIC to serve approximately 298,600 senior citizens. Effective January 1, 2012, EPIC will only provide payment for drugs when an enrollee has entered into the Medicare Part D coverage gap. Additionally, effective July 1, 2011, EPIC enrollees will be responsible for paying their Part D premiums or their full deductible.
  - **Local Competitive Performance Grant Program/Elimination of Dedicated Funding for Various Public Health Programs:** The Executive Budget creates a new local competitive performance grant program by reinvesting half of the savings associated with reducing support for various programs including: Audit of Resident Teaching Programs; Brain Trauma Foundation; Cardiac Services; Eating Disorders; Falls Prevention; Health Promotion Initiatives; Infertility Program; Interim Lead Safe Housing; Latino Outreach Program; Long Term Care Community Coalition; Maternal Mortality Review & Safe Motherhood Initiative; Maternity and Early Childhood Foundation; Medicaid Collaborative Studies; Minority Male Wellness; Office of Minority Health; Osteoporosis Prevention; Public Awareness Campaign for Donor Registry Letter; Public Health Genomics; Public Health Management Leaders of Tomorrow; Quality Improvement; Racial Disparities Study; Statewide Health Broadcasts; Sudden Infant Death Syndrome; Tick-Borne Disease; Minority Participation in Medical Education Program – CUNY Gateway Institute; Minority Participation in Medical Education Program – SUNY Upstate Medical; and the Workforce Studies Program as well as the prior year COLA associated with these programs.
  - **Cancer Services Reductions:** The Executive Budget reduces funding for non-direct care components of the cancer services program by \$0.65 million.
  - **Roswell Park Cancer Institute:** The Executive Budget recommends nearly \$70 million for the Roswell Park Cancer Institute from HCRA, including anti-tobacco funding of \$5.4 million. This represents a 10 percent decrease from the prior year value.
  - **State Operations:** The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

### **PROGRAM HIGHLIGHTS**

#### **MEDICAID**

Medicaid was established in 1965 by the Federal government as a health insurance program for the poor. In addition to the federally mandated services – inpatient and outpatient hospital care, nursing facility care, physician services, home health care, family planning, and laboratory and x-ray services – New York also provides almost all federally permissible optional services.

#### **PUBLIC HEALTH**

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

The Wadsworth Center for Laboratories and Research assists the Department in accomplishing its public health mission. Testing programs conducted by the Wadsworth Laboratories address public health concerns such as HIV, tuberculosis, drinking water, environmental contamination and genetic disorders in newborns. The newborn screening program tests for 45 disorders, making New York State a national leader in the area of newborn testing. Ongoing research, largely funded by external grants, is carried out for public health problems such as AIDS, West Nile virus, cancer and the toxic effects of chemical substances and radiation. The Wadsworth Center regulates nearly 700 environmental laboratories and more than 1,800 clinical laboratories and patient service centers to ensure testing quality, and the public's health and safety.

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

#### **HEALTH SYSTEMS MANAGEMENT AND LONG TERM CARE**

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

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## HEALTH INSURANCE PROGRAMS

The Department is responsible for setting Medicaid reimbursement rates for hospitals, nursing homes, home health agencies and diagnostic and treatment centers, as well as oversight of the HCRA surcharges and assessments, is overseen by the Office of Health Insurance Programs.

**ALL FUNDS  
APPROPRIATIONS  
(dollars)**

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	2,160,078,287	2,244,123,100	84,044,813	2,549,564,200
Aid To Localities	55,880,582,790	53,885,720,290	(1,994,862,500)	26,378,567,800
Capital Projects	497,783,000	90,433,000	(407,350,000)	1,357,171,000
Total	<u>58,538,444,077</u>	<u>56,220,276,390</u>	<u>(2,318,167,687)</u>	<u>30,285,303,000</u>

# HEALTH

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration Program			
General Fund	99	1,914	1,815
Special Revenue Funds - Federal	46	46	0
Special Revenue Funds - Other	209	209	0
AIDS Institute			
General Fund	144	0	(144)
Child Health Insurance			
Special Revenue Funds - Other	38	38	0
Community Health			
General Fund	23	0	(23)
Special Revenue Funds - Federal	486	486	0
Special Revenue Funds - Other	108	108	0
Elderly Pharmaceutical Insurance Coverage			
Special Revenue Funds - Other	26	26	0
Environmental Health			
General Fund	94	0	(94)
Special Revenue Funds - Federal	101	101	0
Special Revenue Funds - Other	66	66	0
Capital Projects Funds - Other	80	80	0
Health Care Financing			
General Fund	60	0	(60)
Special Revenue Funds - Other	61	61	0
Health Insurance Programs, Office of			
General Fund	346	0	(346)
Special Revenue Funds - Federal	56	56	0
Special Revenue Funds - Other	1	1	0
Health Systems Management, Office of			
General Fund	199	0	(199)
Special Revenue Funds - Other	238	238	0
Institution Management			
Special Revenue Funds - Other	1,510	1,510	0
Long Term Care, Office of			
General Fund	316	0	(316)
Laboratories and Research			
General Fund	368	0	(368)
Special Revenue Funds - Federal	59	59	0
Special Revenue Funds - Other	193	193	0
Managed Care and Program Evaluation, Division of			
General Fund	128	0	(128)
Total	5,055	5,192	137

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

# HEALTH

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
General Fund	284,576,500	244,615,000	(39,961,500)
Special Revenue Funds - Federal	1,335,200,200	1,480,570,000	145,369,800
Special Revenue Funds - Other	540,291,587	518,938,100	(21,353,487)
Enterprise Funds	10,000	0	(10,000)
Total	<u>2,160,078,287</u>	<u>2,244,123,100</u>	<u>84,044,813</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(247,000)		
Special Revenue Funds - Other	(364,000)		
Appropriated 2010-11	<u>2,159,467,287</u>		

# HEALTH

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration Program			
General Fund	32,400,200	244,615,000	212,214,800
Special Revenue Funds - Federal	10,338,200	10,670,000	331,800
Special Revenue Funds - Other	31,834,500	31,470,500	(364,000)
AIDS Institute			
General Fund	16,000,100	0	(16,000,100)
Child Health Insurance			
Special Revenue Funds - Federal	64,108,000	64,108,000	0
Special Revenue Funds - Other	15,333,400	15,333,400	0
Community Health			
General Fund	12,120,000	0	(12,120,000)
Special Revenue Funds - Federal	154,265,000	153,265,000	(1,000,000)
Special Revenue Funds - Other	4,760,000	4,760,000	0
Elderly Pharmaceutical Insurance Coverage			
Special Revenue Funds - Other	20,378,000	20,378,000	0
Environmental Health			
General Fund	10,311,900	0	(10,311,900)
Special Revenue Funds - Federal	18,184,000	18,184,000	0
Special Revenue Funds - Other	30,783,200	25,574,500	(5,208,700)
Health Care Financing			
General Fund	8,843,000	0	(8,843,000)
Special Revenue Funds - Other	9,501,700	9,501,700	0
Health Insurance Programs, Office of			
General Fund	85,608,400	0	(85,608,400)
Special Revenue Funds - Federal	969,814,000	1,018,914,000	49,100,000
Special Revenue Funds - Other	15,505,400	15,505,400	0
Health Systems Management, Office of			
General Fund	29,538,700	0	(29,538,700)
Special Revenue Funds - Federal	343,000	500,000	157,000
Special Revenue Funds - Other	58,929,500	58,929,500	0
Institution Management			
Special Revenue Funds - Other	158,118,787	142,338,000	(15,780,787)
Enterprise Funds	10,000	0	(10,000)
Long Term Care, Office of			
General Fund	46,770,700	0	(46,770,700)
Special Revenue Funds - Other	9,909,100	9,909,100	0
Laboratories and Research			
General Fund	43,924,000	0	(43,924,000)
Special Revenue Funds - Federal	12,929,000	12,929,000	0
Special Revenue Funds - Other	72,416,000	72,416,000	0
Maintenance Undistributed			
General Fund	(112,822,000)	0	112,822,000
Special Revenue Funds - Other	112,822,000	112,822,000	0
Managed Care and Program Evaluation, Division of			
General Fund	17,376,500	0	(17,376,500)
Medicaid Management Information System			
General Fund	94,505,000	0	(94,505,000)
Special Revenue Funds - Federal	105,219,000	202,000,000	96,781,000
Total	<u>2,160,078,287</u>	<u>2,244,123,100</u>	<u>84,044,813</u>

# HEALTH

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	136,466,000	127,050,000	133,608,000	124,252,000
AIDS Institute	0	(10,452,000)	0	(10,432,000)
Community Health	0	(2,763,000)	0	(2,743,000)
Environmental Health	0	(8,241,900)	0	(7,974,200)
Health Care Financing	0	(4,396,000)	0	(4,346,000)
Health Insurance Programs, Office of	0	(28,918,400)	0	(28,567,400)
Health Systems Management, Office of	0	(22,675,700)	0	(22,076,700)
Long Term Care, Office of	0	(25,095,700)	0	(24,159,700)
Laboratories and Research	0	(28,603,000)	0	(27,732,500)
Managed Care and Program Evaluation, Division of	0	(11,312,500)	0	(11,312,500)
Total	<u>136,466,000</u>	<u>(15,408,200)</u>	<u>133,608,000</u>	<u>(15,092,000)</u>

  

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	423,000	413,000	2,435,000	2,385,000
AIDS Institute	0	0	0	(20,000)
Community Health	0	0	0	(20,000)
Environmental Health	0	(243,700)	0	(24,000)
Health Care Financing	0	(10,000)	0	(40,000)
Health Insurance Programs, Office of	0	(1,000)	0	(350,000)
Health Systems Management, Office of	0	(53,000)	0	(546,000)
Long Term Care, Office of	0	(82,000)	0	(854,000)
Laboratories and Research	0	(70,000)	0	(800,500)
Managed Care and Program Evaluation, Division of	0	0	0	0
Total	<u>423,000</u>	<u>(46,700)</u>	<u>2,435,000</u>	<u>(269,500)</u>

# HEALTH

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	220,971,000	197,986,800	6,653,000	5,575,600
AIDS Institute	0	(5,548,100)	0	(1,333,881)
Community Health	0	(9,357,000)	0	(201,000)
Environmental Health	0	(2,070,000)	0	(101,000)
Health Care Financing	0	(4,447,000)	0	(99,000)
Health Insurance Programs, Office of	0	(56,690,000)	0	(536,000)
Health Systems Management, Office of	0	(6,863,000)	0	(186,000)
Long Term Care, Office of	0	(21,675,000)	0	(350,000)
Laboratories and Research	0	(15,321,000)	0	(3,352,000)
Managed Care and Program Evaluation, Division of	0	(6,064,000)	0	(156,000)
Medicaid Management Information System	0	(94,505,000)	0	0
Total	<u>220,971,000</u>	<u>(24,553,300)</u>	<u>6,653,000</u>	<u>(739,281)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	3,222,000	2,815,500	176,175,000	156,053,000
AIDS Institute	0	(311,700)	0	(3,224,000)
Community Health	0	(117,000)	0	(8,730,000)
Environmental Health	0	(374,400)	0	(1,494,000)
Health Care Financing	0	(40,000)	0	(4,258,000)
Health Insurance Programs, Office of	0	(823,000)	0	(27,500,000)
Health Systems Management, Office of	0	(237,000)	0	(5,966,000)
Long Term Care, Office of	0	(1,065,000)	0	(17,845,000)
Laboratories and Research	0	(76,000)	0	(6,588,000)
Managed Care and Program Evaluation, Division of	0	(130,000)	0	(5,518,000)
Medicaid Management Information System	0	0	0	(94,505,000)
Total	<u>3,222,000</u>	<u>(358,600)</u>	<u>176,175,000</u>	<u>(19,575,000)</u>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration Program	7,405,000	6,776,700	27,516,000	26,766,000
AIDS Institute	0	(228,519)	0	(450,000)
Community Health	0	(309,000)	0	0
Environmental Health	0	(100,600)	0	0
Health Care Financing	0	(50,000)	0	0
Health Insurance Programs, Office of	0	(831,000)	0	(27,000,000)
Health Systems Management, Office of	0	(201,000)	0	(273,000)
Long Term Care, Office of	0	(415,000)	0	(2,000,000)
Laboratories and Research	0	(5,305,000)	0	0
Managed Care and Program Evaluation, Division of	0	(160,000)	0	(100,000)
Medicaid Management Information System	0	0	0	0
Total	<u>7,405,000</u>	<u>(823,419)</u>	<u>27,516,000</u>	<u>(3,057,000)</u>

# HEALTH

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration Program	42,140,500	(32,200)	21,235,000	4,907,000
Child Health Insurance	79,441,400	0	33,845,400	30,772,000
Community Health	158,025,000	(1,000,000)	73,333,000	71,168,000
Elderly Pharmaceutical Insurance Coverage	20,378,000	0	2,109,600	0
Environmental Health	43,758,500	(5,208,700)	17,190,600	8,728,000
Health Care Financing	9,501,700	0	4,900,200	0
Health Insurance Programs, Office of	1,034,419,400	49,100,000	408,530,100	406,279,000
Health Systems Management, Office of	59,429,500	157,000	18,436,300	240,000
Institution Management	142,338,000	(15,790,787)	85,810,000	(9,540,706)
Long Term Care, Office of	9,909,100	0	1,504,300	0
Laboratories and Research	85,345,000	0	16,325,000	6,206,000
Medicaid Management Information System	202,000,000	96,781,000	0	0
Total	<u>1,886,686,100</u>	<u>124,006,313</u>	<u>683,219,500</u>	<u>518,759,294</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration Program	20,905,500	5,399,000	0	(10,338,200)
Child Health Insurance	45,596,000	33,336,000	0	(64,108,000)
Community Health	79,692,000	77,097,000	5,000,000	(149,265,000)
Elderly Pharmaceutical Insurance Coverage	18,043,400	0	225,000	0
Environmental Health	26,417,900	9,456,000	150,000	(23,392,700)
Health Care Financing	4,601,500	0	0	0
Health Insurance Programs, Office of	453,389,300	440,135,000	172,500,000	(797,314,000)
Health Systems Management, Office of	40,003,200	260,000	990,000	(343,000)
Institution Management	56,528,000	(6,250,081)	0	0
Long Term Care, Office of	8,404,800	0	0	0
Laboratories and Research	24,220,000	6,723,000	44,800,000	(12,929,000)
Medicaid Management Information System	0	0	202,000,000	96,781,000
Total	<u>777,801,600</u>	<u>566,155,919</u>	<u>425,665,000</u>	<u>(960,908,900)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	12,555,033,940	15,156,957,290	2,601,923,350
Special Revenue Funds - Federal	36,703,876,000	32,185,270,000	(4,518,606,000)
Special Revenue Funds - Other	6,621,672,850	6,543,493,000	(78,179,850)
Total	<u>55,880,582,790</u>	<u>53,885,720,290</u>	<u>(1,994,862,500)</u>

Adjustments:

Recommended Deficiency	
Health, Department of	
General Fund	(6,250,000)
Special Revenue Funds - Other	(52,000,000)
Appropriated 2010-11	<u>55,822,332,790</u>

# HEALTH

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration Program			
General Fund	561,000	0	(561,000)
AIDS Institute			
General Fund	23,651,850	23,651,850	0
Special Revenue Funds - Other	143,550,850	75,016,000	(68,534,850)*
Child Health Insurance			
Special Revenue Funds - Federal	514,600,000	514,600,000	0
Special Revenue Funds - Other	475,600,000	473,554,000	(2,046,000)
Community Health			
General Fund	671,434,490	690,819,840	19,385,350
Special Revenue Funds - Federal	900,856,000	893,417,000	(7,439,000)*
Special Revenue Funds - Other	129,707,600	71,719,600	(57,988,000)*
Elderly Pharmaceutical Insurance Coverage			
Special Revenue Funds - Other	380,350,000	210,090,000	(170,260,000)
Environmental Health			
General Fund	12,296,600	12,296,600	0
Special Revenue Funds - Federal	3,687,000	3,687,000	0
Health Care Financing			
General Fund	951,000	300,000	(651,000)
Health Care Reform Act Program			
Special Revenue Funds - Other	836,672,000	466,776,000	(369,896,000)*
Health Insurance Programs, Office of			
General Fund	1,391,200	0	(1,391,200)
Special Revenue Funds - Other	300,000,000	300,000,000	0
Health Systems Management, Office of			
General Fund	14,458,500	11,973,700	(2,484,800)
Special Revenue Funds - Federal	400,000	400,000	0
Long Term Care, Office of			
General Fund	25,234,300	24,865,300	(369,000)
Special Revenue Funds - Other	8,623,400	8,623,400	0
Laboratories and Research			
General Fund	871,000	871,000	0
Special Revenue Funds - Federal	3,682,000	3,682,000	0
Maintenance Undistributed			
General Fund	(7,288,000)	(7,288,000)	0
Special Revenue Funds - Other	7,288,000	7,288,000	0
Medical Assistance			
General Fund	11,160,222,000	13,725,717,000	2,565,495,000
Special Revenue Funds - Federal	34,629,401,000	30,095,734,000	(4,533,667,000)
Special Revenue Funds - Other	4,339,881,000	4,930,426,000	590,545,000
Medical Assistance Administration			
General Fund	651,250,000	673,750,000	22,500,000
Special Revenue Funds - Federal	651,250,000	673,750,000	22,500,000
Total	<u>55,880,582,790</u>	<u>53,885,720,290</u>	<u>(1,994,862,500)</u>

\*Includes additional appropriations authorized in the 2010-11 emergency bills and not rescinded in the enacted budget.

# HEALTH

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Health Care Efficiency and Affordability Law for New Yorkers				
Capital Projects Fund	217,000,000	0	(217,000,000)	609,468,000
Capital Projects Fund - Advances	108,000,000	0	(108,000,000)	457,905,000
Laboratories and Research				
Capital Projects Fund	8,000,000	8,000,000	0	31,875,000
Capital Projects Fund - Authority Bonds	0	0	0	5,000,000
Maintenance and Improvements of Existing Institutions				
Capital Projects Fund	7,600,000	7,600,000	0	25,296,000
Water Resources				
Federal Capital Projects Fund	157,183,000	74,833,000	(82,350,000)	198,662,000
Federal Stimulus	0	0	0	28,965,000
Total	<u>497,783,000</u>	<u>90,433,000</u>	<u>(407,350,000)</u>	<u>1,357,171,000</u>

# **OFFICE OF THE MEDICAID INSPECTOR GENERAL**

## **MISSION**

The Office of the Medicaid Inspector General (OMIG) was statutorily established in 2006 as an independent entity within the Department of Health to improve and preserve the integrity of the Medicaid program by conducting and coordinating fraud, waste and abuse control activities for all State agencies responsible for services funded by Medicaid.

In carrying out its mission, the Office conducts and supervises all prevention, detection, audit and investigation efforts and coordinates such activities with the Department of Health, and the Office of Mental Health, Office of Mental Retardation and Developmental Disabilities and Office of Alcoholism and Substance Abuse Services. In addition, the Medicaid Inspector General works closely with the Attorney General's Medicaid Fraud and Control Unit (MFCU) and Federal and local law enforcement agencies.

## **ORGANIZATION AND STAFFING**

The Office is headed by the Medicaid Inspector General who is appointed by the Governor with the advice and consent of the Senate. The Office of the Medicaid Inspector General is headquartered in Albany with six regional field offices located throughout the state – in Buffalo, Hauppauge (Long Island), Rochester, Syracuse, White Plains and New York City.

The Office is organized into six bureaus – Information Technology and Fraud Detection Systems, Investigations and Enforcement, Medicaid Audit, Revenue Initiatives, Administration, and Office of the Counsel.

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommends **\$80.4 million** All Funds (\$29.6 million General Fund, \$50.8 million Other Funds) to support the operations of the Office of the Medicaid Inspector General. This is a decrease of **\$7.8 million**, or -8.9 percent, from the 2010-11 budget (\$3.7 million General Fund, \$4.1 million Other Funds). These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

The Medicaid program was established by the Federal government in 1965 as a health insurance program for the poor. Medicaid provides coverage to nearly 4.7 million New Yorkers. The Department of Health now processes more than 400 million Medicaid claims annually to approximately 60,000 active health care providers offering a wide range of services including nursing facility care, inpatient and outpatient hospital care, home health care, physician services, pharmaceuticals, and other services. OMIG pursues civil and administrative enforcement actions against individuals or entities that engage in fraud, abuse, illegal or inappropriate acts or unacceptable practices within the Medicaid program, including but not limited to: referral of information and evidence to

## MEDICAID INSPECTOR GENERAL

regulatory agencies, withholding Medicaid payments, imposition of administrative sanctions and penalties, excluding providers and contractors from participation, initiating and maintaining actions for civil recovery, and recovery of Medicaid funds.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	88,161,000	80,353,000	(7,808,000)	47,846,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>88,161,000</u>	<u>80,353,000</u>	<u>(7,808,000)</u>	<u>47,846,000</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Medicaid Audit and Fraud Prevention			
General Fund	330	331	1
Special Revenue Funds - Federal	329	331	2
Special Revenue Funds - Other	3	0	(3)
Total	<u>662</u>	<u>662</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	33,274,000	29,577,000	(3,697,000)
Special Revenue Funds - Federal	50,804,000	47,076,000	(3,728,000)
Special Revenue Funds - Other	4,083,000	3,700,000	(383,000)
Total	<u>88,161,000</u>	<u>80,353,000</u>	<u>(7,808,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Medicaid Audit and Fraud Prevention			
General Fund	36,974,000	29,577,000	(7,397,000)
Special Revenue Funds - Federal	50,804,000	47,076,000	(3,728,000)
Special Revenue Funds - Other	383,000	0	(383,000)
Maintenance Undistributed			
General Fund	(3,700,000)	0	3,700,000
Special Revenue Funds - Other	3,700,000	3,700,000	0
Total	<u>88,161,000</u>	<u>80,353,000</u>	<u>(7,808,000)</u>

# MEDICAID INSPECTOR GENERAL

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	21,136,000	(2,348,000)	21,007,000	(2,334,000)
Total	<u>21,136,000</u>	<u>(2,348,000)</u>	<u>21,007,000</u>	<u>(2,334,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	21,000	(2,000)	108,000	(12,000)
Total	<u>21,000</u>	<u>(2,000)</u>	<u>108,000</u>	<u>(12,000)</u>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	12,141,000	(1,349,000)	783,000	(87,000)
Total	<u>12,141,000</u>	<u>(1,349,000)</u>	<u>783,000</u>	<u>(87,000)</u>

  

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	278,000	(31,000)	8,504,000	(445,000)
Total	<u>278,000</u>	<u>(31,000)</u>	<u>8,504,000</u>	<u>(445,000)</u>

  

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	2,576,000	(286,000)	0	(500,000)
Total	<u>2,576,000</u>	<u>(286,000)</u>	<u>0</u>	<u>(500,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	47,076,000	(4,111,000)	22,403,000	(1,599,000)
Maintenance Undistributed	3,700,000	0	0	0
Total	<u>50,776,000</u>	<u>(4,111,000)</u>	<u>22,403,000</u>	<u>(1,599,000)</u>

  

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Medicaid Audit and Fraud Prevention	24,673,000	(2,012,000)	0	(500,000)
Maintenance Undistributed	0	0	3,700,000	0
Total	<u>24,673,000</u>	<u>(2,012,000)</u>	<u>3,700,000</u>	<u>(500,000)</u>

# **HIGHER EDUCATION SERVICES CORPORATION**

## **MISSION**

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

## **ORGANIZATION AND STAFFING**

The Corporation is governed by a 15-member Board of Trustees, ten of whom are appointed by the Governor. The ten gubernatorial appointees include a student representative from an independent institution, a representative of the general public, a college financial aid administrator, a chief executive officer of a degree-granting proprietary institution, two presidents of independent institutions, one chief executive officer of a non-degree proprietary school, two banking representatives and a student in full time attendance at a State University Community College. The remaining five ex-officio members include the Commissioner of Education, the Chancellors of the State University of New York (SUNY) and the City University of New York (CUNY) and student government leaders representing the public university systems.

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

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$1.08 billion** All Funds (\$960 million General Fund; \$117 million Other Funds) in support of the Corporation. This is a net increase of **\$45.2 million (4.4 percent)** (a General Fund increase of \$116.4 million, or 13.8 percent, and an Other Funds decrease of \$71.2 million, or -37.8 percent) from 2010-11 funding levels. The budget reflects funding to continue the NYHELPS student loan program and increased General Fund spending for TAP resulting from increased enrollment and the discontinuation of Federal American Reinvestment and Recovery Act (ARRA) funding.

The Executive Budget includes the following actions:

- **Maintain Current Formulas for Allocating TAP Awards:** The Executive Budget essentially maintains current policies for TAP enacted in 2010-11 in order to reduce projected growth in the program. These policies include continuing the current maximum TAP award for student enrolled in certain two-year degree granting programs, requiring private pension and annuity income not subject to State taxes to be included determining TAP award eligibility, increasing the academic standards for continued TAP award eligibility and others. These measures represent gap closing actions of \$44 million in 2011-12.
- **Extend the McGee Nursing Faculty Scholarship Program and the Nursing Faculty Loan Forgiveness Program:** Statutory authorization for the McGee Nursing Faculty Scholarship program and the Nursing Faculty Loan Forgiveness Program expired June 30, 2010. The 2011-12 Executive Budget extends statutory

## **HIGHER EDUCATION SERVICES**

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authorization for these programs for a period of five years, and provides the funding necessary to pay for prior obligations to individuals who are fulfilling the service requirements associated with the programs. This measure is expected to cost \$3.8 million in 2011-12 and \$2.4 million annually thereafter.

- **Extend the Regents Licensed Social Worker Loan Forgiveness Program:** Statutory authorization for the Regents Licensed Social Worker Loan Forgiveness Program is set to expire June 30, 2011. The 2011-12 Executive Budget extends statutory authorization enabling this program to continue for a period of five years. This measure is already assumed in the State Financial Plan and has no net impact on planned spending.
- **Extend the Regents Physician Loan Forgiveness Program:** Statutory authorization for the Regents Physician Loan Forgiveness Program expired June 30, 2009. The 2011-12 Executive Budget extends authorization for this program through the 2015-16 school year, and provides necessary funding to pay prior year obligations for individuals who are fulfilling service requirements associated with the program. This measure is expected to cost \$3.9 million in 2011-12 and \$1.6 million annually thereafter.
- **Reduce Funding for NYHELPS:** The 2011-2012 Executive Budget reduces funding for NYHELPS by \$6.0 million.

### **PROGRAM HIGHLIGHTS**

#### **STATE OPERATIONS**

HESC has made it easier for students to secure college loans by allowing them to apply on-line for loans and electronically sign promissory notes. The Corporation will continue to improve its operational efficiency in 2011-12 through increased reliance on technology and streamlined administrative practices. Colleges and lenders are now able to conduct all loan transactions on-line using the Corporation's "New York State Marketplace," an internet portal that facilitates choice, competition and transparency for all government and private student loan products by providing students and their families with access to a broad spectrum of lending and guarantee information.

In addition to a renewed emphasis on providing comprehensive services to its clientele, the Corporation continues to develop partnerships with other student loan guaranty agencies and the Federal government to reduce costs, improve services and increase responsiveness through shared development efforts.

The Corporation will also continue to coordinate the State's participation in the Federal GEAR-UP program in 2011-12, providing early college preparation and guidance services to low-income individuals.

#### **NEW YORK HIGHER EDUCATION LOAN PROGRAM**

The 2011-12 Executive Budget continues the NYHELPS student loan program, providing students and parents with access to low-cost loans that would otherwise not be available in the private loan market. The Program is a partnership between the State, private lenders and higher education institutions and makes student loans available with interest rates below those of conventional private bank offerings. Eligible students must be New York State residents attending degree-granting postsecondary education

## **HIGHER EDUCATION SERVICES**

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institutions in the State that are approved to participate in Federal HEA Title IV student aid programs. The Corporation finances and administers the program in tandem with the State of New York Mortgage Agency (SONYMA).

### **FEDERAL LOAN GUARANTEE PROGRAM**

The traditional cornerstone of the Corporation's operations has been the administration of the Federal Family Education Loan program (FFEL). Effective July, 1, 2010, Congress eliminated the FFEL Program which will result in a shift of federally guaranteed student loans to the Federal Direct Loan Program. Although HESC will continue to service its existing portfolio of loans originated through FFEL (currently \$20 billion), this portfolio and its associated revenue stream will diminish over time as loans are repaid, rehabilitated, consolidated and sold or transferred back to the U.S. Department of Education. In response to this shift in federal policy, HESC is pursuing a partnership with the U.S. Department of Education whereby it would be designated as a servicer for the newly expanded Direct Loan Program. Under the proposed construct, HESC would use its existing resources and expertise in administering FFEL collections and financial literacy and apply it to the Direct Loan Program. If successful, declining revenues associated with administering FFEL loans will be offset with revenues earned from servicing loans through the expanding Federal Direct Loan Program. In addition to supporting HESC's general operating budget, these revenues also support what would otherwise be General Fund costs for administering the TAP program, as well as partially offset General Fund costs for TAP awards.

The Corporation also provides customer services for lenders, schools and students. This includes the distribution of loan information, as well as training and technical assistance related to loan applications and processing.

Federal loan activities administered by the Corporation include:

- \$3.4 billion in new guaranteed loans in 2009-10;
- Processing of student loans for more than 642,000 borrowers; and
- Defaulted loan collections of \$369 million and defaulted loan purchases of \$557 million in 2009-10.

### **FINANCIAL AID PROGRAMS**

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

- Tuition Assistance Program: New York leads the nation in funding for needs-based student financial aid, and \$893 million in General Fund support will be provided to both full- and part-time (TAP) recipients in all sectors of higher education, with an additional \$16 million from other funding sources in support of tuition assistance;
- Scholarships and Fellowships: \$48 million will be provided for various scholarships, fellowships, and loan forgiveness programs including the American Airlines Flight 587 Memorial Scholarships, the World Trade Center Memorial Scholarships, Senator Patricia K. McGee Nursing Faculty Scholarships/Nursing

## HIGHER EDUCATION SERVICES

Faculty Loan Forgiveness Incentive Program and the Regents Licensed Social Worker Loan Forgiveness Program. More than 27,500 recipients are projected to receive aid under the sixteen State and Federal scholarship programs administered by the Corporation.

### COLLEGE CHOICE TUITION SAVINGS PROGRAM

Enacted in 1997, the College Choice Tuition Savings Program represents a State initiative to encourage families throughout New York to save for the college education of their children or grandchildren. Under this program, families can save for their children's attendance at accredited public and private colleges in New York or in other states with accompanying tax benefits on contributions made to, and interest earned on, college savings accounts.

Jointly administered by the Corporation and the Office of the State Comptroller, the program has been well received by the general public. Since its inception in September 1998, over 652,414 accounts have been opened, with contributions totaling approximately \$9.7 billion. New York's program has received national recognition as one of the top college savings plans in the nation.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	120,047,000	104,930,000	(15,117,000)	20,000,000
Aid To Localities	911,566,000	971,893,000	60,327,000	0
Capital Projects	0	0	0	0
Total	<u>1,031,613,000</u>	<u>1,076,823,000</u>	<u>45,210,000</u>	<u>20,000,000</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
Special Revenue Funds - Other	316	316	0
Guaranteed Loan Programs			
Special Revenue Funds - Other	200	200	0
Total	<u>516</u>	<u>516</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	10,000,000	4,037,000	(5,963,000)
Special Revenue Funds - Federal	10,000,000	12,601,000	2,601,000
Special Revenue Funds - Other	100,047,000	88,292,000	(11,755,000)
Total	<u>120,047,000</u>	<u>104,930,000</u>	<u>(15,117,000)</u>

# HIGHER EDUCATION SERVICES

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	48,998,000	54,033,000	5,035,000
Guaranteed Loan Programs			
Special Revenue Funds - Federal	5,000,000	5,000,000	0
Special Revenue Funds - Other	45,799,000	34,259,000	(11,540,000)
State Grant Programs			
Special Revenue Funds - Federal	5,000,000	7,601,000	2,601,000
Education Loan Program, New York State			
General Fund	10,000,000	4,037,000	(5,963,000)
Special Revenue Funds - Other	5,000,000	0	(5,000,000)
Third Party Debt Collection Account			
Special Revenue Funds - Other	250,000	0	(250,000)
Total	<u>120,047,000</u>	<u>104,930,000</u>	<u>(15,117,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Education Loan Program, New York State	4,037,000	(5,963,000)	4,037,000	4,037,000
Total	<u>4,037,000</u>	<u>(5,963,000)</u>	<u>4,037,000</u>	<u>4,037,000</u>

Program	Maintenance Undistributed	
	Amount	Change
Education Loan Program, New York State	0	(10,000,000)
Total	<u>0</u>	<u>(10,000,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	54,033,000	5,035,000	21,862,000	6,019,000
Guaranteed Loan Programs	39,259,000	(11,540,000)	11,465,000	(10,413,000)
State Grant Programs	7,601,000	2,601,000	836,000	836,000
Education Loan Program, New York State	0	(5,000,000)	0	0
Third Party Debt Collection Account	0	(250,000)	0	0
Total	<u>100,893,000</u>	<u>(9,154,000)</u>	<u>34,163,000</u>	<u>(3,558,000)</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	32,171,000	(984,000)	0	0
Guaranteed Loan Programs	27,794,000	3,873,000	0	(5,000,000)
State Grant Programs	6,765,000	6,765,000	0	(5,000,000)
Education Loan Program, New York State	0	0	0	(5,000,000)
Third Party Debt Collection Account	0	0	0	(250,000)
Total	<u>66,730,000</u>	<u>9,654,000</u>	<u>0</u>	<u>(15,250,000)</u>

## HIGHER EDUCATION SERVICES

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
General Fund	833,566,000	955,893,000	122,327,000
Special Revenue Funds - Federal	55,800,000	0	(55,800,000)
Special Revenue Funds - Other	22,200,000	16,000,000	(6,200,000)
Total	<u>911,566,000</u>	<u>971,893,000</u>	<u>60,327,000</u>

Adjustments:

Prior Year Deficiency Higher Education Services Corporation, New York State General Fund	<u>25,159,000</u>		
Appropriated 2010-11	<u>936,725,000</u>		

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
State Grant Programs			
General Fund	789,505,000	907,726,000	118,221,000
Special Revenue Funds - Federal	55,800,000	0	(55,800,000)
Special Revenue Funds - Other	22,200,000	16,000,000	(6,200,000)
Scholarships and Fellowships			
General Fund	44,061,000	48,167,000	4,106,000
Total	<u>911,566,000</u>	<u>971,893,000</u>	<u>60,327,000</u>

# ***DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES***

## ***MISSION***

The Division of Homeland Security and Emergency Services (DHSES) was established in July 2010 through the merger of four existing entities: the Office of Homeland Security (now the Office of Counter Terrorism), the State Emergency Management Office (now the Office of Emergency Management), the Office of Fire Prevention and Control (OFPC), and the Office of Cyber Security and Critical Infrastructure Coordination (now the Office of Cyber Security). Additionally, as part of the merger, a new Office of Interoperable and Emergency Communications was established within DHSES.

The Division provides leadership, coordination and support for efforts to prevent, protect against, prepare for, respond to, and recover from terrorism and other man-made and natural disasters, threats, fires and other emergencies.

## ***ORGANIZATION AND STAFFING***

The establishment of the Division centralized the oversight of a broad range of related activities that were previously managed by several different State agencies, including: assessing the vulnerability of critical IT assets and systems; supporting the development of interoperable communications systems in New York State; providing training and support to State and local first responders related to disaster preparedness and mitigation; incident management and arson investigation; coordinating the collection and dissemination of counter-terrorism information among law enforcement agencies and other stakeholders; and administering a broad range of State and Federal grants to support various public safety initiatives.

The Division's central office is in Albany. It also has a satellite office in New York City and has regional emergency management and OFPC field offices throughout the State. In addition, the State Preparedness Training Center located outside Oriskany, Oneida County, and the Academy of Fire Science in Montour Falls, Schuyler County serve as key training facilities for first responders across the State.

## ***BUDGET HIGHLIGHTS***

The 2011-12 Executive Budget recommends **\$818.3 million** in All Funds spending (\$14.1 million General Fund; and \$804.2 million Other Funds) to support ongoing agency activities. This is a decrease of **\$18.2 million (-2.2 percent)** All Funds (a decrease of \$1.2 million General Fund and \$42 million Capital Projects; as offset by a \$25 million increase in Other Funds) from the 2010-11 Enacted Budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major budget actions include:

- **Local Interoperable Communications Grants Program:** The Executive Budget continues support for a new program that will award grants to county consortiums to assist them in the development of county-driven interoperable communications networks for use by both State and local first-responder agencies. These grants will be funded from a portion of the cellular surcharge revenues.

## ***HOMELAND SECURITY AND EMERGENCY SERVICES***

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- **Enhanced Training Facilities for First-Responders:** The Executive Budget includes re-appropriated funds to support the second year of a five-year, \$42 million capital plan to expand the existing State Preparedness Training Center (SPTC) in Oneida County, outside of Oriskany. This investment will advance the vision of a state-of-the-art training facility for State, local and Federal first-responders, and allow the SPTC to become the central location for preparedness training in the State of New York. By coordinating programs at the SPTC, the Academy of Fire Science in Montour Falls, and other applicable state agencies and training centers, the Division will offer high-quality, integrated multi-disciplinary training to first responders in a much more efficient and coordinated manner.
- **Communications Equipment for State Agencies:** Similar to last year, the Executive Budget includes \$30 million for the purchase of emergency communications equipment for State agencies.

### ***PROGRAM HIGHLIGHTS***

The merger of functions related to homeland security and emergency services that began in 2010-11 created a more effective partner for both local and Federal stakeholders, and one uniquely focused on the support of first responders. While the primary missions of the previously separate offices have been preserved as specialized offices within DHSES, the merger has allowed the State to leverage its existing resources as part of a more comprehensive strategy. Although the merger implementation process is still underway, the State expects to offer improved training for first-responders and a wide array of State and Federal grants programs, including new grants to support the development of regional interoperable communications networks in New York State. Other programs and functions which continue to represent State priorities within the new Division structure are highlighted below.

- **Federal Homeland Security Grant Programs:** Since 2001, over \$2 billion in Federal homeland security grants have been allocated, including over \$450 million in 2010. This requires the development and execution of over 1,300 contracts with State, local and other entities that comply with State and Federal contracting, reporting and oversight requirements. In addition, DHSES works with State agencies and the Urban Area Work Groups to submit a comprehensive application for Federal homeland security funds not later than 90 days after the release of federal guidance.
- **Intelligence Analysis and Dissemination:** Working in concert with the New York State Police and other stakeholders, DHSES will continue to sustain the analysis and dissemination of relevant terrorism information to law enforcement agencies and other stakeholders through the New York State Intelligence Center's Counter-Terrorism Center (CTC).
- **Fire Prevention and Control:** The Office of Fire Prevention and Control will continue to provide training and technical support for fire fighters, specialized arson investigation training, and fire safety inspections at colleges and State buildings. Further, low interest loans to fire and ambulance companies will continue through the Emergency Revolving Loan Program.
- **Enhancing First Responder Capabilities Through Training and Exercises:** In 2011, DHSES will sustain first responder capabilities by training or directly supporting the training of first responders across the State, including providing a

## **HOMELAND SECURITY AND EMERGENCY SERVICES**

variety of high-level courses at the SPTC. In 2008, the SPTC received accreditation from the Commission on Accreditation for Law Enforcement Agencies (CALEA), only the second training center in New York State to receive this prestigious recognition. Expansion plans for the SPTC include a Weapons Training Complex and a Simulations Complex to include a converted 200'x200' hanger complete with interior and exterior streets, business facades, apartments and offices. This simulated "Cityscape" will provide first responders with a state-of-the-art, real-life training environment. In addition to the SPTC, the State Fire Academy in Montour Falls will continue to be a key training resource for the fire community.

- **Cyber Security:** The Office of Cyber Security (OCS) provides statewide leadership and vision in the cyber security arena. OCS works to protect the State's cyber security infrastructure by identifying and mitigating vulnerabilities, deterring and responding to cyber events, developing statewide cyber security policies and standards, and promoting cyber security awareness within the State.
- **NY Alert Emergency Notification System.** Beginning in 2007-08, a statewide solution to emergency notifications benefiting schools, State University of New York campuses, and citizens across the State was established by the State Emergency Management Office. This function is preserved in DHSES, with enhancements allowing for increased enrollments, greater use of GIS, and expanded communications mediums that allow NY Alert to reach more citizens in times of emergency.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	136,733,000	135,530,000	(1,203,000)	105,685,000
Aid To Localities	657,717,700	682,751,000	25,033,300	2,905,738,400
Capital Projects	42,000,000	0	(42,000,000)	37,000,000
Total	<u>836,450,700</u>	<u>818,281,000</u>	<u>(18,169,700)</u>	<u>3,048,423,400</u>

# HOMELAND SECURITY AND EMERGENCY SERVICES

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11	2011-12	FTE Change
	Estimated FTEs 03/31/11	Estimated FTEs 03/31/12	
Administration			
General Fund	56	56	0
Special Revenue Funds - Other	20	20	0
Cyber Security and Critical Infrastructure			
Coordination Program			
General Fund	44	44	0
Special Revenue Funds - Federal	4	5	1
Emergency Management			
General Fund	25	25	0
Special Revenue Funds - Federal	62	77	15
Special Revenue Funds - Other	12	15	3
Homeland Security Program			
Special Revenue Funds - Federal	40	50	10
Interop Program			
Special Revenue Funds - Other	8	8	0
Fire Prevention and Control			
Special Revenue Funds - Other	133	133	0
Total	404	433	29

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available	Recommended	Change
	2010-11	2011-12	
General Fund	11,957,000	10,754,000	(1,203,000)
Special Revenue Funds - Federal	9,111,000	9,111,000	0
Special Revenue Funds - Other	63,665,000	63,665,000	0
Enterprise Funds	50,000,000	50,000,000	0
Internal Service Funds	2,000,000	2,000,000	0
Total	136,733,000	135,530,000	(1,203,000)
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(8,000)		
Appropriated 2010-11	136,725,000		

# HOMELAND SECURITY AND EMERGENCY SERVICES

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	6,415,000	5,766,000	(649,000)
Special Revenue Funds - Other	13,470,000	13,470,000	0
Cyber Security and Critical Infrastructure Coordination Program			
General Fund	3,421,000	3,079,000	(342,000)
Special Revenue Funds - Other	12,800,000	12,800,000	0
Internal Service Funds	2,000,000	2,000,000	0
Disaster Assistance			
Special Revenue Funds - Federal	4,786,000	4,786,000	0
Emergency Management			
General Fund	2,121,000	1,909,000	(212,000)
Special Revenue Funds - Federal	1,025,000	1,025,000	0
Special Revenue Funds - Other	3,703,000	3,703,000	0
Enterprise Funds	50,000,000	50,000,000	0
Interop Program			
Special Revenue Funds - Other	32,000,000	32,000,000	0
Fire Prevention and Control			
Special Revenue Funds - Federal	3,300,000	3,300,000	0
Special Revenue Funds - Other	1,692,000	1,692,000	0
Total	<u>136,733,000</u>	<u>135,530,000</u>	<u>(1,203,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	5,496,000	(619,000)	5,245,000	(591,000)
Cyber Security and Critical Infrastructure Coordination Program	2,179,000	(242,000)	2,171,000	(241,000)
Emergency Management	1,909,000	(212,000)	1,840,000	(204,000)
Total	<u>9,584,000</u>	<u>(1,073,000)</u>	<u>9,256,000</u>	<u>(1,036,000)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	236,000	(26,000)	15,000	(2,000)
Cyber Security and Critical Infrastructure Coordination Program	0	0	8,000	(1,000)
Emergency Management	36,000	(4,000)	33,000	(4,000)
Total	<u>272,000</u>	<u>(30,000)</u>	<u>56,000</u>	<u>(7,000)</u>

# HOMELAND SECURITY AND EMERGENCY SERVICES

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	270,000	(30,000)	18,000	(2,000)
Cyber Security and Critical Infrastructure Coordination Program	900,000	(100,000)	27,000	(3,000)
<b>Total</b>	<b>1,170,000</b>	<b>(130,000)</b>	<b>45,000</b>	<b>(5,000)</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	0	0	234,000	(26,000)
Cyber Security and Critical Infrastructure Coordination Program	13,000	(2,000)	765,000	(85,000)
<b>Total</b>	<b>13,000</b>	<b>(2,000)</b>	<b>999,000</b>	<b>(111,000)</b>

Program	Equipment	
	Amount	Change
Administration	18,000	(2,000)
Cyber Security and Critical Infrastructure Coordination Program	95,000	(10,000)
<b>Total</b>	<b>113,000</b>	<b>(12,000)</b>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	13,470,000	0	2,370,000	1,370,000
Cyber Security and Critical Infrastructure Coordination Program	14,800,000	0	1,321,000	0
Disaster Assistance	4,786,000	0	2,200,000	0
Emergency Management	54,728,000	0	1,139,000	0
Interop Program	32,000,000	0	1,000,000	0
Fire Prevention and Control	4,992,000	0	545,000	0
<b>Total</b>	<b>124,776,000</b>	<b>0</b>	<b>8,575,000</b>	<b>1,370,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	11,100,000	6,600,000	0	(7,970,000)
Cyber Security and Critical Infrastructure Coordination Program	13,479,000	0	0	0
Disaster Assistance	2,586,000	0	0	0
Emergency Management	2,564,000	0	51,025,000	0
Interop Program	0	0	31,000,000	0
Fire Prevention and Control	4,447,000	0	0	0
<b>Total</b>	<b>34,176,000</b>	<b>6,600,000</b>	<b>82,025,000</b>	<b>(7,970,000)</b>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	3,300,000	3,300,000	0
Special Revenue Funds - Federal	618,363,000	618,363,000	0
Special Revenue Funds - Other	36,054,700	61,088,000	25,033,300
<b>Total</b>	<b>657,717,700</b>	<b>682,751,000</b>	<b>25,033,300</b>

# HOMELAND SECURITY AND EMERGENCY SERVICES

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

Program	Available 2010-11	Recommended 2011-12	Change
Emergency Management			
General Fund	3,300,000	3,300,000	0
Special Revenue Funds - Federal	18,363,000	18,363,000	0
Special Revenue Funds - Other	2,967,000	3,000,000	33,000
Homeland Security Program			
Special Revenue Funds - Federal	600,000,000	600,000,000	0
Interop Program			
Special Revenue Funds - Other	20,000,000	54,300,000	34,300,000
Fire Prevention and Control			
Special Revenue Funds - Other	13,087,700	3,788,000	(9,299,700)
Total	<u>657,717,700</u>	<u>682,751,000</u>	<u>25,033,300</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Design and Construction Supervision				
Capital Projects Fund	42,000,000	0	(42,000,000)	37,000,000
Total	<u>42,000,000</u>	<u>0</u>	<u>(42,000,000)</u>	<u>37,000,000</u>

# ***DIVISION OF HOUSING AND COMMUNITY RENEWAL***

## ***MISSION***

The Division of Housing and Community Renewal (DHCR) is responsible for the supervision, maintenance and development of affordable low- and moderate-income housing in New York State. The Division currently performs a number of activities in fulfillment of this mission, including:

- Oversight and regulation of the State's public and publicly assisted rental housing;
- Administration of the State's rent regulations; and
- Administration of housing development and community preservation programs, including State and Federal grants and loans to housing developers to finance construction or renovation of affordable housing.

## ***ORGANIZATION AND STAFFING***

The Division is run by a Commissioner, who is appointed by the Governor. The 2010-11 Budget included the administrative consolidation of DHCR and the "nyhomes" public authorities to coordinate housing policy and administration. The new structure streamlined program areas and consolidated administrative functions to allow for more efficient delivery of services. The new organization brings complementary programs together under three main offices:

- The Office of Finance and Development includes all programs that fund the development of affordable housing, including Low Income Housing Tax Credit programs, tax exempt and taxable bond finance programs, and single-family loan and capital awards programs.
- The Office of Community Renewal includes all programs that target community and economic development, job creation and downtown revitalization, including the Community Development Block Grant Program, the NY Main Street program, the Affordable Homeownership Development Program, the Neighborhood Stabilization Program and the Neighborhood and Rural Preservation programs.
- The Office of Housing Preservation includes all the programs that maintain and enhance the State's portfolio of existing affordable housing, including rent administration, the Section 8 program, asset management and the Weatherization Assistance Program.

Additionally, all administrative and support services, including communications, legal affairs, administration, fair housing, policy development, and accounting/treasury fall within the Office of Professional Services.

The Division maintains three main offices and nine regional offices. Main offices in Albany and Manhattan are responsible for agency-wide administrative functions and the development and execution of the Division's policies. The Division's Rent Administration program is administered through the main office in Queens.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends **\$307.82 million** All Funds (\$52.57 million General Fund; \$255.25 million Other Funds) for the Division of Housing and Community Renewal. This is a decrease of **\$156.92 million** (\$9.77 million decrease General Fund;

## **HOUSING AND COMMUNITY RENEWAL**

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\$147.15 million decrease Other Funds) (-34 percent) from the 2010-11 budget. This net change primarily reflects the elimination of one-time American Recovery and Reinvestment Act (ARRA) appropriations and various program reductions. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major budget actions include:

- **Consolidation and Reduction in Funding for the Neighborhood and Rural Preservation Programs:** The 2011-12 Executive Budget recommends consolidating the Neighborhood Preservation Program (NPP) and Rural Preservation Program (RPP) into a single competitive, performance-based program. Funding will be reduced by 50 percent, from \$12 million in 2010-11 to \$6 million in 2011-12. NPP and RPP provide such services as housing rehabilitation, home buyer counseling, landlord/tenant mediation, community renewal, and crime watch programs.
- **State Low Income Housing Tax Credit:** The 2011-12 budget recommends \$4 million, the same level as prior years, for the State Low-Income Housing Tax Credit Program, which will result in nearly \$40 million in new funding for affordable housing over the next ten years.

The Division's fee revenues come from the following sources: 1) mortgage servicing fees; 2) application and monitoring fees collected from developers of housing projects that are partially financed by Federal low-income tax credits; 3) payments by New York City to finance a portion of the Division's rent regulation activities; and 4) fees collected from the U.S. Department of Housing and Urban Development in connection with State administration of the Federal Section 8 rental subsidy program.

### **PROGRAM HIGHLIGHTS**

#### **OFFICE OF FINANCE AND DEVELOPMENT**

Finance and Development staff provide support to the Housing Trust Fund Corporation, a public benefit corporation that provides State-funded loans and grants to for-profit and not-for-profit entities to develop housing for low-income families, tenants with special needs and the low-income elderly.

Finance and Development staff also administer the allocation of low-income housing tax credits across the State. These tax credits promote the production of low-income rental housing projects by reducing the tax liability of investors who finance the acquisition and construction of these projects.

#### **OFFICE OF COMMUNITY RENEWAL**

Community Renewal staff oversee programs that provide community and economic development, job creation and downtown revitalization, including the NY Main Street program; the Affordable Homeownership Development Program; the Neighborhood Stabilization Program; and the Neighborhood and Rural Preservation programs.

Community Renewal staff also administer approximately \$58 million in annual funding for the Community Development Block Grant Program (CDBG) from the U.S. Department of Housing and Urban Development (HUD). The CDBG program supports

## **HOUSING AND COMMUNITY RENEWAL**

projects in communities with populations of less than 50,000 or non-urban counties with populations of less than 200,000 for housing rehabilitation, job creation or retention, infrastructure repair or replacement, micro-enterprise programs and homeownership assistance.

### **OFFICE OF HOUSING PRESERVATION**

Housing Preservation staff oversee the management of State-assisted housing projects. On a project-by-project basis, staff periodically review the financial and physical condition of the following:

- 167 housing developments constructed between 1957 and 1974 under the State's Mitchell-Lama housing laws and financed with State-guaranteed debt. These projects provide more than 71,295 dwelling units to low- and moderate-income families;
- 21 public housing projects constructed between 1941 and 1973 and financed with State General Obligation bonds that provide more than 1,600 apartments for low-income families; and
- Approximately 1,175 low-income apartment projects partially financed by State or Federal capital funds.

In addition to these regulatory functions, staff are responsible for the administration of nearly 42,000 HUD Housing Choice vouchers, which provide rental assistance to low-income families in 50 local program areas in New York State. Staff also oversee the rent administration program. The Omnibus Housing Act of 1983 mandated the consolidation of all rent regulation under the DHCR in order to ensure that the State's rent laws are administered in a manner that recognizes the concerns of both landlords and tenants.

### **HOUSING CAPITAL PROGRAMS**

The 2011-12 Executive Budget reflects the continuation of recurring capital funding levels. There are two primary low- and moderate-income housing construction programs supported by State appropriations: the Housing Trust Fund Program and the Affordable Homeownership Development Program. The Housing Trust Fund Program provides grants to finance construction or rehabilitation of low-income apartment buildings. The Affordable Homeownership Development Program stimulates local economic growth and stabilizes distressed communities across the State by providing grants of up to \$35,000 per unit or \$40,000 per unit in designated high cost areas.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	99,303,000	91,987,000	(7,316,000)	83,088,000
Aid To Localities	291,238,000	141,630,000	(149,608,000)	487,295,000
Capital Projects	74,200,000	74,200,000	0	646,109,000
Total	<u>464,741,000</u>	<u>307,817,000</u>	<u>(156,924,000)</u>	<u>1,216,492,000</u>

# HOUSING AND COMMUNITY RENEWAL

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	27	27	0
Special Revenue Funds - Other	39	39	0
Community Development			
General Fund	21	21	0
Special Revenue Funds - Other	15	15	0
Capital Projects Funds - Federal	41	41	0
Housing			
General Fund	12	12	0
Special Revenue Funds - Federal	72	72	0
Special Revenue Funds - Other	69	69	0
Housing Information Systems			
General Fund	53	53	0
Low Income Weatherization			
Special Revenue Funds - Federal	54	54	0
Rent Administration			
General Fund	25	25	0
Special Revenue Funds - Other	329	329	0
Total	757	757	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	23,930,000	21,537,000	(2,393,000)
Special Revenue Funds - Federal	16,437,000	14,269,000	(2,168,000)
Special Revenue Funds - Other	58,936,000	56,181,000	(2,755,000)
Total	99,303,000	91,987,000	(7,316,000)

# HOUSING AND COMMUNITY RENEWAL

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	11,116,000	10,004,000	(1,112,000)
Special Revenue Funds - Other	4,065,000	5,421,000	1,356,000
Community Development			
General Fund	1,613,000	1,452,000	(161,000)
Special Revenue Funds - Federal	5,358,000	0	(5,358,000)
Special Revenue Funds - Other	2,238,000	3,102,000	864,000
Housing			
General Fund	1,254,000	1,128,000	(126,000)
Special Revenue Funds - Federal	11,079,000	10,197,000	(882,000)
Special Revenue Funds - Other	8,565,000	9,884,000	1,319,000
Housing Development Fund Program			
Special Revenue Funds - Other	1,279,000	0	(1,279,000)
Housing Information Systems			
General Fund	7,580,000	6,823,000	(757,000)
Low Income Weatherization			
Special Revenue Funds - Federal	0	4,072,000	4,072,000
Rent Administration			
General Fund	2,367,000	2,130,000	(237,000)
Special Revenue Funds - Other	42,789,000	37,774,000	(5,015,000)
Total	<u>99,303,000</u>	<u>91,987,000</u>	<u>(7,316,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,389,000	(376,000)	3,366,000	(374,000)
Community Development	1,405,000	(156,000)	1,382,000	(154,000)
Housing	1,083,000	(121,000)	1,079,000	(120,000)
Housing Information Systems	3,542,000	(393,000)	3,524,000	(391,000)
Rent Administration	1,836,000	(204,000)	1,832,000	(204,000)
Total	<u>11,255,000</u>	<u>(1,250,000)</u>	<u>11,183,000</u>	<u>(1,243,000)</u>
			Holiday/Overtime Pay	
Program	Temporary Service (Nonannual Salaried)		Amount	Change
	Amount	Change		
Administration	0	(25,000)	23,000	23,000
Community Development	13,000	(12,000)	10,000	10,000
Housing	0	0	4,000	(1,000)
Housing Information Systems	0	0	18,000	(2,000)
Rent Administration	0	0	4,000	0
Total	<u>13,000</u>	<u>(37,000)</u>	<u>59,000</u>	<u>30,000</u>

# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	6,615,000	(736,000)	195,000	(22,000)
Community Development	47,000	(5,000)	5,000	0
Housing	45,000	(5,000)	1,000	0
Housing Information Systems	3,281,000	(364,000)	18,000	(2,000)
Rent Administration	294,000	(33,000)	28,000	(3,000)
<b>Total</b>	<b>10,282,000</b>	<b>(1,143,000)</b>	<b>247,000</b>	<b>(27,000)</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	167,000	(19,000)	5,875,000	(653,000)
Community Development	23,000	(3,000)	12,000	(1,000)
Housing	30,000	(4,000)	10,000	(1,000)
Housing Information Systems	30,000	(3,000)	2,503,000	(278,000)
Rent Administration	4,000	0	201,000	(23,000)
<b>Total</b>	<b>254,000</b>	<b>(29,000)</b>	<b>8,601,000</b>	<b>(956,000)</b>

Program	Equipment	
	Amount	Change
Administration	378,000	(42,000)
Community Development	7,000	(1,000)
Housing	4,000	0
Housing Information Systems	730,000	(81,000)
Rent Administration	61,000	(7,000)
<b>Total</b>	<b>1,180,000</b>	<b>(131,000)</b>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	5,421,000	1,356,000	2,600,000	664,000
Community Development	3,102,000	(4,494,000)	1,800,000	(2,038,000)
Housing	20,081,000	437,000	11,450,000	(348,000)
Housing Development Fund Program	0	(1,279,000)	0	(833,000)
Low Income Weatherization	4,072,000	4,072,000	2,500,000	2,500,000
Rent Administration	37,774,000	(5,015,000)	22,703,000	(3,532,000)
<b>Total</b>	<b>70,450,000</b>	<b>(4,923,000)</b>	<b>41,053,000</b>	<b>(3,587,000)</b>

Program	Nonpersonal Service	
	Amount	Change
Administration	2,821,000	692,000
Community Development	1,302,000	(2,456,000)
Housing	8,631,000	785,000
Housing Development Fund Program	0	(446,000)
Low Income Weatherization	1,572,000	1,572,000
Rent Administration	15,071,000	(1,483,000)
<b>Total</b>	<b>29,397,000</b>	<b>(1,336,000)</b>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	38,411,000	31,031,000	(7,380,000)
Special Revenue Funds - Federal	244,600,000	102,372,000	(142,228,000)
Special Revenue Funds - Other	8,227,000	8,227,000	0
<b>Total</b>	<b>291,238,000</b>	<b>141,630,000</b>	<b>(149,608,000)</b>

## HOUSING AND COMMUNITY RENEWAL

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

Program	Available 2010-11	Recommended 2011-12	Change
Housing Development Fund Program			
Special Revenue Funds - Other	8,227,000	8,227,000	0
HUD Section 8 New Construction			
Special Revenue Funds - Federal	13,100,000	0	(13,100,000)
Low Income Weatherization			
Special Revenue Funds - Federal	173,500,000	44,372,000	(129,128,000)
Neighborhood Preservation			
General Fund	8,479,000	6,010,000	(2,469,000)
Periodic Subsidies - Local Areas			
General Fund	11,591,000	10,219,000	(1,372,000)
Rural Preservation			
General Fund	3,539,000	0	(3,539,000)
Rural Rental Assistance			
General Fund	14,802,000	14,802,000	0
Small Cities Community Development			
Block Grant			
Special Revenue Funds - Federal	58,000,000	58,000,000	0
Total	<u>291,238,000</u>	<u>141,630,000</u>	<u>(149,608,000)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Affordable Housing Corporation				
Housing Program Fund	25,000,000	25,000,000	0	81,787,000
Housing Assistance Fund				
Housing Assistance Fund	0	0	0	8,900,000
Low Income Housing Trust Fund				
Housing Program Fund	29,000,000	29,000,000	0	141,398,000
Maintenance and Improvements of Existing Facilities				
Federal Stimulus	0	0	0	253,000,000
Housing Program Fund	0	0	0	3,133,000
Housing Opportunity Program For Elderly				
Housing Program Fund	400,000	400,000	0	0
Housing Program Capital Improvement				
Capital Projects Fund	0	0	0	19,720,000
State Housing Bond Fund				
State Housing Bond Fund	0	0	0	7,344,000
Main Street Program				
Housing Program Fund	0	0	0	250,000
New Facilities				
Federal Capital Projects Fund	0	0	0	21,446,000
Housing Program Fund	0	0	0	2,000,000
Public Housing Modernization Program				
Housing Program Fund	12,800,000	12,800,000	0	65,905,000
Rural Revitalization Program				
Housing Program Fund	0	0	0	5,450,000
Urban Initiatives Program				
Housing Program Fund	0	0	0	3,351,000
Homes for Working Families Program				
Housing Program Fund	7,000,000	7,000,000	0	32,425,000
Total	<u>74,200,000</u>	<u>74,200,000</u>	<u>0</u>	<u>646,109,000</u>

# **HOUSING FINANCE AGENCY**

## **MISSION**

The New York State Housing Finance Agency is a public benefit corporation created in 1960 to finance low- and moderate-income rental housing. The Agency issues tax-exempt and taxable bonds to provide mortgage loans for the construction and rehabilitation of both low income and mixed income multi-family rental housing.

The Housing Finance Agency also plays a role in administering several housing programs supported by State and Federal appropriations. In 1990, the Agency's mission was expanded to include the issuance of bonds to reimburse the State for appropriated expenditures under the State's housing programs.

## **ORGANIZATION AND STAFFING**

The Housing Finance Agency is governed by a Board consisting of seven members: the Commissioner of Housing and Community Renewal, the Director of the Budget, the Commissioner of Taxation and Finance and four members nominated by the Governor with the consent of the Senate. The Governor designates a Chairperson.

The Agency headquarters is located in New York City and is managed by a President/Chief Executive Officer, who is appointed by the Board. The Agency has regional offices in Albany and Buffalo. The Housing Finance Agency is operated and administered jointly with the State of New York Mortgage Agency, but the two agencies are governed by separate Boards. The New York State Affordable Housing Corporation is a subsidiary of the Agency.

## **BUDGET HIGHLIGHTS**

The Agency receives no direct operating support from the State. Its operating budget is funded with fees and revenues the Agency generates through its financing activities. The 2010-11 Budget consolidated the administrative and program operations of HFA and the "nyhomes" family of public benefit corporations with the Division of Housing and Community Renewal.

## **PROGRAM HIGHLIGHTS**

Since its inception in 1960, the Agency has provided financing of more than \$12.04 billion for more than 122,760 units of multi-family housing. During the Agency's fiscal year ending October 31, 2010, more than 3,200 units were financed with mortgage loans totaling more than \$392 million.

# **STATE OF NEW YORK MORTGAGE AGENCY**

## **MISSION**

The State of New York Mortgage Agency (SONYMA) is a public benefit corporation created in 1970 to increase the affordability of homeownership for low- to moderate-income residents of New York State. This is accomplished by the Agency's issuance of taxable and tax-exempt bonds and the use of proceeds to purchase low-interest rate mortgage loans. In 1978, the Agency's mission was expanded to include the issuance of mortgage insurance to promote the stabilization of neighborhoods throughout the State. In 2009, the Agency's existing authority to issue tax-exempt bonds to finance education loans was modernized and expanded to authorize the Agency to implement a program to finance education loans for higher education costs for students attending schools in New York State.

## **ORGANIZATION AND STAFFING**

The Agency is overseen by a Board of Directors comprised of the State Comptroller or his appointee, the Director of the Budget, the Commissioner of Housing and Community Renewal, four appointees of the Governor, one appointee of the Temporary President of the Senate and one appointee of the Speaker of the Assembly. Responsibility for operation of the Agency rests with the President/Chief Executive Officer, who also serves in this capacity for the Housing Finance Agency – the State's other major housing finance entity. The Agency is operated jointly with the Housing Finance Agency out of its central headquarters in New York City and from regional offices in Albany and Buffalo.

The State of New York Mortgage Agency has two program divisions. The Single Family Programs and Financing Division provides low-interest rate mortgages to low- and moderate-income first-time homebuyers (and for other eligible homebuyers in designated target areas) through the issuance of mortgage revenue bonds. The Agency uses a network of lending institutions to originate mortgages on its behalf. The Mortgage Insurance Fund Division provides insurance on mortgage loans for residential, mixed residential, commercial and community service-related properties throughout the State. In addition, in December 2004, the Mortgage Insurance Fund was authorized to enter into agreements to provide credit support for bonds and ancillary bond facilities issued by the Convention Center Development Corporation, a subsidiary of the New York State Urban Development Corporation. This insurance is supported by the Mortgage Insurance Fund, which is funded by a surcharge on the Mortgage Recording Tax.

## **BUDGET HIGHLIGHTS**

The Agency receives no direct operating support from the State. Statute requires the State to guarantee payments made by the Agency to the State in prior years. The Executive Budget recommends \$173.17 million in appropriations in 2011-12 to satisfy this requirement, although no cash disbursements are projected to be made from this appropriation. All State of New York Mortgage Agency programs and operations are supported by Agency funds, consisting of mortgage income, application fees, insurance premiums and investment proceeds.

# MORTGAGE AGENCY

## PROGRAM HIGHLIGHTS

Since its inception in 1970, the Agency's Single Family Division has provided more than \$11.1 billion of affordable financing for over 152,000 homes in New York. During the Agency's 2009-10 fiscal year, 2,100 loans were financed in the amount of \$347 million.

The Mortgage Insurance Fund's portfolio of insured mortgages exceeds \$5.4 billion. In 2009-10, mortgage insurance provided by the Agency totaled more than \$991 million.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	76,800,000	76,800,000	0	0
Aid To Localities	97,720,000	96,372,000	(1,348,000)	0
Capital Projects	0	0	0	0
Total	<u>174,520,000</u>	<u>173,172,000</u>	<u>(1,348,000)</u>	<u>0</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	76,800,000	76,800,000	0
Total	<u>76,800,000</u>	<u>76,800,000</u>	<u>0</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues General Fund	61,800,000	61,800,000	0
SONYMA Mortgage Insurance Fund Restoration General Fund	15,000,000	15,000,000	0
Total	<u>76,800,000</u>	<u>76,800,000</u>	<u>0</u>

### STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total Amount	Change	Maintenance Undistributed Amount	Change
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues	61,800,000	0	61,800,000	0
SONYMA Mortgage Insurance Fund Restoration	15,000,000	0	15,000,000	0
Total	<u>76,800,000</u>	<u>0</u>	<u>76,800,000</u>	<u>0</u>

# MORTGAGE AGENCY

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
General Fund	97,720,000	96,372,000	(1,348,000)
Total	<u>97,720,000</u>	<u>96,372,000</u>	<u>(1,348,000)</u>

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
SONYMA Mortgage Insurance Fund			
Restoration			
General Fund	97,720,000	96,372,000	(1,348,000)
Total	<u>97,720,000</u>	<u>96,372,000</u>	<u>(1,348,000)</u>

# HUDSON RIVER PARK TRUST

## MISSION

The Hudson River Park Trust (the Trust) is a public benefit corporation established in 1998 to design, develop, and maintain the 550-acre Hudson River Park in Manhattan, which extends five miles along the Hudson River waterfront from Battery Park to 59<sup>th</sup> Street. The Trust is governed by a 13-member board: 5 members appointed by the Governor, 5 by the Mayor of New York City, and 3 by the Manhattan Borough President.

## ORGANIZATION AND STAFFING

The Trust is headed by a President and Chief Executive Officer who is appointed by the Board.

## BUDGET HIGHLIGHTS

The Executive Budget recommends funding of **\$3 million** for the Trust, unchanged from the 2010-11 level, to aid in the completion of the remaining segments of the Park. This funding will come from the State Environmental Protection Fund. All Trust administrative activities, including operating costs, are paid directly from a portion of the commercial lease payments and other revenues generated by businesses and activities conducted on the Park property. These receipts are deposited directly to the Trust. The Trust has a **workforce of 58** full time employees.

## PROGRAM HIGHLIGHTS

During 2011-12, the Trust will continue the design and construction of the remaining segments of the Park, develop detailed cost estimates, explore alternative sources of funding and continue to oversee capital projects to build the Park.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	0	0	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	21,176,000
Total	0	0	0	21,176,000

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Regional Development				
Capital Projects Fund - Advances	0	0	0	21,176,000
Total	0	0	0	21,176,000

# ***DIVISION OF HUMAN RIGHTS***

## ***MISSION***

New York holds the proud distinction of being the first state in the nation to enact a civil rights law, affording every individual an equal opportunity to enjoy a full and productive life, including in the areas of employment, housing, public accommodations, education, and credit. Under the State's Human Rights Law, discriminating against others because of their race, sex, age, disability or membership in other specified classes is illegal in the State of New York. Protection under the Human Rights Law also includes prohibiting discrimination based on military status and sexual orientation.

The New York State Division of Human Rights is the State agency charged with enforcing the Human Rights Law and protecting the civil rights of New Yorkers. To fulfill these responsibilities, the Division:

- Prosecutes unlawful discriminatory practices;
- Investigates and resolves individual complaints of illegal discrimination;
- Advances policies and legislation that expand and/or better protect the civil rights of New Yorkers; and
- Promotes human rights awareness through education and outreach.

## ***ORGANIZATION AND STAFFING***

Under the direction of the Commissioner, who is appointed by the Governor subject to confirmation by the Senate, the Division operates from its main office in New York City and from nine regional and two satellite offices across the State.

The Division's workforce is primarily assigned to investigate complaints, to assist in the presentation of cases and to adjudicate individual cases of discrimination.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends **\$21.3 million** All Funds (\$13.1 million General Fund, \$8.2 million Other Funds) for the Division of Human Rights. This is a decrease of \$1.5 million (-6.4 percent) from the 2010-11 budget.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## ***PROGRAM HIGHLIGHTS***

In 2010-11, the Division focused its activities on investigating systematic forms of discrimination, on improving the individual complaint process, and on investigating and adjudicating individual cases. It will continue this work in 2011-12, along with enforcing provisions of State law that enhance the rights of New Yorkers, particularly in the area of disabilities. The Division is also working with local communities to address issues of bias-related violence.

# HUMAN RIGHTS

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	22,745,000	21,293,000	(1,452,000)	13,933,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>22,745,000</u>	<u>21,293,000</u>	<u>(1,452,000)</u>	<u>13,933,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	141	141	0
Special Revenue Funds - Federal	54	54	0
Total	<u>195</u>	<u>195</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	14,522,000	13,070,000	(1,452,000)
Special Revenue Funds - Federal	8,223,000	8,223,000	0
Total	<u>22,745,000</u>	<u>21,293,000</u>	<u>(1,452,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	14,522,000	13,070,000	(1,452,000)
Special Revenue Funds - Federal	8,223,000	8,223,000	0
Total	<u>22,745,000</u>	<u>21,293,000</u>	<u>(1,452,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	10,463,000	(1,163,000)	10,154,000	(1,128,000)
Total	<u>10,463,000</u>	<u>(1,163,000)</u>	<u>10,154,000</u>	<u>(1,128,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	292,000	(33,000)	17,000	(2,000)
Total	<u>292,000</u>	<u>(33,000)</u>	<u>17,000</u>	<u>(2,000)</u>

# HUMAN RIGHTS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	2,607,000	(289,000)	136,000	(15,000)
Total	2,607,000	(289,000)	136,000	(15,000)

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	173,000	(19,000)	2,118,000	(235,000)
Total	173,000	(19,000)	2,118,000	(235,000)

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	180,000	(20,000)
Total	180,000	(20,000)

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	8,223,000	0	4,131,000	0
Total	8,223,000	0	4,131,000	0

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Administration	4,092,000	0
Total	4,092,000	0

# OFFICE OF INDIGENT LEGAL SERVICES

## MISSION

Created as part of the 2010-11 Enacted Budget, the Office of Indigent Legal Services and the associated Indigent Legal Services Board are responsible for studying, overseeing and improving the quality of legal representation provided to indigent defendants in New York State.

## ORGANIZATION AND STAFFING

The Indigent Legal Services Board consists of nine members, with representation from both houses of the Legislature, counties, and attorneys with public defense backgrounds. The Board nominates an Executive Director of the Office of Indigent Legal Services, who is then approved by the Governor.

## BUDGET HIGHLIGHTS

The Executive Budget recommends **\$80 million** All Funds for the full first-year operation of the Office, of which \$3 million will support agency operations. The other \$77 million will be available for distribution to the counties and New York City for the cost of indigent defense services. Executive Budget appropriations support up to **20 FTE**, including the Director.

## PROGRAM HIGHLIGHTS

The Office has responsibility for developing policies regarding indigent defense services and working collaboratively with the counties to facilitate improvements in the public defense system. The Office will examine and monitor the services provided to indigent defendants in the counties; collect information from the counties in order to study and recommend measures to enhance the quality of representation provided; establish criteria to guide the provision of conflict defender services in the counties; and, target grants to counties in support of innovative and cost-effective proposals to enhance the quality of indigent legal services. The Office will also make recommendations on ways to improve the delivery of services statewide, for consideration by the Board.

The Board acts in an approval and advisory role to the Office. It will evaluate existing indigent defense programs and determine the types of services that should be provided; approve, modify, or reject the recommendations of the Office with regard to the distribution of grants; and report to the Governor, Legislature and Judiciary annually.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	1,500,000	3,000,000	1,500,000	0
Aid To Localities	77,000,000	77,000,000	0	77,000,000
Capital Projects	0	0	0	0
Total	78,500,000	80,000,000	1,500,000	77,000,000

# INDIGENT LEGAL SERVICES

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Indigent Legal Services Program	20	20	0
Special Revenue Funds - Other	20	20	0
Total	20	20	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	1,500,000	3,000,000	1,500,000
Total	1,500,000	3,000,000	1,500,000

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

Program	Available 2010-11	Recommended 2011-12	Change
Indigent Legal Services Program	1,500,000	3,000,000	1,500,000
Special Revenue Funds - Other	1,500,000	3,000,000	1,500,000
Total	1,500,000	3,000,000	1,500,000

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Indigent Legal Services Program	3,000,000	1,500,000	1,515,000	765,000
Total	3,000,000	1,500,000	1,515,000	765,000

Program	Nonpersonal Service	
	Amount	Change
Indigent Legal Services Program	1,485,000	735,000
Total	1,485,000	735,000

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	77,000,000	77,000,000	0
Total	77,000,000	77,000,000	0

# INDIGENT LEGAL SERVICES

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Indigent Legal Services Program			
Special Revenue Funds - Other	77,000,000	77,000,000	0
Total	<u>77,000,000</u>	<u>77,000,000</u>	<u>0</u>

# **OFFICE OF THE STATE INSPECTOR GENERAL**

## **MISSION**

The Office of the State Inspector General is responsible for detecting, investigating, deterring and eliminating corruption, fraud, criminal activity, conflicts of interest, abuses, and waste in the State entities under its jurisdiction. The Office's jurisdiction includes Executive Branch agencies, departments, divisions, offices, boards, commissions, public authorities and public benefit corporations and any entity of State government headed by an appointee of the Governor that does not have its own statutory Inspector General. 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 consolidates most of the State's inspector general activities in a centralized office that replaced what were formerly separate, semi-independent deputy inspectors general located within the agencies they served. Led 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.

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommendations provide over **\$5.6 million** All Funds (\$5.5 million General Fund; \$100,000 All Other Funds). This is a decrease of **\$614,000 (-10 percent)** from the 2010-11 budget, which is entirely attributable to the General Fund. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

In the 2010-11 fiscal year, the Office of the State Inspector General anticipates receiving approximately 2,600 complaints of fraud, criminal activity, waste and abuse involving State employees and resources. This is an increase of over 400 complaints from the previous fiscal year. The Office focuses its investigative efforts on major cases involving theft, bribery, contract fraud, abuse of authority, and other serious allegations of corruption. The Office works jointly with local, State and Federal law enforcement personnel and prosecutors on significant matters of public concern. The Office's investigations have uncovered instances of theft, bid rigging, bribery, creation of fraudulent documents, misuse of computers, construction industry fraud, and systemic abuse and waste in various agencies that have resulted in arrests and/or referrals for discipline in many cases. In addition, numerous cases have also resulted in recommendations for administrative or policy changes.

# INSPECTOR GENERAL

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	6,238,000	5,624,000	(614,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>6,238,000</u>	<u>5,624,000</u>	<u>(614,000)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Inspector General			
General Fund	58	58	0
Total	<u>58</u>	<u>58</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	6,138,000	5,524,000	(614,000)
Special Revenue Funds - Other	100,000	100,000	0
Total	<u>6,238,000</u>	<u>5,624,000</u>	<u>(614,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Inspector General			
General Fund	6,138,000	5,524,000	(614,000)
Special Revenue Funds - Other	100,000	100,000	0
Total	<u>6,238,000</u>	<u>5,624,000</u>	<u>(614,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Inspector General	5,131,000	(570,000)	5,124,000	(566,000)
Total	<u>5,131,000</u>	<u>(570,000)</u>	<u>5,124,000</u>	<u>(566,000)</u>
Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Inspector General	4,000	(4,000)	3,000	0
Total	<u>4,000</u>	<u>(4,000)</u>	<u>3,000</u>	<u>0</u>

# INSPECTOR GENERAL

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Inspector General	393,000	(44,000)	20,000	(20,000)
Total	393,000	(44,000)	20,000	(20,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Inspector General	25,000	(15,000)	314,000	(3,000)
Total	25,000	(15,000)	314,000	(3,000)

Program	Equipment	
	Amount	Change
Inspector General	34,000	(6,000)
Total	34,000	(6,000)

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Inspector General	100,000	0	100,000	0
Total	100,000	0	100,000	0

# INTEREST ON LAWYER ACCOUNT

## MISSION

The Interest on Lawyer Account (IOLA) Fund was established in 1983 to finance civil legal services for the indigent. Revenues are derived from the interest earned on small trust accounts in which attorneys hold certain funds for their clients. Banks transfer the interest earned on these IOLA escrow accounts to the IOLA Fund to finance grants to not-for-profit, tax-exempt entities providing civil legal services to the indigent, elderly, disabled and others. Legislation enacted in 1988 made participation in IOLA mandatory for attorneys in private practice who hold nominal short term escrow accounts for clients, and new regulations initiated in 2007 ensure that banking institutions pay a fair interest rate on IOLA escrow accounts – one that is not less than that paid on similar types of bank accounts.

## ORGANIZATION AND STAFFING

A 15-member board of trustees appointed by the Governor administers the Interest on Lawyer Account. Board members serve without compensation. Day-to-day operations are located in New York City. IOLA is completely supported by revenue generated by the interest earned on IOLA escrow accounts.

## BUDGET HIGHLIGHTS

The 2011-12 Executive Budget recommends **\$46.9 million** in Special Revenue Funds. Executive Budget appropriations support staffing of up to **8 FTEs**.

## PROGRAM HIGHLIGHTS

In 2010-11, the board administering the Interest on Lawyer Account is expected to award grants to approximately 71 organizations statewide. The number of grantees and the grant amounts in 2011-12 will be determined based on projected fund revenues.

ALL FUNDS APPROPRIATIONS (dollars)				
Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	1,873,000	1,889,000	16,000	0
Aid To Localities	45,000,000	45,000,000	0	0
Capital Projects	0	0	0	0
Total	46,873,000	46,889,000	16,000	0

# INTEREST ON LAWYER

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
New York Interest on Lawyer Account	8	8	0
Special Revenue Funds - Other	8	8	0
Total	8	8	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	1,873,000	1,889,000	16,000
Total	1,873,000	1,889,000	16,000

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

Program	Available 2010-11	Recommended 2011-12	Change
New York Interest on Lawyer Account	1,873,000	1,889,000	16,000
Special Revenue Funds - Other	1,873,000	1,889,000	16,000
Total	1,873,000	1,889,000	16,000

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
New York Interest on Lawyer Account	1,889,000	16,000	739,000	16,000
Total	1,889,000	16,000	739,000	16,000

Program	Nonpersonal Service	
	Amount	Change
New York Interest on Lawyer Account	1,150,000	0
Total	1,150,000	0

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	45,000,000	45,000,000	0
Total	45,000,000	45,000,000	0

# **INTEREST ON LAWYER**

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

<b>Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
New York Interest on Lawyer Account			
Special Revenue Funds - Other	45,000,000	45,000,000	0
Total	<u>45,000,000</u>	<u>45,000,000</u>	<u>0</u>

# **JUDICIAL COMMISSIONS**

## **MISSION**

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

## **COMMISSION ON JUDICIAL CONDUCT**

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

The Commission on Judicial Conduct has 11 members, four of whom are appointed by the Governor, three by the Chief Judge of the Court of Appeals and the remaining four by the Legislature. Commission members serve without pay and meet periodically to consider complaints, hear testimony and determine the disposition of cases. Its main office is in New York City, with branches in Albany and Rochester.

The recommended 2011-12 Executive Budget of **\$5.4 million General Fund** is a decrease of **\$22,000**, from the 2010-11 budget.

## **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. The recommended 2011-12 Executive Budget provides **\$30,000** General Fund.

## **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. The recommended 2011-12 Executive Budget provides **\$38,000** in General Fund.

# JUDICIAL

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	5,474,000	5,452,000	(22,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>5,474,000</u>	<u>5,452,000</u>	<u>(22,000)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Judicial Conduct		
General Fund	48	48	0
Total	<u>48</u>	<u>48</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	5,474,000	5,452,000	(22,000)
Total	<u>5,474,000</u>	<u>5,452,000</u>	<u>(22,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Judicial Conduct			
General Fund	5,406,000	5,384,000	(22,000)
Judicial Nomination, Commission on			
General Fund	30,000	30,000	0
Judicial Screening Committees			
General Fund	38,000	38,000	0
Total	<u>5,474,000</u>	<u>5,452,000</u>	<u>(22,000)</u>

# JUDICIAL

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	4,093,000	0	4,073,000	0
Judicial Screening Committees	13,000	0	13,000	0
Total	<u>4,106,000</u>	<u>0</u>	<u>4,086,000</u>	<u>0</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>
Judicial Conduct	20,000	0
Judicial Screening Committees	0	0
Total	<u>20,000</u>	<u>0</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	1,291,000	(22,000)	51,000	(4,000)
Judicial Nomination, Commission on	30,000	0	0	0
Judicial Screening Committees	25,000	0	0	0
Total	<u>1,346,000</u>	<u>(22,000)</u>	<u>51,000</u>	<u>(4,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Judicial Conduct	100,000	(3,000)	1,085,000	27,000
Judicial Nomination, Commission on	30,000	0	0	0
Judicial Screening Committees	10,000	0	15,000	0
Total	<u>140,000</u>	<u>(3,000)</u>	<u>1,100,000</u>	<u>27,000</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Judicial Conduct	55,000	(42,000)
Judicial Nomination, Commission on	0	0
Judicial Screening Committees	0	0
Total	<u>55,000</u>	<u>(42,000)</u>

# **DEPARTMENT OF LABOR**

## **MISSION**

The Department of Labor (DOL) administers New York's Unemployment Insurance system, Workforce Development Employment and Training system and State worker protection programs, including enforcement of safety and health regulations in the public sector, State labor laws and Federal statutes related to working conditions, wages and hours, and laws related to public work. The Department is a primary advocate for job creation and economic growth through workforce development, and serves as the State's principal source for labor market information, offering a variety of services designed to help businesses find workers and people find jobs.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner, appointed by the Governor and subject to confirmation by the Senate, with a central office located in Albany. This office is responsible for two Unemployment Insurance Telephone Claims Centers and 76 One-Stop Career Centers located throughout the State. In addition, through nine worker protection district offices, the Department enforces child labor laws, fosters workplace health and safety, and ensures that employees are paid in accordance with provisions of the Labor Law. Offices are staffed based upon the workload in each geographic area.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$9.2 billion** All Funds (\$9 billion Other Funds, including \$8.4 billion Enterprise Fund) for the Department of Labor. This is a decrease of **\$1.6 billion** All Funds (**-14.9 percent**) from the 2010-11 budget, reflecting the non-recurrence of one-time Federal American Recovery and Reinvestment Act (ARRA) appropriations.

Major budget actions include:

- **Continuation of ARRA Programs:** The budget recommends \$3.3 billion in new appropriations and \$158.8 million in reappropriation authority to allow the Department to fully disburse ARRA-related Workforce Investment Act and Unemployment Insurance program funding.
- **Unemployment Insurance Systems Modernization:** Federal grant funding received by DOL will support the Department's Unemployment Insurance computer systems modernization efforts. Appropriations totaling \$6.8 million are recommended for this project.

## **PROGRAM HIGHLIGHTS**

### **JOB SERVICES**

Consistent with the requirements of the Federal Workforce Investment Act, the Department of Labor and local governments work together at local One-Stop Centers and affiliated sites across the State that offer access to a variety of employment services including job referral and placement, education and training, resume preparation, employer services, human resources consultation, and support services such as child care

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and transportation. The Centers benefit employers by providing them with access to worker resumes and information about tax credits, workplace safety issues and apprenticeship services.

Through the use of job orders, online forms, electronic job banks and talent banks available through the Internet, the Department of Labor has made it easier for job seekers and employers to use and benefit from DOL services and to immediately access relevant information without direct assistance from Department staff.

In addition to partnering in One-Stop Centers across the State, the Department continues to work with other State and local agencies, community colleges and others to ensure that New York's workforce development system provides access to information and services across agency lines regardless of where a person may initially go for assistance.

### **WORKFORCE INVESTMENT ACT**

Federally funded appropriation authority includes \$234 million for Workforce Investment Act (WIA) services, which provide job training to youth, adults and dislocated workers. WIA funding also supports programs to upgrade the skills of those currently working, thus helping employers meet the changing needs of their business operations. Eligible participants access WIA services through the network of local One-Stop Centers for the delivery of employment and training services. WIA also improves customer choice and program effectiveness, as participants can choose training providers based on past performance through the use of individual training accounts. Continuing trends that began in 2008 with the downturn in the economy, the number of WIA customers in the Department's workforce development system increased by 9 percent in 2009 to 800,374, with the dislocated workers component of the total increasing by 32 percent.

### **WORKER PROTECTION**

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

The Occupational Safety and Health program is responsible for health and safety inspections and granting licenses to qualified persons to operate or handle dangerous equipment or substances. Statistics for the last two completed State fiscal years show that the Division inspected 17,687 amusement park devices, 840 ski lifts, 4,730 places of public assembly (e.g., bleachers at concerts) and 32,964 commercial boilers. It also reviewed applications for 54,472 asbestos licenses and certificates.

The Labor Standards program enforces the Labor Law in such areas as minimum and prevailing wage, child labor and garment industry registration. During 2009, the Department's Labor Standards Division inspected 138 businesses for compliance with child labor laws and the Division, together with the Bureau of Public Work, and collected a record total of \$28.8 million in back wages, unpaid and underpaid prevailing wage monies, unpaid fringe benefits, and minimum wage underpayments for approximately 18,000 employees. In 2010, Labor Standards inspected 168 businesses for compliance with child labor laws and the two programs collected a total of \$25.7 million of underpaid wages from employers for 21,000 workers. The Bureau of Immigrant Workers' Rights, established within the Department in 2007-08, will continue to detect and address abuses against immigrant workers throughout New York State.

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Through coordinated audit and investigative activities, the Governor's Joint Enforcement Task Force on Employee Misclassification is aimed at employers who intentionally mislabel workers as independent contractors instead of employees, or pay them "off the books," to avoid employee-related costs. Misclassification puts law-abiding businesses at a competitive disadvantage, since they must bear the expense of providing these benefits, while those who skirt the law bear no such costs. Since its establishment in September 2007, the enforcement and data sharing activities of the Task Force have identified more than 44,600 instances of employee misclassification and over \$607 million in unreported wages, resulting in the assessment of over \$18 million in UI taxes due, over \$1.7 million in UI fraud penalties, and over \$15 million in unpaid wages. In addition, unreported wage information provided to the Department of Taxation and Finance is expected to result in increased State and Federal income tax payments.

### **UNEMPLOYMENT INSURANCE**

The Unemployment Insurance program makes weekly payments to eligible unemployed workers who have lost a job through no fault of their own. These temporary payments, generally available for up to 26 weeks, help workers and their families pay bills and buy basic household items while looking for work. The Department also operates a re-employment services program to further strengthen efforts to move individuals back to work. In June 2008, the Federal Extended Unemployment Compensation Program (EUC08) was enacted. It provides an additional 13 weeks of benefits to eligible claimants who have exhausted their regular Unemployment Insurance benefits. Since the inception of EUC08, various Federal legislation has been enacted to add additional weeks of EUC08 benefits, to provide a weekly \$25 Federal Additional Compensation (FAC) benefit payment, to authorize Federal reimbursement for the Extended Benefits (EB) program, and to extend the eligibility date for EUC08, FAC, and EB. Based on current legislation, a maximum total of 93 weeks of regular, EUC08 and EB benefits are available to eligible claimants, with payments continuing into the first quarter of 2012-13. In calendar year 2009, 28 million weekly benefit payments totaling \$9.2 billion were made. During calendar year 2010, as of December 17, 2010, - the high workload experienced in calendar year 2009 continued with the Department making 30 million weekly benefit payments totaling \$9.0 billion in combined regular and extended UI benefit payments - compared to 11.7 million payments totaling \$3.4 billion paid in calendar year 2008. As of December 2009, there were 611,000 claimants receiving weekly UI benefit payments, and as of December 10, 2010, there were 546,000 claimants receiving weekly benefit payments, - compared to 140,000 in December 2007.

As part of a continuing effort to make government more efficient, the Department of Labor operates a telephone claims system that uses computer technology and information received to determine if applicants are eligible to receive Unemployment Insurance benefits and to handle all other processing issues related to an individual's benefits. The system, which operates through two Tele-Claims Centers located in Troy and Endicott, replaced a process which required DOL staff to determine eligibility from paper forms filled out by applicants at local Department of Labor offices. The Department currently accepts Unemployment Insurance claims and employer registration through the Internet, with recent statistics indicating 70 percent internet usage for original and continued claims, up from 65 percent in 2009. In addition, over 50 percent of current UI claims initiated on the Internet are completed without the assistance of a call center agent.

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The Department offers two secure and convenient options for receiving benefit payments: Unemployment Insurance benefit payment debit cards, known as Direct Payment Cards, and the Direct Deposit program. These modernization initiatives have resulted in improved customer access and cost efficiencies.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	10,638,548,000	9,048,595,000	(1,589,953,000)	2,284,869,456
Aid To Localities	227,565,000	192,869,000	(34,696,000)	417,123,000
Capital Projects	0	0	0	0
Total	<u>10,866,113,000</u>	<u>9,241,464,000</u>	<u>(1,624,649,000)</u>	<u>2,701,992,456</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs	2011-12 Estimated FTEs	FTE Change
	03/31/11	03/31/12	
Administration			
Special Revenue Funds - Federal	3,389	3,417	28
Employment and Training			
Special Revenue Funds - Other	54	54	0
Labor Standards			
Special Revenue Funds - Other	249	249	0
Occupational Safety and Health			
Special Revenue Funds - Other	257	257	0
Total	<u>3,949</u>	<u>3,977</u>	<u>28</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	543,968,000	574,015,000	30,047,000
Special Revenue Funds - Other	74,580,000	74,580,000	0
Enterprise Funds	10,020,000,000	8,400,000,000	(1,620,000,000)
Total	<u>10,638,548,000</u>	<u>9,048,595,000</u>	<u>(1,589,953,000)</u>

Adjustments:

Transfer(s) From	
Labor, Department of	
Special Revenue Funds - Other	(20,000,000)
Special Pay Bill	
Special Revenue Funds - Federal	(333,000)
Transfer(s) To	
Labor, Department of	
Special Revenue Funds - Federal (Aid To Localities)	1,948,000
Enterprise Funds	20,000,000
Appropriated 2010-11	<u>10,640,163,000</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Federal	495,907,000	495,907,000	0
Employment and Training			
Special Revenue Funds - Federal	26,228,000	56,608,000	30,380,000
Special Revenue Funds - Other	4,644,000	4,644,000	0
Labor Standards			
Special Revenue Funds - Other	28,016,000	28,016,000	0
Occupational Safety and Health			
Special Revenue Funds - Other	41,920,000	41,920,000	0
Unemployment Insurance Benefit Fund			
Special Revenue Funds - Federal	21,833,000	21,500,000	(333,000)
Enterprise Funds	10,020,000,000	8,400,000,000	(1,620,000,000)
Total	<u>10,638,548,000</u>	<u>9,048,595,000</u>	<u>(1,589,953,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	495,907,000	0	235,281,000	0
Employment and Training	61,252,000	30,380,000	19,660,000	0
Labor Standards	28,016,000	0	16,104,000	(484,000)
Occupational Safety and Health	41,920,000	0	18,720,000	(620,000)
Unemployment Insurance Benefit Fund	8,421,500,000	(1,620,333,000)	0	(223,000)
Total	<u>9,048,595,000</u>	<u>(1,589,953,000)</u>	<u>289,765,000</u>	<u>(1,327,000)</u>

Program	Nonpersonal Service	
	Amount	Change
Administration	260,626,000	0
Employment and Training	41,592,000	30,380,000
Labor Standards	11,912,000	484,000
Occupational Safety and Health	23,200,000	620,000
Unemployment Insurance Benefit Fund	8,421,500,000	(1,620,110,000)
Total	<u>8,758,830,000</u>	<u>(1,588,626,000)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	227,135,000	192,439,000	(34,696,000)
Special Revenue Funds - Other	430,000	430,000	0
Total	<u>227,565,000</u>	<u>192,869,000</u>	<u>(34,696,000)</u>

Adjustments:	
Transfer(s) From	
Labor, Department of	
Special Revenue Funds - Federal	
(State Operations)	(1,948,000)
Appropriated 2010-11	<u>225,617,000</u>

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

<b>Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Administration			
Special Revenue Funds - Federal	11,608,000	15,000,000	3,392,000
Employment and Training			
Special Revenue Funds - Federal	215,527,000	177,439,000	(38,088,000)
Occupational Safety and Health			
Special Revenue Funds - Other	430,000	430,000	0
Total	<u>227,565,000</u>	<u>192,869,000</u>	<u>(34,696,000)</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 and administrative functions of the Department of Law are divided into eight major divisions: Administration, Appeals and Opinions, Counsel for the State, Criminal Justice, Economic Justice, Investigations, Social Justice and Regional Offices. Each division consists of smaller bureaus or specialized units dealing with specific issues.

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, and White Plains.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$209 million** All Funds (\$101.4 million General Fund; \$34.8 million Federal Funds; \$72.8 million Other Funds) for the Department of Law. This is a decrease of **\$1 million (-0.5 percent)** from 2010-11. This decrease is the net result of a 10 percent (\$11.3 million) decrease in the General Fund, a \$1 million decrease in Federal Funds, and an increase of \$11.3 million in Other Funds. Executive Budget appropriations support a workforce of up to **1,747 FTEs**.

## **PROGRAM HIGHLIGHTS**

Agency divisions perform the following functions:

- The Administration Division provides budget, personnel, operations and technology services for the Department.
- 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 Justice Division investigates and prosecutes criminal cases, including those involving Medicaid fraud, auto insurance fraud, white collar and organized crime cases involving multi-county, multi-state and even multi-national criminal activities occurring within New York State.

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- The Investigations Division provides investigative support for legal divisions throughout the Department, and works cooperatively with State, local and Federal law enforcement agencies on cases that cross jurisdictional lines.
- The Division of State Counsel provides State agencies, the Governor, other State officials and the Legislature with counsel and representation in legal proceedings. It recoups non tax revenue on behalf of State taxpayers and provides legal assistance to State agencies in connection with the acquisition and disposition of public land.
- The Division of Economic Justice defends and protects the public interest in the courts. It enforces laws to prevent restraint of trade, protects consumers from fraudulent and/or deceptive business practices, regulates the sale of securities, and addresses people's concerns about criminal online activities.
- The Division of Social Justice also defends and protects the public interest in the courts. It ensures compliance with the State's health care and environmental laws, enforces State Labor and Workers' Compensation Laws, protects charitable donors and beneficiaries, and enforces laws prohibiting discrimination.
- The Regional Offices' Division provides 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)**

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	210,026,000	209,020,000	(1,006,000)	26,655,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>210,026,000</u>	<u>209,020,000</u>	<u>(1,006,000)</u>	<u>26,655,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	170	170	0
Appeals and Opinions			
General Fund	56	56	0
Counsel for the State			
General Fund	355	355	0
Special Revenue Funds - Other	211	211	0
Criminal Investigations			
General Fund	95	95	0
Economic Justice			
General Fund	126	126	0
Special Revenue Funds - Other	14	14	0
Social Justice			
General Fund	136	136	0
Capital Projects Funds - Other	7	7	0
Criminal Justice			
General Fund	82	82	0
Special Revenue Funds - Other	68	68	0
Medicaid Fraud Control			
Special Revenue Funds - Federal	222	222	0
Special Revenue Funds - Other	74	74	0
Regional Offices			
General Fund	131	131	0
Total	1,747	1,747	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	112,641,000	101,381,000	(11,260,000)
Special Revenue Funds - Federal	35,820,000	34,820,000	(1,000,000)
Special Revenue Funds - Other	61,565,000	72,819,000	11,254,000
Total	210,026,000	209,020,000	(1,006,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	15,036,000	13,533,000	(1,503,000)
Appeals and Opinions			
General Fund	5,786,000	5,207,000	(579,000)
Counsel for the State			
General Fund	35,810,000	32,229,000	(3,581,000)
Special Revenue Funds - Other	46,530,000	57,997,000	11,467,000
Criminal Investigations			
General Fund	9,743,000	8,769,000	(974,000)
Economic Justice			
General Fund	11,276,000	10,149,000	(1,127,000)
Special Revenue Funds - Other	977,000	977,000	0
Social Justice			
General Fund	13,075,000	11,768,000	(1,307,000)
Criminal Justice			
General Fund	7,324,000	6,594,000	(730,000)
Special Revenue Funds - Other	2,000,000	2,000,000	0
Medicaid Fraud Control			
Special Revenue Funds - Federal	35,820,000	34,820,000	(1,000,000)
Special Revenue Funds - Other	12,058,000	11,845,000	(213,000)
Regional Offices			
General Fund	14,591,000	13,132,000	(1,459,000)
Total	<u>210,026,000</u>	<u>209,020,000</u>	<u>(1,006,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	10,821,000	(1,203,000)	10,395,000	(1,155,000)
Appeals and Opinions	4,599,000	(511,000)	4,598,000	(511,000)
Counsel for the State	26,616,000	(2,957,000)	26,603,000	(2,956,000)
Criminal Investigations	8,393,000	(932,000)	8,192,000	(910,000)
Economic Justice	9,951,000	(1,105,000)	9,940,000	(1,104,000)
Social Justice	11,570,000	(1,285,000)	11,540,000	(1,282,000)
Criminal Justice	6,430,000	(713,000)	6,295,000	(699,000)
Regional Offices	10,146,000	(1,128,000)	10,132,000	(1,126,000)
Total	<u>88,526,000</u>	<u>(9,834,000)</u>	<u>87,695,000</u>	<u>(9,743,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	402,000	(45,000)	24,000	(3,000)
Appeals and Opinions	0	0	1,000	0
Counsel for the State	0	0	13,000	(1,000)
Criminal Investigations	0	0	201,000	(22,000)
Economic Justice	0	0	11,000	(1,000)
Social Justice	0	0	30,000	(3,000)
Criminal Justice	49,000	(5,000)	86,000	(9,000)
Regional Offices	0	0	14,000	(2,000)
Total	<u>451,000</u>	<u>(50,000)</u>	<u>380,000</u>	<u>(41,000)</u>

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**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	2,712,000	(300,000)	1,589,000	(176,000)
Appeals and Opinions	608,000	(68,000)	0	0
Counsel for the State	5,613,000	(624,000)	0	0
Criminal Investigations	376,000	(42,000)	0	0
Economic Justice	198,000	(22,000)	0	0
Social Justice	198,000	(22,000)	0	0
Criminal Justice	164,000	(17,000)	5,000	0
Regional Offices	2,986,000	(331,000)	0	0
<b>Total</b>	<b>12,855,000</b>	<b>(1,426,000)</b>	<b>1,594,000</b>	<b>(176,000)</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	102,000	(11,000)	876,000	(97,000)
Appeals and Opinions	0	0	608,000	(68,000)
Counsel for the State	133,000	(15,000)	5,480,000	(609,000)
Criminal Investigations	91,000	(10,000)	285,000	(32,000)
Economic Justice	0	0	198,000	(22,000)
Social Justice	0	0	198,000	(22,000)
Criminal Justice	77,000	(8,000)	82,000	(9,000)
Regional Offices	139,000	(15,000)	2,847,000	(316,000)
<b>Total</b>	<b>542,000</b>	<b>(59,000)</b>	<b>10,574,000</b>	<b>(1,175,000)</b>

Program	Equipment	
	Amount	Change
Administration	145,000	(16,000)
Appeals and Opinions	0	0
Counsel for the State	0	0
Criminal Investigations	0	0
Economic Justice	0	0
Social Justice	0	0
Criminal Justice	0	0
Regional Offices	0	0
<b>Total</b>	<b>145,000</b>	<b>(16,000)</b>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Counsel for the State	57,997,000	11,467,000	12,167,000	2,256,000
Economic Justice	977,000	0	589,000	0
Criminal Justice	2,000,000	0	0	0
Medicaid Fraud Control	46,665,000	(1,213,000)	25,632,000	0
<b>Total</b>	<b>107,639,000</b>	<b>10,254,000</b>	<b>38,388,000</b>	<b>2,256,000</b>

Program	Nonpersonal Service	
	Amount	Change
Counsel for the State	45,830,000	9,211,000
Economic Justice	388,000	0
Criminal Justice	2,000,000	0
Medicaid Fraud Control	21,033,000	(1,213,000)
<b>Total</b>	<b>69,251,000</b>	<b>7,998,000</b>

# ***DIVISION OF THE LOTTERY***

## ***MISSION***

In 1966, New Yorkers approved a constitutional amendment to authorize a State Lottery in support of education. The Division of the Lottery raises revenue through the sale and marketing of Lottery games.

## ***ORGANIZATION AND STAFFING***

The Division of the Lottery is an independent unit of the Department of Taxation and Finance, whose Commissioner appoints the Director of the Lottery. The Division maintains a central office in Schenectady, regional offices in Buffalo, Syracuse, New York City and Long Island, a satellite office in Fishkill to serve the Hudson Valley, and a customer service center in Rochester. Marketing sales representatives, assigned to the regional offices around the State, recruit and support point-of-sale retailers, which include convenience stores, newsstands, supermarkets, restaurants and bowling centers.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends **\$89.7 million** All Funds for the Division of the Lottery. This is a decrease of **\$5.6 million (-5.9 percent)** in All Funds from the 2010-11 budget, primarily reflecting achieved savings in nonpersonal services expenditures. Lottery is continuing to achieve reductions through a successful contract negotiation with its full service contractor, who provides services for both draw and instant games.

The Executive Budget recommends a staffing level of **369 FTEs** for the Division of the Lottery. This level reflects an increase of 50 FTEs to enable Lottery to implement much needed revenue enhancements to help close the State budget gap. In addition, the Division will implement measures to improve efficiency of Lottery sales.

The Executive Budget proposes legislation that will remove location restrictions on the Quick Draw game, expand subsidized free play offerings at video gaming facilities, and allow for increased prize payouts on multi-jurisdictional and instant games.

## ***PROGRAM HIGHLIGHTS***

The Division of the Lottery sells games through approximately 17,000 licensed retailers and soon to be nine licensed video gaming facilities across New York State. The Lottery offers three distinct products: 1) Draw games, such as Numbers, Win 4, Pick 10, Take 5, Quick Draw, Lotto, Sweet Million, Mega Millions, and Powerball, 2) Instant scratch-off games, and 3) Video Lottery games.

Draw games are conducted multiple times per day, daily, or twice weekly, depending on the game. Players try to win prizes by matching their selected numbers to those drawn by the Lottery. Quick Draw, first introduced in 1995, draws random numbers electronically on a central computer system every four minutes. Quick Draw is displayed at approximately 3,600 licensed retailers statewide, such as restaurants, OTB's, and bowling centers. Pursuant to legislation enacted in 2001, the Lottery entered into an agreement with nine other states to create the multi-state Lottery game called Mega Millions. Mega Millions' first drawing in New York occurred on May 17, 2002. Currently, 12 states participate in Mega Millions including New York, California, Georgia, Illinois, Maryland, Massachusetts, Michigan, New Jersey, Ohio, Texas,

## LOTTERY

Virginia, and Washington. In 2009-10, the Mega Millions consortium reached an agreement with the Multi-State Lottery Association (MUSL) to cross-sell Mega Millions and Powerball, allowing New York to sell the Powerball game and expanding the number of jurisdictions offering each game to 44. Powerball was offered for the first time in New York in February 2010.

Instant scratch-off games are played by instantly revealing pre-selected characters and prizes on a game ticket. Instant games have contributed significantly to the growth of Lottery revenues. The Lottery will market approximately 30 to 40 new Instant games during 2011-12, with ticket prices ranging from \$1 to \$30.

Video Lottery games are played on video lottery terminals (VLTs) and electronic table games (ETG) which interact with a central gaming system. Video lottery gaming was authorized in 2001 by legislation enacted to broaden the Lottery gaming opportunities in New York State. This legislation permitted the installation of VLTs at horse racing facilities across the State. Eight racetracks currently offer video lottery gaming: Batavia Downs Casino, Hamburg Casino at the Fairgrounds, Finger Lakes Casino & Racetrack, Monticello Casino & Raceway, Saratoga Gaming & Raceway, Tioga Downs Casino, Vernon Downs Casino, and Empire City Casino at Yonkers Raceway, with a ninth location to be opened soon, Resorts World New York, located at Aqueduct Racetrack.

The 2011-12 Executive Budget provides funds necessary for the Lottery to administer, operate, and market traditional Lottery games for the coming fiscal year. The 2011-12 Executive Budget also provides the necessary funding for the video lottery program's continued operation and implementation.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	95,310,700	89,704,000	(5,606,700)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>95,310,700</u>	<u>89,704,000</u>	<u>(5,606,700)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration of the Lottery Program			
Special Revenue Funds - Other	297	309	12
Administration of the VLT Program			
Special Revenue Funds - Other	22	60	38
Total	<u>319</u>	<u>369</u>	<u>50</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

# LOTTERY

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Special Revenue Funds - Other	95,310,700	89,704,000	(5,606,700)
Total	<u>95,310,700</u>	<u>89,704,000</u>	<u>(5,606,700)</u>

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Administration of the Lottery Program			
Special Revenue Funds - Other	84,476,800	80,052,000	(4,424,800)
Administration of the VLT Program			
Special Revenue Funds - Other	10,833,900	9,652,000	(1,181,900)
Total	<u>95,310,700</u>	<u>89,704,000</u>	<u>(5,606,700)</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration of the Lottery Program	80,052,000	(4,424,800)	21,189,000	1,101,300
Administration of the VLT Program	9,652,000	(1,181,900)	3,313,000	649,000
Total	<u>89,704,000</u>	<u>(5,606,700)</u>	<u>24,502,000</u>	<u>1,750,300</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Administration of the Lottery Program	58,863,000	(5,526,100)
Administration of the VLT Program	6,339,000	(1,830,900)
Total	<u>65,202,000</u>	<u>(7,357,000)</u>

# **DEPARTMENT OF MENTAL HYGIENE**

The Department of Mental Hygiene operates through three independent agencies – the Office of Mental Health, the Office for People With Developmental Disabilities, and the Office of Alcoholism and Substance Abuse Services. All three agencies provide services directly to their clients through State-operated facilities and receive reimbursement for these services, primarily with Medicaid funds.

Patient revenues in the Patient Income Account are pledged first to the payment of debt service on outstanding Mental Hygiene bonds. The recommended \$600 million in new appropriations from the Patient Income Account and the Mental Hygiene Program Fund may be distributed to any of the three agencies in order to access additional revenues made available or through a decreased set-aside for debt service resulting from planned debt management actions.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	600,000,000	600,000,000	0	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>600,000,000</u>	<u>600,000,000</u>	<u>0</u>	<u>0</u>

# **OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

## **MISSION**

The mission of the Office of Alcoholism and Substance Abuse Services (OASAS) is to improve the lives of New Yorkers by leading a premier system of addiction services through prevention, treatment, and recovery.

## **ORGANIZATION AND STAFFING**

Headed by a Commissioner appointed by the Governor, subject to Senate confirmation, OASAS is responsible for the development and management of the State's policy on chemical dependence and problem gambling. The Office exercises these responsibilities directly as a provider of treatment services through a statewide system of Addiction Treatment Centers (ATCs), through the regulation and oversight of over 1,550 chemical dependence and problem gambling prevention, treatment, and recovery service providers, and as a conduit for Federal and State financial assistance. The Office also furthers State policy goals in areas that include Public Safety, Public Health, Public Welfare, and Public Education by coordinating chemical dependence and problem gambling resources and strategies in collaboration with other State agencies through the Addictions Collaborative to Improve Outcomes for New Yorkers (ACTION).

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommends nearly **\$671 million** All Funds (\$432 million State Operating Funds; \$239 million Other Funds) for OASAS, which represents a decrease of **\$46 million (-6.4 percent)**, which is largely attributable to the actions summarized below.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

In addition to 10 percent reductions in State operations, major new actions to promote cost efficiency include:

- **Deferring Cost-of-Living Adjustment (COLA).** Defer the planned 1.2 percent human services COLA for one year. However, to continue the State's long-term commitment, a three-year human services COLA is planned to commence April 1, 2012 and continue through the 2014-15 fiscal year.
- **Refocusing and Redesigning Programs and Services.** Reduce funding for OASAS programs that fail to meet established performance indicators; reduce and restructure 41 existing gambling education, assessment and referral programs; delay the development of five gambling prevention programs and three Recovery Community Centers; and eliminate planned new funding for additional re-entry services. The 1.1 percent reduction to local payments implemented in 2010-11 is also continued.

## **ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

- **Providing Services under Drug Law Reform.** Continue the current year levels of funding for OASAS costs related to recent drug law reforms, including maintaining 250 residential beds added in 2010-11. As a result, services for this population will be supported within existing OASAS capacity by enhanced performance and the prioritization of services.

### **PROGRAM HIGHLIGHTS**

OASAS administers a comprehensive array of prevention, treatment, and recovery services for New Yorkers. This is accomplished through a highly qualified network of State, local government, voluntary agency, and school district providers with a paid and volunteer workforce of 35,000. In accordance with Federal and State statute, OASAS licenses and regulates program providers, ensures that fiscal resources are appropriately spent, and assists local programs in providing the highest quality services.

Approximately 260,000 individuals receive services annually in New York State's licensed chemical dependence treatment and problem gambling system, which is provided by approximately 1,100 community-based programs. About 107,000 individuals are enrolled in New York's chemical dependence treatment programs on any given day. OASAS also provides funding to approximately 300 prevention providers located in over 2,800 sites, combined with an additional 114 community coalitions across the State. They utilize evidence-based, outcome-oriented programs focusing on such risk factors as family conflict, permissive attitudes towards alcohol and substance abuse, and lack of commitment to school, which research shows are predictive of adolescent problem behaviors like alcohol and substance abuse, delinquency, teen pregnancy, school drop-out, and violence. While reducing these risk factors, prevention programs also focus on nurturing healthy beliefs and clear standards within community and family, since combining both activities is crucial to reducing the prevalence of problem behaviors like alcohol and substance abuse.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	130,710,000	119,013,400	(11,696,600)	4,288,000
Aid To Localities	477,234,000	454,121,000	(23,113,000)	191,600,000
Capital Projects	108,934,000	97,606,000	(11,328,000)	456,406,000
Total	<u>716,878,000</u>	<u>670,740,400</u>	<u>(46,137,600)</u>	<u>652,294,000</u>

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Executive Direction			
Special Revenue Funds - Federal	74	74	0
Special Revenue Funds - Other	290	281	(9)
Institutional Services			
Special Revenue Funds - Federal	16	16	0
Special Revenue Funds - Other	462	446	(16)
Total	842	817	(25)

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	6,805,000	6,530,000	(275,000)
Special Revenue Funds - Other	123,905,000	112,483,400	(11,421,600)
Total	130,710,000	119,013,400	(11,696,600)

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

Program	Available 2010-11	Recommended 2011-12	Change
Executive Direction			
Special Revenue Funds - Federal	5,605,000	5,320,000	(285,000)
Special Revenue Funds - Other	53,307,000	47,976,300	(5,330,700)
Institutional Services			
Special Revenue Funds - Federal	1,200,000	1,210,000	10,000
Special Revenue Funds - Other	70,598,000	64,507,100	(6,090,900)
Total	130,710,000	119,013,400	(11,696,600)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Executive Direction	53,296,300	(5,615,700)	27,973,100	(2,806,900)
Institutional Services	65,717,100	(6,080,900)	33,802,700	(2,941,300)
Total	119,013,400	(11,696,600)	61,775,800	(5,748,200)

Program	Nonpersonal Service	
	Amount	Change
Executive Direction	25,323,200	(2,808,800)
Institutional Services	31,914,400	(3,139,600)
Total	57,237,600	(5,948,400)

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	39,000,000	36,878,500	(2,121,500)
Special Revenue Funds - Federal	139,755,000	135,000,000	(4,755,000)
Special Revenue Funds - Other	298,479,000	282,242,500	(16,236,500)
Total	<u>477,234,000</u>	<u>454,121,000</u>	<u>(23,113,000)</u>

Adjustments:

Transfer(s) From			
Alcoholism and Substance Abuse Services, Office of General Fund	(110,400,000)		
Transfer(s) To			
Alcoholism and Substance Abuse Services, Office of Special Revenue Funds - Other	110,400,000		
Appropriated 2010-11	<u>477,234,000</u>		

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

Program	Available 2010-11	Recommended 2011-12	Change
Community Treatment Services Program			
General Fund	39,000,000	36,878,500	(2,121,500)
Special Revenue Funds - Federal	106,000,000	106,000,000	0
Special Revenue Funds - Other	245,600,000	232,240,000	(13,360,000)
Prevention and Program Support			
Special Revenue Funds - Federal	33,755,000	29,000,000	(4,755,000)
Special Revenue Funds - Other	52,879,000	50,002,500	(2,876,500)
Total	<u>477,234,000</u>	<u>454,121,000</u>	<u>(23,113,000)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Design and Construction Supervision				
Capital Projects Fund	3,000,000	3,000,000	0	5,731,000
MH Capital Improvements - Authority Bonds	500,000	500,000	0	1,000,000
Administration				
Capital Projects Fund	1,328,000	0	(1,328,000)	0
Community Alcoholism and Substance Abuse Facilities				
Capital Projects Fund	4,810,000	4,810,000	0	25,115,000
MH Capital Improvements - Authority Bonds	94,546,000	80,546,000	(14,000,000)	402,090,000
Institutional Services Program				
Capital Projects Fund	1,000,000	1,000,000	0	3,160,000
MH Capital Improvements - Authority Bonds	3,000,000	7,000,000	4,000,000	19,310,000
Non-Bondable				
Capital Projects Fund	750,000	750,000	0	0
Total	<u>108,934,000</u>	<u>97,606,000</u>	<u>(11,328,000)</u>	<u>456,406,000</u>

# **OFFICE OF MENTAL HEALTH**

## **MISSION**

The Office of Mental Health's (OMH) mission is to promote the mental health of all New Yorkers, with a particular focus on providing hope and recovery for adults and children with serious mental illness or emotional disturbances.

## **ORGANIZATION AND STAFFING**

The Office of Mental Health is headed by a Commissioner who is appointed by the Governor subject to Senate confirmation. New York's public mental health system consists of programs that are operated by the Office of Mental Health, as well as community programs certified and funded by the State, but operated by local governments, not-for-profit, and proprietary providers.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$3.6 billion** in All Funds appropriations for the Office of Mental Health (OMH). This is a net decrease of **\$95 million (-2.6 percent)**. This reflects roughly \$40 million of additional spending to provide supported housing and services for certain adult home residents pursuant to a Federal court order, offset by a net reduction in all other services.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

OMH continues to improve the efficiency and cost-effectiveness of its operations and the network of non-profit providers it supports, and has ongoing efforts to reform or restructure activities based on a review of its core mission. In addition to savings initiatives undertaken in 2010-11 to control costs, including a significant slowdown in new residential bed development, major new budget actions to promote cost efficiency and rationalize reimbursement include:

- **Aid to Localities Residential Actions:** Freeze development of all new OMH community residential programs for one year. The savings from this delay in development will help provide resources for additional costs pursuant to a Federal court order for certain adult home residents in New York City. Eliminate funding over the next two years for family-based treatment beds, which have not been as effective as projected; reduce aid to providers that are funded above the regional per bed models for supported housing; convert residential pipeline units to lower-cost alternatives, and reprogram 250 planned supported housing beds for adult home litigation requirements.
- **Aid to Localities Non-Residential Efficiencies:** Restructure a variety of non-residential OMH programs, including Continuing Day Treatment to encourage use of the more effective Personalized Recovery Oriented Services program; targeted funding reductions to encourage efficiencies in certain community support programs, children's Clinic-Plus, non-direct services; and local administration. Continue the 1.1 percent cross-the-board reduction on existing local aid programs implemented in 2010-11.

## **MENTAL HEALTH**

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- **OMH COLA and Trend:** Defer the planned 1.2 percent Human Services COLA for one year, but extend the legislation for another year through 2014-15. Additionally, the rates for Residential Treatment Facilities and the Community Residence/Family Based Treatment programs will be maintained at existing levels.
- **Enhanced Auditing for Recovery of OMH Medicaid and State Aid Payments:** OMH will renew efforts to recover State funds with enhanced audit activities, including reconciliations, State aid letters and direct contract close-outs.
- **Reform/Efficiencies in State Operations:** As part of State Operations reductions of 10 percent, OMH will reduce State-operated inpatient capacity based on a review of current census patterns, and continue efforts to maximize community placement and consolidate capacity and administrative functions throughout the system.
- **Continuation of Restructuring Efforts:** OMH will continue implementing the Ambulatory Care restructuring started in 2008-09, which will rationalize the reimbursement of providers of mental health clinical services. Additionally, OMH will focus on best practices modalities, including the creation of a behavioral health care coordination effort to improve quality care for individuals with mental illness. Also, OMH was awarded a third Federal grant of nearly \$10 million (an increase of \$4 million over 2010-11 levels) to continue improving employment opportunities for individuals with mental illness.
- **Adult Home Litigation:** In response to a Federal court order, the Budget continues a multi-year plan to provide funding for additional supported housing and support services for 4,500 individuals leaving New York City adult homes. A total of \$41.3 million will fund 1,500 rental housing units and services for the first of these individuals beginning February 1, 2011. To address a portion of the funding needed for these individuals, resources will be reprogrammed for this purpose from 250 planned Supported Housing units.

### **PROGRAM HIGHLIGHTS**

As the State's mental health authority, OMH gives priority to ensuring access to high quality services for adults and children with severe mental illness or serious emotional disturbances. In addition, OMH promotes overall public mental health through education and advocacy. The Agency has four lines of business underpinning these functions:

- **Regulating, Certifying, Financing and Overseeing New York's Public Mental Health System.** OMH oversees 58 local governmental units, one of which covers New York City in its entirety. The Agency also regulates and/or licenses more than 2,500 mental health programs operated by local governments and private agencies serving nearly 700,000 persons annually, including inpatient, outpatient, emergency, residential and family care, and community support services;
- **Providing State-operated Inpatient and Outpatient Mental Health Services.** OMH is a major provider of intermediate and long-term inpatient as well as outpatient treatment services through a network of psychiatric centers that includes Adult Psychiatric Centers, Children's Psychiatric Centers, and facilities serving forensic patients involved with the criminal justice system. Additionally, OMH provides mental health services around the State to inmates incarcerated in Department of Correctional Services' facilities;

## MENTAL HEALTH

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- **Conducting Basic and Applied Research to Advance Prevention, Treatment, and Recovery.** OMH conducts basic and applied research at the New York State Psychiatric Institute in Manhattan and the Nathan S. Kline Institute for Psychiatric Research in Rockland County, with a focus on identifying interventions that have been proven by scientific research to be effective and that can be incorporated into mainstream practice. New York State's investment in research is augmented by many grants from Federal and other sources through the Research Foundation for Mental Hygiene (RFMH), Inc. Additionally, OMH's Office of Performance Measurement and Evaluation conducts evaluation research and statistical analyses which are used to examine service outcomes, investigate pressing mental health issues, and develop sound approaches for improving service quality and access; and
- **Promoting Public Mental Health through Education and Outreach.** OMH supports a variety of educational activities focusing on the nature and impact of mental illness, effective treatments and services, useful preventive and coping strategies, and service accessibility. The Agency's information dissemination strategies are designed to reach as many New Yorkers as possible, with a particular focus on high-risk groups.

To live successfully, most individuals with serious mental illness need both treatments that manage or eliminate their psychiatric symptoms and support services that address the needs associated with the disabling effects of their illness. Public mental health services are grouped in four major categories across the health care continuum: community support, and outpatient, inpatient, and emergency services. In New York State, both State- and locally-operated programs provide services in each of these four categories:

- **Community Support** helps individuals diagnosed with serious mental illness live as independently as possible in the community, and helps children with serious emotional disturbance remain with their families. These programs provide case management, vocational, self-help, residential and other support services. Although the specific array of community support services differs for adults and children, the goal is always to support successful and full community living;
- **Outpatient Services** provide treatment and rehabilitation in an ambulatory setting, including clinics, partial hospitalization, day treatment for children, continuing day treatment for adults, Assertive Community Treatment (ACT), Prepaid Mental Health Plan (PMHP), and Personalized Recovery-Oriented Services (PROS);
- **Inpatient Services** provide acute stabilization and intensive treatment and rehabilitation with 24-hour care in a controlled environment when community services and supports do not meet the needs of adults and children; and
- **Emergency Services** provide rapid psychiatric and/or medical stabilization and ensure the safety of individuals who present a risk to themselves or others. These programs include a range of crisis counseling and residential services, as well as Comprehensive Psychiatric Emergency Programs.

In all mental health settings, the fundamental goal of OMH is to maximize access to quality mental health care for every single New Yorker. This includes bridging the gap between science and service; focusing on accountability for results, best practices, and coordination of care; and eliminating disparities and promoting culturally and linguistically competent services and supports.

# MENTAL HEALTH

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	2,156,245,000	2,051,226,000	(105,019,000)	2,639,000
Aid To Localities	1,275,183,000	1,298,434,000	23,251,000	40,108,000
Capital Projects	234,291,000	220,874,000	(13,417,000)	1,982,774,000
Total	<u>3,665,719,000</u>	<u>3,570,534,000</u>	<u>(95,185,000)</u>	<u>2,025,521,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration and Finance		
Special Revenue Funds - Federal	11	11	0
Special Revenue Funds - Other	615	615	0
Enterprise Funds	10	10	0
Internal Service Funds	17	17	0
Adult Services			
Special Revenue Funds - Other	10,737	10,637	(100)
Capital Planning			
Capital Projects Funds - Other	41	41	0
Children and Youth Services			
Special Revenue Funds - Other	1,906	1,906	0
Forensic Services			
Special Revenue Funds - Other	1,949	1,949	0
Research			
Special Revenue Funds - Other	474	474	0
Total	<u>15,760</u>	<u>15,660</u>	<u>(100)</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	800,000	800,000	0
Special Revenue Funds - Federal	2,038,000	2,038,000	0
Special Revenue Funds - Other	2,141,991,000	2,037,172,000	(104,819,000)
Enterprise Funds	8,606,000	8,606,000	0
Internal Service Funds	2,810,000	2,610,000	(200,000)
Total	<u>2,156,245,000</u>	<u>2,051,226,000</u>	<u>(105,019,000)</u>

Adjustments:

Transfer(s) From

    Special Pay Bill

        Special Revenue Funds - Other

Appropriated 2010-11

(24,951,000)

2,131,294,000

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration and Finance			
Special Revenue Funds - Federal	2,038,000	2,038,000	0
Special Revenue Funds - Other	102,076,000	92,631,000	(9,445,000)
Enterprise Funds	8,606,000	8,606,000	0
Internal Service Funds	2,810,000	2,610,000	(200,000)
Adult Services			
General Fund	800,000	800,000	0
Special Revenue Funds - Other	1,455,756,000	1,395,285,000	(60,471,000)
Children and Youth Services			
Special Revenue Funds - Other	227,880,000	227,880,000	0
Forensic Services			
Special Revenue Funds - Other	267,926,000	241,134,000	(26,792,000)
Research			
Special Revenue Funds - Other	88,353,000	80,242,000	(8,111,000)
Total	<u>2,156,245,000</u>	<u>2,051,226,000</u>	<u>(105,019,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Travel	
	Amount	Change	Amount	Change
Adult Services	800,000	0	800,000	0
Total	<u>800,000</u>	<u>0</u>	<u>800,000</u>	<u>0</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration and Finance	105,885,000	(9,645,000)	43,114,000	(6,698,000)
Adult Services	1,395,285,000	(60,471,000)	760,615,000	(33,328,000)
Children and Youth Services	227,880,000	0	137,735,000	0
Forensic Services	241,134,000	(26,792,000)	146,029,000	(16,224,000)
Research	80,242,000	(8,111,000)	44,708,000	(4,755,000)
Total	<u>2,050,426,000</u>	<u>(105,019,000)</u>	<u>1,132,201,000</u>	<u>(61,005,000)</u>

Program	Nonpersonal Service	
	Amount	Change
Administration and Finance	62,771,000	(2,947,000)
Adult Services	634,670,000	(27,143,000)
Children and Youth Services	90,145,000	0
Forensic Services	95,105,000	(10,568,000)
Research	35,534,000	(3,356,000)
Total	<u>918,225,000</u>	<u>(44,014,000)</u>

# MENTAL HEALTH

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	420,982,000	420,982,000	0
Special Revenue Funds - Federal	46,807,000	51,414,000	4,607,000
Special Revenue Funds - Other	807,394,000	826,038,000	18,644,000
Total	<u>1,275,183,000</u>	<u>1,298,434,000</u>	<u>23,251,000</u>

Adjustments:

Prior Year Deficiency			
Mental Health, Office of			
General Fund	3,000,000		
Special Revenue Funds - Other	29,000,000		
Transfer(s) From			
Mental Health, Office of			
General Fund	(136,772,000)		
Transfer(s) To			
Mental Health, Office of			
Special Revenue Funds - Other	136,772,000		
Appropriated 2010-11	<u>1,307,183,000</u>		

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

Program	Available 2010-11	Recommended 2011-12	Change
Adult Services			
General Fund	295,979,000	295,979,000	0
Special Revenue Funds - Federal	41,006,000	45,613,000	4,607,000
Special Revenue Funds - Other	687,586,000	706,230,000	18,644,000
Children and Youth Services			
General Fund	125,003,000	125,003,000	0
Special Revenue Funds - Federal	5,801,000	5,801,000	0
Special Revenue Funds - Other	119,808,000	119,808,000	0
Total	<u>1,275,183,000</u>	<u>1,298,434,000</u>	<u>23,251,000</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Design and Construction Supervision				
Capital Projects Fund	2,000,000	2,000,000	0	3,492,000
MH Capital Improvements - Authority Bonds	12,000,000	12,000,000	0	22,153,000
Executive Direction				
Capital Projects Fund	0	0	0	2,445,000
MH Capital Improvements - Authority Bonds	3,717,000	3,717,000	0	5,799,000
Community Mental Health Facilities				
Capital Projects Fund	6,000,000	6,000,000	0	40,442,000
MH Capital Improvements - Authority Bonds	5,639,000	5,639,000	0	713,178,000
Maintenance and Improvements of Existing Facilities				
Capital Projects Fund	28,600,000	28,600,000	0	62,363,000
MH Capital Improvements - Authority Bonds	175,335,000	161,918,000	(13,417,000)	1,127,857,000
Non-Bondable				
Capital Projects Fund	1,000,000	1,000,000	0	5,045,000
Total	<u>234,291,000</u>	<u>220,874,000</u>	<u>(13,417,000)</u>	<u>1,982,774,000</u>

# **OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES**

## **MISSION**

The mission of the Office for People with Developmental Disabilities (OPWDD) is to help people with developmental disabilities live richer lives. The agency's vision is to ensure that people with developmental disabilities enjoy meaningful relationships with family, friends, and others in their lives; experience personal health and growth; and live in homes and fully participate in the communities of their choice.

## **ORGANIZATION AND STAFFING**

Under the direction of a Commissioner appointed by the Governor and subject to Senate confirmation, OPWDD currently operates through 13 district offices called Developmental Disabilities Services Offices (DDSO). Its Central Office oversees and supports operations of the district offices. OPWDD also operates the Institute for Basic Research in Developmental Disabilities (IBR) on Staten Island. By the end of 2011-12, there will be approximately 37,000 individuals with developmental disabilities residing in community settings funded by the State, with 300 individuals living in developmental centers and approximately 1,000 in special units. Over the past two decades, the developmental center population has declined by more than 9,000 and the current plan is to move all remaining 300 individuals in developmental centers to the community by 2014.

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommends almost **\$4.6 billion** All Funds appropriations (\$1.4 billion General Fund; \$3.2 billion Other Funds) for OPWDD to continue to support a comprehensive system of care serving the more than 126,000 persons with developmental disabilities and their families. This is a decrease of **\$167 million (-3.5 percent)** from 2010-11, which is largely attributable to the actions outlined below. The Executive Budget recommendations for 2011-12 require a number of savings actions in both State Operations and Local Assistance, while recognizing the need to maintain essential direct supports and services and maintain the high quality of care for individuals with developmental disabilities in both not-for-profit and OPWDD-operated programs.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

The overall recommendation maintains the State's commitment to support a wide range of New Yorkers with developmental disabilities, including those who are medically frail, behaviorally challenged - especially those with autism - those who have been placed out-of-State or who are "aging out" of education or other child care systems, as well as those living at home. However, OPWDD continues to improve the efficiency and cost-effectiveness of its operations and the network of not-for-profit providers it oversees and financially supports. In addition to a 10 percent reduction in State Operations costs, major new budget actions to promote cost efficiency, streamline operations, restructure programs and services, and rationalize reimbursement include:

## **PEOPLE WITH DEVELOPMENTAL DISABILITIES**

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- **Deferring Cost-of-Living Adjustment (COLA).** Defer the planned 1.2 percent human services COLA for one year. However, to continue the State's long-term commitment, a three-year human services COLA is planned to commence April 1, 2012 and continue through the 2014-15 fiscal year.
- **Reforming of Various Programs.** Reform the financing of various OPWDD programs through rate, price and contract adjustments to both residential and non-residential services to reflect efficiencies, program restructurings and other cost savings. These reforms include more aggressive reviews of providers' overall surplus/loss analysis, as well as further constraints on administrative and non-personal service costs. Funding for workshop, day training and other day services will be reduced to encourage placements into other more effective community-based integrated day and employment programs. In addition, funding for transportation services and residential habilitation services delivered in supervised Individualized Residential Alternative programs will be reduced to encourage efficiencies.
- **Managing the Development of Community Residential Opportunities.** Delay the development of OPWDD community adult and children residential opportunities while investing funding to add 2,300 lower-cost residential and/or non-residential opportunities to support individuals and their families during this period. Continue the 1.1 percent local aid reduction begun in 2010-11.

### **PROGRAM HIGHLIGHTS**

OPWDD serves more than 126,000 New Yorkers with developmental disabilities, which include primarily developmental disabilities, autism, epilepsy, cerebral palsy, and neurological impairments. In recent years, New York has made great strides in improving its methods of delivering services to this vulnerable population, moving more people from institutions to the community than any other state in the nation. In addition, OPWDD continues to place greater emphasis on individual choice, opportunities that support greater independence and integration into the community, improved sustainability, and satisfaction, and has instituted a recurring survey designed by individuals, families and other stakeholders, which is used to evaluate individuals' satisfaction and the success of residential opportunities under the NYS-CARES program.

Under a 1991 Federal Medicaid waiver, individuals with developmental disabilities have the opportunity to receive individualized services in less restrictive settings. With the aid of trained service coordinators, individuals choose the services they need and receive them in appropriate settings. The HCBS waiver promotes smaller, more natural home environments and people living with families or independently with appropriate supports. Home size has continued to decrease, thereby supporting individualized, quality services. Today, two-thirds of the homes in the community accommodate six people or less; of these, two-thirds accommodate four people or less.

Maintaining a statewide system of services, delivered through both the State and not-for-profit providers, OPWDD:

- Provides over 38,000 persons with certified community and institutional residential services. Since 1998, more than 18,000 people have left the residential registration list for homes in the community;
- Provides over 58,000 people with community day services; and
- Supports another 43,000 people who live with their families.

An overview of these services is provided below.

## **PEOPLE WITH DEVELOPMENTAL DISABILITIES**

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### **RESIDENTIAL SERVICES**

Residential services are offered through a continuum of programs in both community and institutional settings. The alternative that provides the most intensive services in a community setting is the Intermediate Care Facility for the Developmentally Disabled (ICF/DD). These facilities – approximately 6,000 beds operated statewide by both State and not-for-profit providers – are appropriate for individuals requiring intensive 24-hour care.

The most common residential opportunity for persons under the waiver is in Individual Residential Alternatives (IRAs) – homes, typically for four to eight people, operated by either the State or not-for-profit providers in the community. This budget supports more than 28,000 individuals with developmental disabilities living in this setting with accompanying service coordination. Other community living arrangements include Community Residences and Family Care homes, which serve more than 2,800 people.

In addition to these community-based residential programs, OPWDD operates nine campuses across the State. Approximately 1,300 people will be served in these settings by the end of 2011-12, of which more than 75 percent will be receiving specialized services. OPWDD remains committed to providing community residential opportunities for all those in State institutions who can receive appropriate care in the community. Currently, New York serves more persons in community residential settings than any other state, with the exception of California.

### **DAY SERVICES**

OPWDD supports an array of day services for persons with developmental disabilities, which also vary depending on the needs of the individuals. The major programs include:

- Day treatment, which provides diagnostic, treatment and rehabilitative services;
- Day habilitation, a smaller, more individualized service for persons under the Federal Medicaid waiver for home and community based services;
- Supported employment, which provides the opportunity for individuals to work in competitive positions, usually in integrated settings in the private sector;
- Sheltered workshops, which provide basic, non-competitive work opportunities; and,
- Day training, which develops the knowledge and skills that enable persons with developmental disabilities to improve their personal, social, and vocational skills and to function independently.

### **SUPPORT FOR INDIVIDUALS LIVING IN THEIR OWN HOMES**

OPWDD services also support families and individuals with developmental disabilities in their own homes.

The Family Support Services program currently assists nearly 43,000 persons with developmental disabilities and their families, enabling these individuals to remain at home and receive over 73,000 individualized services. Services offered include respite, crisis intervention, case management, recreation, information and referral, and home care. Funding for services to individuals with developmental disabilities and families has also been expanded within Family Support Services.

## **PEOPLE WITH DEVELOPMENTAL DISABILITIES**

The Individualized Support Services program provides services to nearly 2,200 individuals with developmental disabilities who live independently. In addition, nearly 11,000 individuals living in their own homes receive residential habilitation under the Federal Medicaid waiver with funding to support an additional 1,500 individuals with developmental disabilities. The Care-at-Home program provides a third alternative, designed to preserve family settings for persons under 18 years of age with developmental disabilities who are medically frail. This program allows the parents of young persons with severe disabilities to maintain the child at home, regardless of family income level, thereby preventing more costly out-of-home placements.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	2,263,789,000	2,150,820,700	(112,968,300)	3,714,000
Aid To Localities	2,363,796,000	2,296,901,500	(66,894,500)	0
Capital Projects	139,560,000	151,995,000	12,435,000	380,330,000
Total	<u>4,767,145,000</u>	<u>4,599,717,200</u>	<u>(167,427,800)</u>	<u>384,044,000</u>

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

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

<b>Program</b>	<b>2010-11 Estimated FTEs 03/31/11</b>	<b>2011-12 Estimated FTEs 03/31/12</b>	<b>FTE Change</b>
Central Coordination and Support			
Special Revenue Funds - Other	745	739	(6)
Community Services			
Special Revenue Funds - Other	14,721	14,600	(121)
Institutional Services			
Special Revenue Funds - Other	5,743	5,696	(47)
Research in Mental Retardation			
Special Revenue Funds - Other	140	139	(1)
Total	<u>21,349</u>	<u>21,174</u>	<u>(175)</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

<b>Fund Type</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>
Special Revenue Funds - Federal	751,000	751,000	0
Special Revenue Funds - Other	2,260,020,000	2,147,051,700	(112,968,300)
Enterprise Funds	2,668,000	2,668,000	0
Internal Service Funds	350,000	350,000	0
Total	<u>2,263,789,000</u>	<u>2,150,820,700</u>	<u>(112,968,300)</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	(4,328,000)		
Appropriated 2010-11	<u>2,259,461,000</u>		

# PEOPLE WITH DEVELOPMENTAL DISABILITIES

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

Program	Available 2010-11	Recommended 2011-12	Change
Central Coordination and Support			
Special Revenue Funds - Federal	751,000	751,000	0
Special Revenue Funds - Other	120,390,000	114,370,500	(6,019,500)
Internal Service Funds	350,000	350,000	0
Community Services			
Special Revenue Funds - Other	1,372,491,000	1,303,866,450	(68,624,550)
Institutional Services			
Special Revenue Funds - Other	740,245,000	703,257,950	(36,987,050)
Enterprise Funds	2,668,000	2,668,000	0
Research in Mental Retardation			
Special Revenue Funds - Other	26,894,000	25,556,800	(1,337,200)
Total	<u>2,263,789,000</u>	<u>2,150,820,700</u>	<u>(112,968,300)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Central Coordination and Support	115,471,500	(6,019,500)	59,397,800	(3,126,200)
Community Services	1,303,866,450	(68,624,550)	771,132,100	(40,585,900)
Institutional Services	705,925,950	(36,987,050)	321,096,450	(16,884,550)
Research in Mental Retardation	25,556,800	(1,337,200)	15,677,850	(825,150)
Total	<u>2,150,820,700</u>	<u>(112,968,300)</u>	<u>1,167,304,200</u>	<u>(61,421,800)</u>

Program	Nonpersonal Service	
	Amount	Change
Central Coordination and Support	56,073,700	(2,893,300)
Community Services	532,734,350	(28,038,650)
Institutional Services	384,829,500	(20,102,500)
Research in Mental Retardation	9,878,950	(512,050)
Total	<u>983,516,500</u>	<u>(51,546,500)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	1,472,023,000	1,430,364,800	(41,658,200)
Special Revenue Funds - Other	891,773,000	866,536,700	(25,236,300)
Total	<u>2,363,796,000</u>	<u>2,296,901,500</u>	<u>(66,894,500)</u>

Adjustments:			
Transfer(s) From			
People with Developmental Disabilities, Office for General Fund	(129,799,000)		
Transfer(s) To			
People with Developmental Disabilities, Office for Special Revenue Funds - Other	129,799,000		
Appropriated 2010-11	<u>2,363,796,000</u>		

# PEOPLE WITH DEVELOPMENTAL DISABILITIES

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

Program	Available 2010-11	Recommended 2011-12	Change
Community Services			
General Fund	1,472,023,000	1,430,364,800	(41,658,200)
Special Revenue Funds - Other	891,773,000	866,536,700	(25,236,300)
Total	<u>2,363,796,000</u>	<u>2,296,901,500</u>	<u>(66,894,500)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Design and Construction Supervision				
Capital Projects Fund	5,000,000	5,000,000	0	0
MH Capital Improvements - Authority Bonds	6,000,000	6,000,000	0	3,724,000
Voluntary-Operated Community Facilities				
Capital Projects Fund	10,070,000	10,370,000	300,000	10,070,000
MH Capital Improvements - Authority Bonds	6,710,000	7,000,000	290,000	13,160,000
State-Operated Community Services Program				
Capital Projects Fund	24,255,000	28,235,000	3,980,000	33,063,000
MH Capital Improvements - Authority Bonds	29,325,000	32,000,000	2,675,000	86,570,000
Institutional Services Program				
Capital Projects Fund	16,700,000	17,535,000	835,000	62,003,000
MH Capital Improvements - Authority Bonds	40,500,000	44,855,000	4,355,000	171,740,000
Non-Bondable				
Capital Projects Fund	1,000,000	1,000,000	0	0
Total	<u>139,560,000</u>	<u>151,995,000</u>	<u>12,435,000</u>	<u>380,330,000</u>

# ***METROPOLITAN TRANSPORTATION AUTHORITY***

## ***MISSION***

The Metropolitan Transportation Authority (MTA) is responsible for operating, maintaining and improving public transportation in the Metropolitan Commuter Transportation District consisting of New York City and Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk and Westchester counties. The Authority oversees the operations of the bus and subway systems in New York City, commuter railroads in the region, and seven bridges and two tunnels in New York City. This oversight includes general policy direction and development and financing of the operating and capital programs.

The Authority is comprised of three independent entities: The Metropolitan Transportation Authority, MTA New York City Transit and MTA Bridges and Tunnels. The Metropolitan Transportation Authority has six subsidiaries: MTA Staten Island Rapid Transit, MTA Long Island Rail Road, MTA Long Island Bus, MTA Metro North Railroad, MTA Bus and MTA Capital Construction. MTA New York City Transit, which operates the New York City subway and bus systems, has one subsidiary: MTA Manhattan and Bronx Surface Transit.

## ***ORGANIZATION AND STAFFING***

Each of the three independent entities mentioned above is governed by its own Board, although by law membership on each Board is identical. There are 17 voting board members, each nominated by the Governor and confirmed by the Senate. Four members are nominated from a list provided by the Mayor of the City of New York and one each from lists prepared by the seven county executives in the Metropolitan Commuter Transportation District. The remaining six members are appointed directly by the Governor, with one serving as Board Chair. There are also six non-voting members on the Board representing riders and labor unions, for a total of 23 members.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends approximately **\$1 billion** for the MTA capital program from reappropriations of the Rebuild and Renew New York Bond Act of 2005. This funding was approved by voters in November 2005 and provided a total of \$1.45 billion of capital to the MTA. The Executive Budget also includes contingent appropriations worth **\$2.1 billion** for the MTA. These contingent appropriations are from the Dedicated Mass Transportation Trust Fund and the MTA Support Program Fund, and are used to ensure continuation of aid payments to the MTA in the event of temporary non-appropriation due to a late budget for the subsequent fiscal State year.

Within the Department of Transportation budget, the Executive Budget recommends \$3.8 billion in appropriations to the MTA, a decline of \$108 million (-3 percent) from last year. This decline is primarily the result of the 2011-12 Payroll Mobility Tax appropriation level becoming closer aligned with the expected tax receipts for the coming year. Despite this drop in appropriations, the MTA is anticipated to receive an increase of \$43 million on a year-to-year cash basis.

## ***METROPOLITAN TRANSPORTATION***

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### ***PROGRAM HIGHLIGHTS***

#### ***MTA NEW YORK CITY TRANSIT AND MTA COMMUTER RAILROADS***

The Metropolitan Transportation Authority provides 24-hour-a-day transit and commuter services in the New York City metropolitan region and carries 8.5 million riders per day in one of the largest transportation networks in the world. MTA New York City Transit operates 6,300 subway cars on 27 lines, the largest subway network in the world. NYC Transit, MTA Bus and MTA Long Island bus also operate 6,300 buses, serving nearly 4,000 miles of bus routes. MTA Long Island Rail Road and MTA Metro North Railroad, the two largest commuter rail systems in the nation, provide transportation for travelers entering New York City from outlying suburban areas in New York State and Connecticut. Over two and a half billion passengers ride the subways, buses and commuter rail systems each year.

#### ***MTA BRIDGES AND TUNNELS***

MTA Bridges and Tunnels, the largest toll system in the nation serving 300 million vehicles annually, operates nine intra-city bridges and tunnels in New York City: Robert F. Kennedy Bridge (formerly known as the Triborough Bridge), Bronx-Whitestone Bridge, Henry Hudson Bridge, Marine Parkway-Gil Hodges Bridge, Cross Bay Veterans' Memorial Bridge, Throgs Neck Bridge, Verrazano-Narrows Bridge, Queens-Midtown Tunnel and Brooklyn Battery Tunnel. It also provides financing for MTA New York City Transit's and the commuter railroads' capital programs. In addition, MTA Bridges and Tunnels is required by law to transfer surplus revenues to MTA New York City Transit and the commuter railroads to support their operations.

#### ***OTHER SUBSIDIARIES***

In July 2003, the MTA created the MTA Capital Construction Company, which has the ability to manage, design and effectuate the system expansion projects of all the MTA agencies. The other subsidiaries – MTA Staten Island Rapid Transit, MTA Long Island Bus, and MTA Manhattan and Bronx Surface Transit – provide regional transportation services. MTA Staten Island Rapid Transit operates transit services on Staten Island. MTA Manhattan and Bronx Surface Transit, in conjunction with MTA New York City Transit, provide bus service within New York City, primarily in Manhattan and the Bronx. In September 2004, the MTA Board created the MTA Bus Company. Pursuant to an agreement with the City of New York, the MTA has assumed operation of bus service in the areas previously serviced by the City-franchised private bus lines. The City of New York will pay to the MTA the difference between the actual cost of operations and all revenues. MTA Bus now operates the 11th largest bus fleet in North America.

MTA Long Island Bus provides bus service to Nassau County, western Suffolk County and eastern Queens County, connecting these areas to MTA Long Island Rail Road's stations and New York City Transit's subway stations. The Metropolitan Transportation Authority carries out the operation and provides general oversight of MTA Long Island Bus. Nassau County is financially responsible for the portion of MTA Long Island Bus' operating costs that are over and above those supported by fares and by Federal and State assistance.

# METROPOLITAN TRANSPORTATION

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	0	0	0	0
Aid To Localities	2,253,300,000	2,151,000,000	(102,300,000)	0
Capital Projects	0	0	0	1,007,000,000
Total	<u>2,253,300,000</u>	<u>2,151,000,000</u>	<u>(102,300,000)</u>	<u>1,007,000,000</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	2,253,300,000	2,151,000,000	(102,300,000)
Total	<u>2,253,300,000</u>	<u>2,151,000,000</u>	<u>(102,300,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Dedicated Tax			
Special Revenue Funds - Other	621,300,000	630,000,000	8,700,000
Metropolitan Transportation Authority Support Program			
Special Revenue Funds - Other	1,632,000,000	1,521,000,000	(111,000,000)
Total	<u>2,253,300,000</u>	<u>2,151,000,000</u>	<u>(102,300,000)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Mass Transportation and Rail Freight Metropolitan Transportation Authority Capital Projects Fund - Advances	0	0	0	36,000,000
Urban and Commuter Mass Transportation Bondable Capital Projects Fund - Rebuild Renew NY 2005 (Bondable)	0	0	0	971,000,000
Total	<u>0</u>	<u>0</u>	<u>0</u>	<u>1,007,000,000</u>

# ***DIVISION OF MILITARY AND NAVAL AFFAIRS***

## ***MISSION***

The Division of Military and Naval Affairs' (DMNA) primary mission is to maintain a well-trained military force ready to respond to civil emergencies, natural disasters, and threats to the nation's security.

## ***ORGANIZATION AND STAFFING***

The Division of Military and Naval Affairs operates 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, and the New York Guard all of which is overseen by State headquarters in Latham. DMNA operates 54 armories as well as 19 field and combined support maintenance facilities, 3 training sites, 6 Air National Guard facilities, 3 Aviation Support facilities and a Maneuver Area Training Equipment Site.

## ***BUDGET HIGHLIGHTS***

The 2011-12 Executive Budget recommends **\$106.8 million** in All Funds spending (\$16.1 million General Fund; \$39.2 million Capital Projects; and \$51.5 million Other Funds) to support ongoing agency activities. This reflects a net increase of **\$6.8 million (6.8 percent)** from the 2010-11 Budget, and is primarily due to an \$8.5 million increase in capital projects, offset by a 10 percent (\$1.7 million) decrease in the General Fund. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## ***PROGRAM HIGHLIGHTS***

The Military Readiness program is the core of the Division's operations. It includes the New York Army National Guard, the New York Air National Guard, the New York Naval Militia and the New York Guard. With a combined force of nearly 20,000 members, the Military Readiness program has mounted a sustained activation since the terrorist attacks of September 2001 to safeguard the State's citizenry from emerging security threats, while simultaneously meeting its obligations to support the Federal government. Other critical responses to civilian emergencies in recent years have included the abatement and mitigation of the effects of floods, blizzards, tornados, and forest fires.

Empire Shield, a New York City based homeland security mission, involves flexible threat-based, rapid response units that provide security and deterrence at major transportation hubs throughout the metropolitan area. Empire Shield has been headquartered at Fort Hamilton since 2008.

# MILITARY AND NAVAL AFFAIRS

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	68,626,000	66,915,000	(1,711,000)	42,780,000
Aid To Localities	650,000	650,000	0	290,000
Capital Projects	30,700,000	39,200,000	8,500,000	82,558,000
Total	<u>99,976,000</u>	<u>106,765,000</u>	<u>6,789,000</u>	<u>125,628,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
General Fund	53	53	0
Military Readiness			
General Fund	131	131	0
Special Revenue Funds - Federal	219	244	25
Special Service			
Special Revenue Funds - Other	14	14	0
Total	<u>417</u>	<u>442</u>	<u>25</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	17,105,000	15,394,000	(1,711,000)
Special Revenue Funds - Federal	42,780,000	42,780,000	0
Special Revenue Funds - Other	8,741,000	8,741,000	0
Total	<u>68,626,000</u>	<u>66,915,000</u>	<u>(1,711,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	3,764,000	3,387,000	(377,000)
Military Readiness			
General Fund	13,051,000	11,746,000	(1,305,000)
Special Revenue Funds - Federal	42,780,000	42,780,000	0
Special Service			
General Fund	290,000	261,000	(29,000)
Special Revenue Funds - Other	8,741,000	8,741,000	0
Total	<u>68,626,000</u>	<u>66,915,000</u>	<u>(1,711,000)</u>

# MILITARY AND NAVAL AFFAIRS

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,074,000	(342,000)	3,061,000	(340,000)
Military Readiness	6,356,000	(706,000)	5,704,000	(634,000)
Total	<u>9,430,000</u>	<u>(1,048,000)</u>	<u>8,765,000</u>	<u>(974,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	0	0	13,000	(2,000)
Military Readiness	570,000	(63,000)	82,000	(9,000)
Total	<u>570,000</u>	<u>(63,000)</u>	<u>95,000</u>	<u>(11,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	313,000	(35,000)	48,000	(5,000)
Military Readiness	5,390,000	(599,000)	698,000	(58,000)
Special Service	261,000	(29,000)	59,000	(7,000)
Total	<u>5,964,000</u>	<u>(663,000)</u>	<u>805,000</u>	<u>(70,000)</u>

  

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	17,000	(2,000)	153,000	(17,000)
Military Readiness	63,000	(7,000)	4,496,000	(459,000)
Special Service	11,000	(1,000)	108,000	(12,000)
Total	<u>91,000</u>	<u>(10,000)</u>	<u>4,757,000</u>	<u>(488,000)</u>

  

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	95,000	(11,000)	0	0
Military Readiness	133,000	25,000	0	(100,000)
Special Service	83,000	(9,000)	0	0
Total	<u>311,000</u>	<u>5,000</u>	<u>0</u>	<u>(100,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Military Readiness	42,780,000	0	12,098,000	(2,062,000)
Special Service	8,741,000	0	1,191,000	0
Total	<u>51,521,000</u>	<u>0</u>	<u>13,289,000</u>	<u>(2,062,000)</u>

  

Program	Nonpersonal Service	
	Amount	Change
Military Readiness	30,682,000	2,062,000
Special Service	7,550,000	0
Total	<u>38,232,000</u>	<u>2,062,000</u>

# MILITARY AND NAVAL AFFAIRS

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	650,000	650,000	0
Total	<u>650,000</u>	<u>650,000</u>	<u>0</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Military Readiness			
General Fund	650,000	650,000	0
Total	<u>650,000</u>	<u>650,000</u>	<u>0</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Design and Construction Supervision				
Capital Projects Fund	5,100,000	6,200,000	1,100,000	12,037,000
Federal Capital Projects Fund	5,000,000	9,600,000	4,600,000	12,466,000
Maintenance and Improvements				
Capital Projects Fund	8,000,000	8,000,000	0	22,635,000
Federal Capital Projects Fund	12,600,000	15,400,000	2,800,000	35,420,000
Total	<u>30,700,000</u>	<u>39,200,000</u>	<u>8,500,000</u>	<u>82,558,000</u>

# **DEPARTMENT OF MOTOR VEHICLES**

## **MISSION**

The Department of Motor Vehicles (DMV) administers the State's motor vehicle laws, provides quality customer service, promotes traffic safety, protects consumers, verifies identities, issues secure documents, provides information services, protects the privacy of personal information, and collects revenues for the benefit of the people of the State.

## **ORGANIZATION AND STAFFING**

Under the direction of the Commissioner, who is appointed by the Governor subject to confirmation by the Senate, the Department operates from its main office in Albany (Empire State Plaza) and from three regional headquarters, in Albany, Long Island and New York City. The Department also operates 27 district and branch offices, which issue licenses and registrations. In addition, County Clerk offices act as DMV agents at 102 locations throughout the State.

Dedicated funds and fees, including a portion of traffic violation fines in certain localities, support approximately 99 percent of the Department's positions. The remaining 1 percent is funded with Federal grants.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$343 million** All Funds for the Department of Motor Vehicles, a decrease of **\$13 million (-3.7 percent)** All Funds from the 2010-11 budget. The Department will achieve this reduction by realizing the full-year value of personnel reductions completed in 2010-11 and by generating savings from agency redesign and efficiency improvements. The Executive Budget recommendations include an increase of \$1.2 million in Federal funds due to a projected increase in grants to the Governor's Traffic Safety Committee.

The Dedicated Highway and Bridge Trust Fund, supported primarily by revenues from motor vehicle fees and highway use and motor fuel taxes, will supply \$201 million, or 59 percent of DMV's budget. The balance is provided by Federal funds and special revenue funds supported by various fees and fines.

The Executive Budget reduces the agency's operations expenses in the Dedicated Highway and Bridge Trust Fund by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

### **CUSTOMER SERVICE**

DMV issues drivers licenses and vehicle registrations, collects more than \$1.9 billion in revenue for the State and localities, monitors driver training and enforces the directives of local magistrates and departmental referees. State offices are also responsible for conducting road tests and maintaining enforcement sections that issue conditional and restricted use licenses and handle other suspension and revocation activities. The Department of Motor Vehicles served more than 20 million customers last year.

## ***MOTOR VEHICLES***

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The Department also adjudicates traffic violations at 11 locations in New York City and several other jurisdictions across the State. This allows local judges and criminal courts to dedicate their activities to criminal matters. This program is funded entirely by fines collected from violators. After State operating expenses are deducted, remaining funds are returned to the jurisdictions where the violations occurred.

The Department continues to enhance its website to provide customers an alternative means for transacting Department business. Through the convenience of personal computers, 3.26 million transactions were processed via the DMV website in 2009-10, more than double the 1.24 million in 2004-05. Through the Internet, customers can renew registrations and drivers licenses, order personalized and custom plates, order duplicate titles, registrations and licenses, plead and pay Traffic Violations Bureau (TVB) tickets, obtain accident reports, and if requested, post insurance proof. Customers can also check the status of plate or title orders, schedule road tests, pay certain fines, and obtain information and instructions from DMV's Right Now Web knowledge base. Businesses with secure access can order supplies of inspection stickers and post lien information.

### ***VEHICLE AND DRIVER SAFETY***

Highway safety policies have resulted in reductions in fatalities and serious injuries on our roads. Contributing to this success have been new enforcement and educational efforts by State, local and non-profit agencies, including a statewide crackdown to stop those who drink and drive or engage in aggressive driving, initiatives to promote proper child safety seat usage and the statewide Click It or Ticket enforcement campaign, which has increased seatbelt usage to nearly 90 percent. These efforts have resulted in New York State's roadways being some of the safest in the nation.

DMV vehicle safety activities include: licensing and monitoring safety and emissions inspection stations; registering auto repair shops, dealers, transporters and dismantlers; and certifying vehicle inspectors, junk and salvage businesses and automotive body damage estimators.

Driver safety initiatives include implementation and oversight of educational or rehabilitative programs for motorists convicted of alcohol- or drug-related driving offenses, the point insurance reduction program and pre-licensing courses. DMV also licenses and monitors driving schools and instructors.

### ***FIELD INVESTIGATION AND AUDIT***

One of the Department's major functions is to issue credentials that establish the identity and license status of drivers, the ownership of vehicles and boats, and the authenticity of auto-related businesses. External investigation activities focus on stolen automobiles, odometer fraud, fraudulent identity and motor vehicle documents, and complaints regarding unlicensed and suspended drivers.

## MOTOR VEHICLES

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	118,368,000	121,312,000	2,944,000	54,450,000
Aid To Localities	20,410,000	20,620,000	210,000	46,510,000
Capital Projects	217,842,000	201,137,000	(16,705,000)	2,500,000
Total	<u>356,620,000</u>	<u>343,069,000</u>	<u>(13,551,000)</u>	<u>103,460,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administrative Adjudication	373	373
Special Revenue Funds - Other	373	373	0
Clean Air	231	231	0
Special Revenue Funds - Other	231	231	0
Compulsory Insurance	189	189	0
Special Revenue Funds - Other	189	189	0
Governor's Traffic Safety Committee	16	16	0
Special Revenue Funds - Federal	16	16	0
Transportation Safety	3	3	0
Special Revenue Funds - Other	3	3	0
Transportation Support	1,660	1,660	0
Capital Projects Funds - Other	1,660	1,660	0
Total	<u>2,472</u>	<u>2,472</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	16,390,000	17,381,000	991,000
Special Revenue Funds - Other	90,478,000	90,431,000	(47,000)
Internal Service Funds	11,500,000	13,500,000	2,000,000
Total	<u>118,368,000</u>	<u>121,312,000</u>	<u>2,944,000</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	(47,000)		
Appropriated 2010-11	<u>118,321,000</u>		

# MOTOR VEHICLES

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	1,447,000	1,400,000	(47,000)
Internal Service Funds	11,500,000	13,500,000	2,000,000
Administrative Adjudication			
Special Revenue Funds - Other	45,272,000	45,272,000	0
Clean Air			
Special Revenue Funds - Other	25,595,000	25,595,000	0
Compulsory Insurance			
Special Revenue Funds - Other	16,167,000	16,167,000	0
Governor's Traffic Safety Committee			
Special Revenue Funds - Federal	16,390,000	17,381,000	991,000
Transportation Safety			
Special Revenue Funds - Other	1,997,000	1,997,000	0
Total	<u>118,368,000</u>	<u>121,312,000</u>	<u>2,944,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	14,900,000	1,953,000	0	(31,000)
Administrative Adjudication	45,272,000	0	23,056,000	0
Clean Air	25,595,000	0	14,645,000	0
Compulsory Insurance	16,167,000	0	9,380,000	0
Governor's Traffic Safety Committee	17,381,000	991,000	526,000	0
Transportation Safety	1,997,000	0	270,000	0
Total	<u>121,312,000</u>	<u>2,944,000</u>	<u>47,877,000</u>	<u>(31,000)</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	14,900,000	1,984,000	0	0
Administrative Adjudication	22,216,000	0	0	0
Clean Air	10,950,000	0	0	0
Compulsory Insurance	6,787,000	0	0	0
Governor's Traffic Safety Committee	315,100	(7,370)	16,539,900	998,370
Transportation Safety	1,727,000	0	0	0
Total	<u>56,895,100</u>	<u>1,976,630</u>	<u>16,539,900</u>	<u>998,370</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	20,410,000	20,620,000	210,000
Total	<u>20,410,000</u>	<u>20,620,000</u>	<u>210,000</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Governor's Traffic Safety Committee			
Special Revenue Funds - Federal	20,410,000	20,620,000	210,000
Total	<u>20,410,000</u>	<u>20,620,000</u>	<u>210,000</u>

# MOTOR VEHICLES

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Transportation Support				
Dedicated Highway and Bridge Trust Fund	217,842,000	201,137,000	(16,705,000)	2,500,000
Total	<u>217,842,000</u>	<u>201,137,000</u>	<u>(16,705,000)</u>	<u>2,500,000</u>

# **OLYMPIC REGIONAL DEVELOPMENT AUTHORITY**

## **MISSION**

In 1980, Lake Placid and the surrounding areas hosted the Winter Olympic Games. The following year, the Olympic Regional Development Authority was established to create and administer a post-Olympic program for the Lake Placid facilities. These facilities include: the Olympic Ice Center; the Olympic Speedskating Oval; the Whiteface Mountain Ski Area and Veterans' Memorial Highway; the Mt. Van Hoevenberg Complex that includes bobsled and luge runs, cross-country ski trails and a biathlon range; the Olympic Ski Jumping Complex; and the U.S. Olympic Training Center. In 1984, the Olympic Regional Development Authority's responsibility expanded to include the management of the Gore Mountain Ski Center in North Creek, Warren County.

## **ORGANIZATION AND STAFFING**

The Authority is governed by a ten-member Board of Directors, consisting of the commissioners of Economic Development, Environmental Conservation, Parks and seven other members appointed by the Governor and confirmed by the Senate. The Governor selects one member as Chair. Board members serve without compensation.

## **BUDGET HIGHLIGHTS**

The 2011-12 Executive Budget recommends **\$5 million** for the Olympic Regional Development Authority, which is approximately 15 percent of its \$32.4 million operating budget. This is a decrease of **\$522,000 (-9.5 percent)** from the 2010-11 budget, reflecting a 10 percent year-to-year reduction in General Fund State operations support. In addition to \$4.7 million in State Operations funding and \$354,000 for the Winter Sports Education and Olympic Training Center Special Revenue Funds, the Authority receives \$26.6 million from marketing, ticket sales, fees and other revenues; and over \$900,000 from the Town of North Elba.

## **PROGRAM HIGHLIGHTS**

### **OLYMPIC FACILITIES**

The Olympic Regional Development Authority manages one of four primary sites (the others being in California, Colorado and Utah) for year-round training of America's Olympic athletes. The Authority hosts numerous national and international athletic and entertainment events. In 2010, major events included: North Atlantic Figure Skating Championship, Smucker's Stars on Ice, World Cup Bob/Skeleton FIBT Tour, America's Bobsled & Skeleton, Ice Skating Institute Figure Skating Competition, Nature Valley Freestyle Grand National, Intercontinental Cup Skeleton, Eastern Synchronized Skating Championship, Disney On Ice, America's Cup Bobsled and Skeleton, and several festivals and shows.

# OLYMPIC REGIONAL DEVELOPMENT

## SKI FACILITIES

The Authority also manages the Gore and Whiteface Mountain ski centers, two major downhill ski facilities, that hosted more than 482,000 visitors in 2010.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	5,576,000	5,054,000	(522,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>5,576,000</u>	<u>5,054,000</u>	<u>(522,000)</u>	<u>0</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	5,222,000	4,700,000	(522,000)
Special Revenue Funds - Other	354,000	354,000	0
Total	<u>5,576,000</u>	<u>5,054,000</u>	<u>(522,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Operations			
General Fund	5,222,000	4,700,000	(522,000)
Special Revenue Funds - Other	354,000	354,000	0
Total	<u>5,576,000</u>	<u>5,054,000</u>	<u>(522,000)</u>

### STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Operations	2,849,000	(316,000)	2,849,000	(316,000)
Total	<u>2,849,000</u>	<u>(316,000)</u>	<u>2,849,000</u>	<u>(316,000)</u>

# OLYMPIC REGIONAL DEVELOPMENT

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## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Operations	1,851,000	(206,000)	694,000	(77,000)
Total	1,851,000	(206,000)	694,000	(77,000)

Program	General State Charges	
	Amount	Change
Operations	1,157,000	(129,000)
Total	1,157,000	(129,000)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Operations	354,000	0	178,000	27,000
Total	354,000	0	178,000	27,000

Program	Nonpersonal Service	
	Amount	Change
Operations	176,000	(27,000)
Total	176,000	(27,000)

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

## **MISSION**

The Office of Parks, Recreation and Historic Preservation's (OPRHP) mission is to provide safe and enjoyable recreational and interpretive opportunities for all New York State residents and visitors, and to be responsible stewards of our valuable natural, historic, and cultural resources. The Office operates and maintains 178 parks and 35 historic sites, hosts a multitude of cultural and educational programs and offers diverse recreational opportunities, ranging from secluded campsites to the internationally renowned Niagara Falls State Park. The State's parks and historic sites host approximately 55 million visitors annually.

New York's park system and its unparalleled recreational opportunities are an important factor in the State's tourism industry and economy. Services open to the public at State parks include beaches, golf courses, performing arts centers, swimming pools, marinas, cabins, campgrounds and many significant historic properties, bird conservation, wildlife habitat and natural areas.

## **ORGANIZATION AND STAFFING**

The Office is headed by a Commissioner appointed by the Governor. Operations are administered through a network of 11 regional offices: Allegany, Central, Finger Lakes, Genesee, Long Island, New York City, Niagara, Palisades, Saratoga/Capital District, Taconic and Thousand Islands. The central office, which includes executive staff and other administrative support functions, is located in Albany.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$270 million** in All Funds spending, including \$119 million from the General Fund; \$9.8 million in Federal funds and \$140.6 million from other funds. This is a cumulative decrease of **\$17.7 million (-6.2 percent)** from the prior year spending level.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Taxpayer dollars continue to be the primary source of support for State parks, providing nearly 56 percent of total funding. Patron user fees pay for approximately 41 percent of annual costs, while Federal grants comprise the remaining revenues.

The primary focus of the OPRHP capital program is the health and safety of park visitors and the maintenance and rehabilitation of existing facilities. Park facilities include more than 5,000 buildings, 29 golf courses, 53 water recreational facilities, 76 beaches, 27 marinas, 40 vacation rentals, 18 nature centers, 817 cabins and 8,355 campsites. The Office also maintains hundreds of miles of roads and over 1,350 miles of trails, expansive utility systems, 106 dams and 604 bridges.

For 2011-12, appropriations of \$29 million are recommended for capital projects from the State Park Infrastructure Fund, a dedicated fund consisting of revenues generated from day use and camping fees at the parks, as well as concession revenues and other miscellaneous revenues. Budget recommendations also include \$4 million in

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

Federal appropriations for Federal Land and Water Conservation funding, \$10 million in fiduciary appropriations for other potential gifts to improve various parks and \$3.8 million for miscellaneous capital projects.

Funding from the State Park Infrastructure Fund will be supplemented by the Federal Land and Water Conservation Fund and the Environmental Protection Fund (EPF). In 2011-12, the EPF will provide \$16.2 million for infrastructure and stewardship projects for both OPRHP and the Department of Environmental Conservation.

### ***PROGRAM HIGHLIGHTS***

The Office's mission is carried out through its operation of 213 parks and historic sites, providing safe and attractive facilities, accessible and affordable services and quality visitor experiences. In response to reduced funding levels, OPRHP has reorganized functions and consolidated management operations, and continues to achieve efficiencies by streamlining administrative oversight, redeploying staff and consolidating functions. To enhance park facilities and support events, OPRHP continues to foster public-private partnerships, including corporate sponsorships.

The responsibilities of the Office are carried out through four major programs:

- Administration provides executive direction, fiscal, personnel and public communication services, as well as management of the capital program;
- Park Operations operates the State's 178 parks in the 11 Park regions throughout the State. Staff includes a statewide police force, security, field operations, and maintenance personnel;
- Historic Preservation oversees preservation activities at 35 historic sites, develops a statewide Comprehensive Historic Preservation Plan and maintains the State Register of Historic Places; and
- The Natural Heritage Trust receives and administers funds, including private gifts and bequests, to advance conservation, outdoor recreation and historic preservation purposes. Created under the Public Authorities Law in 1968, the Natural Heritage Trust is a public benefit corporation.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	228,089,400	214,266,000	(13,823,400)	17,869,800
Aid To Localities	12,675,000	8,805,000	(3,870,000)	17,127,600
Capital Projects	46,801,000	46,801,000	0	198,537,000
Total	<u>287,565,400</u>	<u>269,872,000</u>	<u>(17,693,400)</u>	<u>233,534,400</u>

# PARKS, RECREATION AND HISTORIC PRESERVATION

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	59	59	0
Historic Preservation			
General Fund	122	122	0
Special Revenue Funds - Federal	9	9	0
Park Operations			
General Fund	1,265	1,265	0
Special Revenue Funds - Federal	5	5	0
Special Revenue Funds - Other	210	210	0
Capital Projects Funds - Other	112	112	0
Recreation Services			
General Fund	3	3	0
Total	<u>1,785</u>	<u>1,785</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	132,734,600	119,461,200	(13,273,400)
Special Revenue Funds - Federal	5,700,900	6,650,900	950,000
Special Revenue Funds - Other	88,153,900	88,153,900	0
Enterprise Funds	1,500,000	0	(1,500,000)
Total	<u>228,089,400</u>	<u>214,266,000</u>	<u>(13,823,400)</u>

Adjustments:	
Transfer(s) From	
Special Pay Bill	
General Fund	(886,000)
Special Revenue Funds - Other	(122,000)
Appropriated 2010-11	<u>227,081,400</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	7,049,900	6,201,200	(848,700)
Special Revenue Funds - Federal	500,000	500,000	0
Special Revenue Funds - Other	500,000	500,000	0
Historic Preservation			
General Fund	10,918,800	8,880,700	(2,038,100)
Special Revenue Funds - Federal	1,200,900	1,350,900	150,000
Special Revenue Funds - Other	42,000	42,000	0
Park Operations			
General Fund	112,584,500	102,534,400	(10,050,100)
Special Revenue Funds - Federal	4,000,000	4,800,000	800,000
Special Revenue Funds - Other	87,611,900	87,611,900	0
Recreation Services			
General Fund	2,181,400	1,844,900	(336,500)
Enterprise Funds	1,500,000	0	(1,500,000)
Total	<u>228,089,400</u>	<u>214,266,000</u>	<u>(13,823,400)</u>

# **PARKS, RECREATION AND HISTORIC PRESERVATION**

## **STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	4,682,400	(796,400)	4,512,700	(790,500)
Historic Preservation	8,233,500	(2,015,700)	6,310,100	(1,949,400)
Park Operations	86,038,500	(9,481,700)	54,893,500	(8,408,500)
Recreation Services	802,200	(300,700)	570,300	(292,700)
Total	<u>99,756,600</u>	<u>(12,594,500)</u>	<u>66,286,600</u>	<u>(11,441,100)</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	126,700	(4,400)	43,000	(1,500)
Historic Preservation	1,875,400	(64,600)	48,000	(1,700)
Park Operations	26,582,000	(916,000)	4,563,000	(157,200)
Recreation Services	217,500	(7,500)	14,400	(500)
Total	<u>28,801,600</u>	<u>(992,500)</u>	<u>4,668,400</u>	<u>(160,900)</u>

## **STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,518,800	(52,300)	36,000	(1,200)
Historic Preservation	647,200	(22,400)	198,000	(6,800)
Park Operations	16,495,900	(568,400)	5,725,700	(197,300)
Recreation Services	1,042,700	(35,800)	238,800	(8,200)
Total	<u>19,704,600</u>	<u>(678,900)</u>	<u>6,198,500</u>	<u>(213,500)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	33,300	(1,100)	1,385,700	(47,800)
Historic Preservation	10,300	(400)	385,200	(13,300)
Park Operations	61,900	(2,100)	10,360,300	(357,000)
Recreation Services	9,700	(300)	770,500	(26,500)
Total	<u>115,200</u>	<u>(3,900)</u>	<u>12,901,700</u>	<u>(444,600)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	63,800	(2,200)
Historic Preservation	53,700	(1,900)
Park Operations	348,000	(12,000)
Recreation Services	23,700	(800)
Total	<u>489,200</u>	<u>(16,900)</u>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	1,000,000	0	175,000	0
Historic Preservation	1,392,900	150,000	500,000	0
Park Operations	92,411,900	800,000	32,265,100	83,000
Recreation Services	0	(1,500,000)	0	0
Total	<u>94,804,800</u>	<u>(550,000)</u>	<u>32,940,100</u>	<u>83,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	825,000	0	0	0
Historic Preservation	892,900	150,000	0	0
Park Operations	60,146,800	2,379,000	0	(1,662,000)
Recreation Services	0	(1,500,000)	0	0
Total	<u>61,864,700</u>	<u>1,029,000</u>	<u>0</u>	<u>(1,662,000)</u>

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

Fund Type	Available	Recommended	Change
	2010-11	2011-12	
General Fund	2,920,000	0	(2,920,000)
Special Revenue Funds - Federal	4,120,000	3,170,000	(950,000)
Special Revenue Funds - Other	5,635,000	5,635,000	0
Total	<u>12,675,000</u>	<u>8,805,000</u>	<u>(3,870,000)</u>

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

Program	Available	Recommended	Change
	2010-11	2011-12	
Administration			
General Fund	2,920,000	0	(2,920,000)
Historic Preservation			
Special Revenue Funds - Federal	120,000	170,000	50,000
Park Operations			
Special Revenue Funds - Federal	2,000,000	1,500,000	(500,000)
Special Revenue Funds - Other	5,635,000	5,635,000	0
Recreation Services			
Special Revenue Funds - Federal	2,000,000	1,500,000	(500,000)
Total	<u>12,675,000</u>	<u>8,805,000</u>	<u>(3,870,000)</u>

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

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Parks EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)	0	0	0	2,754,000
Natural Heritage Trust				
Capital Projects Fund	0	0	0	300,000
Federal Capital Projects Fund				
Federal Capital Projects Fund	4,000,000	4,000,000	0	17,428,000
Maintenance and Improvements of Existing Facilities				
Fiduciary Funds - Misc. Combined Expendable Trust Fund	10,000,000	10,000,000	0	47,855,000
State Parks Infrastructure Fund	29,001,000	29,001,000	0	117,443,000
Misc. Capital Projects	3,800,000	3,800,000	0	11,744,000
Outdoor Recreation Development Bond Fund				
Outdoor Recreation Development Bond Fund	0	0	0	230,000
Parks and Recreation Land Acquisition Bond Fund				
Parks and Recreation Land Acquisition Bond Fund	0	0	0	783,000
Total	<u>46,801,000</u>	<u>46,801,000</u>	<u>0</u>	<u>198,537,000</u>

# **NEW YORK STATE PUBLIC AUTHORITIES**

Public authorities are statutorily created agents of State and local government, established primarily to finance, build, manage or improve specific capital facilities that serve public purposes. Enacted into law as independent and autonomous public benefit corporations, public authorities are governed by boards of directors whose members serve by virtue of their public positions or their appointment by the Governor, the Legislature or local officials. With their statutorily granted management and operating flexibility, public authorities are an effective means to address public needs, which may not otherwise be met within the limitations imposed on traditional government agencies. Public authorities derive their powers and responsibilities from the legislation by which they are established.

The Public Authorities Accountability Act of 2005 opened the operations and financial dealings of public authorities to enhanced public scrutiny. State and local public authorities must now adhere to accepted corporate governance standards, disclose their budgets, indebtedness, independent audit reports, financial statements and activities, and follow prescribed procedures for the custody, control and disposition of real property. It had been the responsibility of the Authority Budget Office (ABO), created in 2006, to monitor and assess compliance with these governance and reporting requirements. Enactment of the Public Authorities Reform Act of 2009 (Chapter 506 of the Laws of 2009) restructured the ABO as the independent Authorities Budget Office with additional oversight, regulatory and enforcement responsibilities.

By law, the Authorities Budget Office examines and reports on the operations, practices and finances of public authorities; enforces compliance with State law and initiates actions against public authorities and their boards of directors for noncompliance; and provides guidance to public authorities on ways to adhere to the principles of accountability, transparency and effective corporate governance. The Authorities Budget Office is also authorized to make recommendations to the Governor and the Legislature concerning the performance, structure, formation and oversight of public authorities, public authority debt, procurement, and property transaction practices, and to ensure that directors receive training on the fiduciary, legal and ethical obligations of board members. These actions are intended to strengthen public confidence in the decisions and actions taken by public authorities, their boards of directors and executive management.

Detailed information on a number of public authorities reflected in Tables 1 through 4 can be found elsewhere in this Executive Budget. These authorities include:

## ***BRIDGE, TUNNEL AND HIGHWAY***

Thruway Authority

## ***ECONOMIC DEVELOPMENT***

Development Authority of the North Country  
Empire State Development Corporation

## ***ENERGY AND ENVIRONMENT***

Energy Research and Development Authority  
Environmental Facilities Corporation

## ***PUBLIC AUTHORITIES***

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### ***HOUSING AND FINANCE***

Housing Finance Agency  
Local Government Assistance Corporation  
State of New York Mortgage Agency

### ***REGIONAL TRANSPORTATION***

Metropolitan Transportation Authority

Public authorities that are not included elsewhere in the Executive Budget are discussed below:

### ***BRIDGE, TUNNEL AND HIGHWAY AUTHORITIES***

#### ***Buffalo and Fort Erie Public Bridge Authority***

The Buffalo and Fort Erie Public Bridge Authority is a bi-national entity that owns and operates the “Peace Bridge”, which crosses the Niagara River between Buffalo and Fort Erie, Ontario. The Authority is mainly financed through toll revenue and property lease revenue.

#### ***New York State Bridge Authority***

The New York State Bridge Authority is responsible for the Bear Mountain, Kingston-Rhinecliff, Mid-Hudson, Newburgh-Beacon and Rip Van Winkle toll bridges that span the lower Hudson River. The Authority is mainly financed through toll revenue.

#### ***Thousand Islands Bridge Authority***

The Thousand Islands Bridge Authority operates two bridges connecting U.S. Interstate 81 in Jefferson County with Highway 401 in Ontario, Canada. The Authority also operates a sewage treatment facility and recreational facilities. The Authority is mainly financed through toll revenue and service fees.

### ***ECONOMIC DEVELOPMENT AUTHORITIES***

#### ***Battery Park City Authority***

The Battery Park City Authority (BPCA) is a public benefit corporation charged with the management and development of Battery Park City, a 92-acre mixed-use community located on the southwest tip of Manhattan. The Authority generates revenues by leasing individual plots of land to private developers through a public bid process. It collects rents and real estate tax equivalency payments to support its operations.

The Authority’s adoption of environmental building guidelines in early 2000 resulted in the construction of the nation’s first sustainable residential high-rise. When Battery Park City is completed, it will contain nearly five million square feet of sustainable construction – the largest concentration of “green” buildings in the world.

## **PUBLIC AUTHORITIES**

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### ***New York City Off-Track Betting Corporation***

New York City Off Track Betting Corporation (NYCOTB) was established forty years ago to take wagers on horse racing in order to generate governmental revenues, provide additional revenues for the horse racing industry and to eliminate illegal wagering on horse races. On December 8, 2010 NYCOTB ceased operations and began the orderly liquidation of the Corporation's remaining assets.

### ***United Nations Development Corporation***

The United Nations Development Corporation develops and manages commercial and residential facilities for United Nations-related activities in New York City, including One, Two and Three United Nations Plaza. The Corporation does not rely on any State support to pay debt service or for its own operations.

## **ENERGY AND ENVIRONMENTAL AUTHORITIES**

### ***New York Power Authority***

The New York Power Authority finances, builds and operates electric generation and transmission facilities. It currently owns and operates five major generating facilities, five small hydroelectric facilities, 11 small natural gas powered generating plants and more than 1,400 circuit miles of transmission lines. The Authority supplies economical electric power to New York State's municipal electric systems and rural electric cooperatives, private sector businesses and not-for-profit institutions throughout the State, municipalities and public corporations in the New York City metropolitan area, and investor-owned utilities for resale to their customers. The Authority receives no State subsidy. It generally finances construction projects through sales of bonds and notes and pays the related debt service with revenues from the generation and transmission of electricity.

### ***Long Island Power Authority***

The Long Island Power Authority (LIPA) has the broad authority and responsibility to ensure adequate, dependable and affordable electric service within its service area, including Nassau and Suffolk counties and the Rockaway Peninsula in Queens. LIPA serves approximately 1.1 million residential and commercial electricity customers. No State tax dollars are used to fund the Authority.

## **HOUSING AND FINANCE AUTHORITIES**

### ***Dormitory Authority***

The Dormitory Authority provides financing, construction management, planning and design, and purchasing services for higher and secondary education, not-for-profit health care, judicial and other not-for-profit institutions. The Authority funds its operations from its own client-generated revenues.

## ***PUBLIC AUTHORITIES***

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### ***Municipal Assistance Corporation for the City of Troy***

The Municipal Assistance Corporation for the City of Troy was created in 1995 to provide the City with access to credit markets and to oversee Troy's fiscal affairs. The Authority is subject to a debt cap of \$75 million. The State is authorized, subject to legislative review and appropriation, to provide moneys as necessary to ensure a 1.5:1 debt service coverage ratio on Authority debt. No State moneys are used to finance the Corporation, and failure of the State to appropriate State aid to the City does not constitute an event of default for Corporation obligations.

### ***Nassau County Interim Finance Authority***

The Nassau County Interim Finance Authority was established in 2000 to restore fiscal stability to Nassau County by overseeing its finances and issuing debt on its behalf. Authority debt service and operating expenses are funded with County sales tax revenues, on which the Authority has first lien.

### ***Buffalo Fiscal Stability Authority***

The Buffalo Fiscal Stability Authority was established in 2003 to restore fiscal health to the City of Buffalo by overseeing its finances and issuing debt on its behalf. Authority debt service and operating expenses are funded with City sales tax revenues and aid to municipalities on which the Authority has first lien.

### ***Municipal Bond Bank Agency***

The Municipal Bond Bank Agency was established in 1972 to provide low-cost capital financing to towns, villages, cities and counties. In addition, the Agency is authorized to issue special program bonds and tax lien collateralized securities. The Agency is staffed by the Housing Finance Agency. No State tax dollars are used to fund the Agency.

### ***Tobacco Settlement Financing Corporation***

The Tobacco Settlement Financing Corporation (TSFC) is a subsidiary of the Municipal Bond Bank Agency, established by statute in June 2003 to securitize amounts to be received by the State of New York under the Master Settlement Agreement (MSA) entered into in 1998 by the State, the other "settling jurisdictions" and certain participating cigarette manufacturers. In June 2003, TSFC issued \$2.3 billion of bonds backed by 50 percent of the anticipated MSA funds. In December 2003, TSFC issued an additional \$2.2 billion of bonds backed by the remaining 50 percent of the anticipated MSA funds.

## ***PUBLIC AUTHORITIES***

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### ***PORT DEVELOPMENT AUTHORITIES***

#### ***Albany Port District Commission***

The Albany Port District Commission develops and operates port facilities in the cities of Albany and Rensselaer. Lease revenues account for the majority of the Port's annual revenue, with maritime traffic making up the remainder. No State tax dollars are used to fund the Commission.

#### ***Ogdensburg Bridge and Port Authority***

The Ogdensburg Bridge and Port Authority (OBPA) operates a 1.5 mile international bridge crossing between Ogdensburg, New York and Prescott, Ontario, Canada, as well as the Port of Ogdensburg Marine Terminal, Ogdensburg International Airport, and two industrial parks, and owns a thirty-mile rail line connecting to the CSX rail system. No State tax dollars are used to fund the Authority.

#### ***Port Authority of New York and New Jersey***

The Port Authority of New York and New Jersey was created in 1921 to improve port and transportation facilities in the New York metropolitan area. The Port Authority operates many of the busiest and most important transportation links in the region, including the five major regional airports and the associated AirTrain network, all of the bridges and tunnels that connect New York and New Jersey, the Port of New York and New Jersey, the PATH transit system and the bus terminals at 42<sup>nd</sup> Street and the George Washington Bridge. The Port Authority also owns the World Trade Center site in Lower Manhattan and is engaged in rebuilding the public projects at the site.

The revenues of the Port Authority are completely independent from any Federal, State or local taxes and are derived principally from the tolls, fares, landing and dockage fees, rentals and other charges for the use of Port Authority facilities. In addition, the Port Authority has the power to issue bonds, notes and other obligations needed to raise the necessary funds for the improvement, construction or acquisition of its facilities generally. These instruments are sold on the basis of the Authority's own credit and are not obligations of New York State or New Jersey.

#### ***Port of Oswego Authority***

The Port of Oswego Authority operates port facilities in the Oswego Port District, which includes the City of Oswego, the Town of Scriba, and all waters of the Oswego River and Lake Ontario within its boundaries. The Authority operates a commercial shipping terminal and storage facilities and supports recreational boating activities at three marinas. No State tax dollars are used to fund the Authority.

## ***PUBLIC AUTHORITIES***

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### ***REGIONAL TRANSPORTATION AUTHORITIES***

#### ***Capital District Transportation Authority***

The Capital District Transportation Authority (CDTA) provides public transportation service within Albany, Rensselaer, Saratoga and Schenectady counties. State funding for the CDTA is provided through appropriations to the New York State Department of Transportation.

#### ***Central New York Regional Transportation Authority***

The Central New York Regional Transportation Authority (CNYRTA) provides public transportation service within Central New York through four subsidiary corporations: CNY Centro (Onondaga County); Centro of Oswego (Oswego County); Centro of Oneida (Oneida County); and Centro of Cayuga (Cayuga County). State funding for CNYRTA is provided through appropriations to the New York State Department of Transportation.

#### ***Niagara Frontier Transportation Authority***

The Niagara Frontier Transportation Authority (NFTA) oversees the operations of a public transportation system providing bus, rail and paratransit services in Niagara and Erie counties. The Authority also operates the Buffalo Niagara International Airport, a primary commercial airport, and the Niagara Falls International Airport, a joint-use military/general aviation airport that serves as a reliever airport. Additionally, the NFTA operates a small boat harbor and two metro transit centers that serve as primary terminals for private inter-city bus service for Niagara and Erie counties. State funding for the NFTA is provided through appropriations to the New York State Department of Transportation.

#### ***Rochester-Genesee Regional Transportation Authority***

The Rochester-Genesee Regional Transportation Authority (RGRTA) provides public transportation service in the counties of Genesee, Livingston, Monroe, Orleans, Seneca, Wayne and Wyoming. The Authority operates the Regional Transit Service (Rochester area), Wayne Area Transportation System, Livingston Area Transportation Service, Orleans Transit Service Inc., Seneca Transit Service Inc., Wyoming Transportation Service and Batavia Bus Service. State funding for RGRTA is provided through appropriations to the New York State Department of Transportation.

## PUBLIC AUTHORITIES

**TABLE 1**  
**FINANCIAL OPERATIONS <sup>af</sup> OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2010 AND 2011**  
**(thousands of dollars)**

Authorities by Function	Fiscal Year Begins	2010				2011			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>bf</sup>	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>bf</sup>
<b>BRIDGE, TUNNEL AND HIGHWAY</b>									
Buffalo and Fort Erie Public Bridge Authority	Jan. 1	34,268	14,730	3,786	15,752	32,409	15,400	3,608	13,401
New York State Bridge Authority	Jan. 1	39,447	25,550	8,059	5,838	41,050	26,773	8,050	6,227
Thousand Islands Bridge Authority	Mar. 1	10,743	8,070	735	1,938	10,290	8,140	0	2,150
Thruway Authority <sup>af</sup>	Jan. 1	695,507	431,705	191,469	72,333	688,980	449,838	185,270	53,872
<b>ECONOMIC DEVELOPMENT</b>									
Battery Park City Authority	Nov. 1	382,923	31,904	70,322	280,697	217,534	33,200	73,084	111,250
Development Authority of the North Country	April 1	21,800	11,415	4,642	5,743	22,056	11,526	4,981	5,549
Job Development Authority	April 1	9,297	428	5,909	2,960	8,366	439	5,452	2,475
Empire State Development Corporation	April 1	923,430	111,895	819,898	(8,363)	1,019,492	89,954	935,554	(6,016)
New York City OTB <sup>af</sup>	July 1	179,970	211,117	0	(31,147)	-	-	-	-
United Nations Development Corporation	Jan. 1	40,166	29,454	10,712	0	40,286	30,580	9,706	0
<b>ENERGY AND ENVIRONMENT</b>									
Energy Research and Development Authority	April 1	737,509	737,509	0	0	743,975	743,975	0	0
Environmental Facilities Corporation	April 1	847,751	24,621	820,459	2,671	860,787	24,864	832,692	3,231
Long Island Power Authority	Jan. 1	3,729,913	3,223,012	550,131	(43,230)	3,657,595	2,998,583	584,012	75,000
Power Authority	Jan. 1	2,604,800	2,262,600	185,900	156,300	2,700,600	2,330,600	176,100	193,900
<b>HOUSING, HEALTH AND FINANCE</b>									
Dormitory Authority	April 1	3,928,924	105,614	3,823,310	0	4,239,602	108,862	4,130,740	0
Housing Finance Agency	Nov. 1	1,186,997	29,243	1,155,639	2,115	317,881	31,605	285,116	1,160
Local Government Assistance Corporation	April 1	377,048	13,429	347,311	16,308	383,327	5,909	378,354	(936)
Mortgage Agency	Nov. 1	480,077	34,670	445,731	(324)	502,260	39,716	461,759	785
Municipal Assistance Corporation for the City of Troy	Jan. 1	6,394	47	6,272	75	6,323	48	6,040	235
Nassau County Interim Finance Authority <sup>e</sup>	Jan. 1	179,258	1,181	178,077	0	190,398	1,475	188,923	0
Municipal Bond Bank Agency	Nov. 1	59,778	503	59,275	0	83,303	535	82,768	0
Tobacco Settlement Financing Corporation	Nov. 1	413,080	723	417,306	(4,949)	413,189	1,232	411,957	
Buffalo Fiscal Stability Authority <sup>f</sup>	July 1	275,537	998	19,405	255,134	274,977	1,027	19,851	254,099

## PUBLIC AUTHORITIES

**TABLE 1**  
**FINANCIAL OPERATIONS <sup>a/</sup> OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2010 AND 2011**  
**(thousands of dollars)**

Authorities by Function	Fiscal Year Begins	2010				2011			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>b/</sup>	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) <sup>b/</sup>
<b>PORT DEVELOPMENT</b>									
Albany Port District Commission	Jan. 1	10,725	4,002	1,612	5,111	8,490	4,522	1,309	2,659
Ogdensburg Bridge and Port Authority	April 1	5,415	3,906	1,199	310	5,156	3,626	1,191	339
Port Authority of New York and New Jersey <sup>a/</sup>	Jan. 1	4,344,239	2,389,403	622,986	1,331,850	4,515,503	2,509,280	700,794	1,305,429
Port of Oswego Authority	April 1	3,223	2,547	382	294	3,320	2,624	247	449
<b>REGIONAL TRANSPORTATION</b>									
Capital District Transportation Authority	April 1	73,533	73,533	0	0	72,586	85,920	0	(13,334)
Central New York Regional Transportation Authority	April 1	59,163	59,866	13	(716)	55,202	62,065	13	(6,876)
Metropolitan Transportation Authority <sup>b/</sup>	Jan. 1	12,933,700	11,162,700	1,841,500	(70,500)	13,262,600	11,698,800	2,051,800	(488,000)
Niagara Frontier Transportation Authority	April 1	188,089	171,550	13,835	2,704	191,328	174,314	12,798	4,216
Rochester-Genesee Regional Transportation Authority	April 1	78,803	75,240	0	3,563	78,787	85,598	0	(6,811)
<b>GRAND TOTAL</b>		<b>34,861,507</b>	<b>21,253,165</b>	<b>11,605,875</b>	<b>2,002,467</b>	<b>34,647,652</b>	<b>21,581,030</b>	<b>11,552,169</b>	<b>1,514,453</b>

<sup>a/</sup> This table is based on authority estimates and may not reflect approval by the Board of Directors. This table covers the Authority fiscal year which includes September 30. Data vary as to cash or accrual accounting.

<sup>b/</sup> The operating surplus may be committed to reserve requirements, repayment of State advances or funding of capital programs or programs operated by other authorities. Deficits are to be financed from existing resources, by management actions, and/or by securing revenues from outside sources greater than anticipated by the Authority.

<sup>c/</sup> Excludes debt service for bonds sold to finance State transportation programs.

<sup>d/</sup> New York City Off Track Betting ceased operations on December 8, 2010.

<sup>e/</sup> Excess sales tax funds of the Authority are remitted immediately to Nassau County as required under the NIFA Act.

<sup>f/</sup> Surplus funds of the Authority are remitted immediately to the City of Buffalo and the Buffalo School District as required by the BFSA Act.

<sup>g/</sup> 2010 information is a preliminary estimate of Authority Operating Budget and is subject to change.

<sup>h/</sup> Data represents consolidated reporting for the Metropolitan Transportation Authority and the Triborough Bridge and Tunnel Authority. These figures do not include debt service on State Service Contract bonds.

## PUBLIC AUTHORITIES

**TABLE 2**  
**CAPITAL PROGRAMS <sup>a/</sup> OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2010 AND 2011**  
**(thousands of dollars)**

<b>Authorities by Function</b>	<b>2010</b>			<b>2011</b>		
	<b>Capital Program Disburse- ments</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>	<b>Capital Program Disburse- ments</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>
<b>BRIDGE, TUNNEL AND HIGHWAY</b>						
Buffalo and Fort Erie Public Bridge Authority	4,221	67,558	0	1,866	76,738	0
New York State Bridge Authority	15,230	23,891	0	20,958	14,888	0
Thousand Islands Bridge Authority	2,411	2,411	0	2,935	2,935	0
Thruway Authority	361,438	361,438	0	463,620	463,620	0
<b>ECONOMIC DEVELOPMENT</b>						
Battery Park City Authority	15,836	0	85,000	48,070	67,787	0
Development Authority of the North Country	14,452	11,952	2,500	37,598	29,748	7,850
Job Development Authority	448	2,512	0	555	1,920	0
Empire State Development Corporation	983,945	0	1,109,420	733,205	0	1,124,446
New York City OTB <sup>c/</sup>	2,801	2,801	0	-	-	-
United Nations Development Corporation	2,599	8,250	0	3,318	7,850	0
<b>ENERGY AND ENVIRONMENT</b>						
Energy Research and Development Authority	19,247	19,247	0	15,310	15,310	0
Environmental Facilities Corporation	425,850	0	425,850	250,000	0	250,000
Long Island Power Authority	267,032	57,032	210,000	312,271	62,271	250,000
Power Authority	326,938	326,938	16,100	328,334	328,334	13,707
<b>HOUSING, HEALTH AND FINANCE</b>						
Dormitory Authority	3,038,644	3,306,416	4,856,898	4,663,420	5,124,670	4,952,175
Housing Finance Agency	1,038,261	787,124	1,075,029	851,738	823,927	491,100
Local Government Assistance Corporation	0	0	0	0	0	0
Mortgage Agency	355,147	0	302,885	399,000	0	398,517
Municipal Assistance Corporation for the City of Troy	0	0	0	0	0	0
Nassau County Interim Finance Authority <sup>d/</sup>	0	0	0	0	0	0
Municipal Bond Bank Agency	0	0	0	0	0	0
Tobacco Settlement Financing Corporation	0	0	0	0	0	0
Buffalo Fiscal Stability Authority	0	0	0	0	0	0

## PUBLIC AUTHORITIES

**TABLE 2**  
**CAPITAL PROGRAMS <sup>a/</sup> OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2010 AND 2011**  
**(thousands of dollars)**

<b>Authorities by Function</b>	<b>2010</b>			<b>2011</b>		
	<b>Capital Program Disburse- ments</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>	<b>Capital Program Disburse- ments</b>	<b>Available Resources</b>	<b>Sale of New Debt <sup>b/</sup></b>
<b>PORT DEVELOPMENT</b>						
Albany Port District Commis- sion	3,000	6,723	0	2,000	3,968	0
Ogdensburg Bridge and Port Authority	15,810	15,810	0	20,845	20,845	0
Port Authority of New York and New Jersey <sup>c/</sup>	3,090,438	2,680,497	1,206,098	3,310,443	2,573,254	1,385,438
Port of Oswego Authority	1,818	451	1,650	337	337	0
<b>REGIONAL TRANSPORTA- TION</b>						
Capital District Transportation Authority	4,071	2,030	0	61,554	2,200	0
Central New York Regional Transportation Authority	26,499	26,499	0	23,668	23,668	0
Metropolitan Transportation Authority <sup>d/</sup>	6,743,700	2,927,100	3,816,500	5,282,700	1,472,000	3,810,800
Niagara Frontier Transporta- tion Authority	79,425	79,425	0	71,545	71,545	0
Rochester-Genesee Regional Transportation Authority	<u>27,086</u>	<u>56,936</u>	<u>373</u>	<u>47,740</u>	<u>70,722</u>	<u>2,850</u>
<b>GRAND TOTAL</b>	<u><u>16,866,347</u></u>	<u><u>10,773,041</u></u>	<u><u>13,108,303</u></u>	<u><u>16,953,030</u></u>	<u><u>11,258,537</u></u>	<u><u>12,686,883</u></u>

<sup>a/</sup> This table is based on authority estimates and may not reflect approval by the Board of Directors. The table covers the Authority fiscal year which includes September 30. "Available resources" may include anticipated and/or requested State and Federal funds.

<sup>b/</sup> Includes proceeds available for capital program only.

<sup>c/</sup> New York City Off Track Betting ceased operations on December 8, 2010.

<sup>d/</sup> Includes proceeds available for capital program only. All capital borrowings are made by the Authority on behalf of Nassau County and all capital bond proceeds are disbursed to Nassau County. The Authority issues debt only at the request of Nassau County.

<sup>e/</sup> All estimates are preliminary and are subject to change.

<sup>f/</sup> Data represents consolidated reporting for the Metropolitan Transportation Authority and the Triborough Bridge and Tunnel Authority.

## PUBLIC AUTHORITIES

**TABLE 3**  
**DEBT STRUCTURE OF NEW YORK STATE PUBLIC AUTHORITIES**  
**AS OF SEPTEMBER 30, 2010**  
 (thousands of dollars)

Authorities by Function	All Bonds and Notes				Moral Obligation Bonds		
	Statutory Authorization	Bonds Issued	Bonds Outstanding	Notes Outstanding	Authorized Limit	Bonds Issued	Bonds Outstanding
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public Bridge Authority	165,000	44,120	42,740	0	0	0	0
New York State Bridge Authority	153,255	83,522	53,255	0	0	0	0
Thousand Islands Bridge Authority	Unlimited	5,745	0	0	0	0	0
Thruway Authority	Unlimited	22,316,300	13,448,165	680,610	0	0	0
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority <sup>af</sup>	1,060,000	1,155,581	1,110,880	0	0	0	0
Development Authority of the North Country	Unlimited	67,552	16,955	5,893	0	0	0
Job Development Authority	750,000	0	27,745	0	0	0	0
Empire State Development Corporation	17,352,204	12,140,418	8,726,717	0	0	0	0
New York City OTB <sup>bl</sup>	None	0	0	0	0	0	0
United Nations Development Corporation	Unlimited	260,728	106,823	0	75,000	31,000	0
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority	Unlimited	8,094,695	3,626,740	0	0	0	0
Environmental Facilities Corporation	Unlimited	15,698,405	8,416,035	0	0	0	0
Long Island Power Authority	Unlimited	11,832,223	6,717,994	200,000	0	0	0
Power Authority	Unlimited	7,469,425	1,173,415	776,642	0	0	0
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority	Unlimited	99,417,060	42,537,344	30,730	699,785	698,660	2,880
Housing Finance Agency <sup>cl</sup>	24,517,299	19,697,716	9,722,370	0	7,112,115	6,524,379	27,410
Local Government Assistance Corporation	4,700,000	5,647,035	3,393,118	0	0	0	0
Mortgage Agency	8,720,000	14,302,083	3,416,964	0	0	0	0
Municipal Assistance Corporation for the City of Troy	75,000	69,583	52,573	0	0	0	0
Nassau County Interim Finance Authority	Unlimited	3,888,595	1,648,185	0	0	0	0
Municipal Bond Bank Agency	1,000,000	921,132	736,282	0	0	0	0
Tobacco Settlement Financing Corporation	4,200,000	4,552,495	3,011,900	0	0	0	0
Buffalo Fiscal Stability Authority	Unlimited	156,580	121,120	0	0	0	0

## PUBLIC AUTHORITIES

**TABLE 3**  
**DEBT STRUCTURE OF NEW YORK STATE PUBLIC AUTHORITIES**  
**AS OF SEPTEMBER 30, 2010**  
 (thousands of dollars)

Authorities by Function	All Bonds and Notes				Moral Obligation Bonds		
	Statutory Authorization	Bonds Issued	Bonds Outstanding	Notes Outstanding	Authorized Limit	Bonds Issued	Bonds Outstanding
<b>PORT DEVELOPMENT</b>							
Albany Port District Commission	Unlimited	0	0	307	0	0	0
Ogdensburg Bridge and Port Authority	Unlimited	7,910	5,020	2,365	0	0	0
Port Authority of New York and New Jersey	Unlimited	21,132,319	14,523,675	431,760	0	0	0
Port of Oswego Authority	Unlimited	0	0	2,077	0	0	0
<b>REGIONAL TRANSPORTATION</b>							
Capital District Transportation Authority	Unlimited	0	0	0	0	0	0
Central New York Regional Transportation Authority	Unlimited	0	0	5,000	0	0	0
Metropolitan Transportation Authority <sup>a/</sup>	86,631,000	35,255,430	29,806,330	624,165	0	0	0
Niagara Frontier Transportation Authority	Unlimited	199,334	159,718	38,874	0	0	0
Rochester-Genesee Regional Transportation Authority	Unlimited	0	0	0	0	0	0
<b>GRAND TOTAL</b>		<u>284,415,986</u>	<u>152,602,063</u>	<u>2,798,423</u>	<u>7,886,900</u>	<u>7,254,039</u>	<u>30,290</u>

<sup>a/</sup> \$400 million in bonding authority related to the Housing New York Program sunsetted on June 30, 1995.

<sup>b/</sup> New York City Off Track Betting ceased operations on December 8, 2010.

<sup>c/</sup> HFA moral obligation bond limit is reduced as bonds outstanding after April 1, 1976 are repaid.

<sup>d/</sup> Data represents consolidated reporting for the Metropolitan Transportation Authority and the Triborough Bridge and Tunnel Authority and does include debt outstanding numbers for State Service Contract bonds and Convention Center bonds. Bond cap is applicable only to projects set forth in transit and commuter capital programs approved by the MTA Capital Program Review Board. Authorization for State Service Contract bonds is limited to \$165 million in annual debt service maturing no later than July 1, 2031.

## PUBLIC AUTHORITIES

TABLE 4  
STATE INVOLVEMENT IN FINANCING OF PROJECTS AND OPERATIONS  
OF NEW YORK STATE PUBLIC AUTHORITIES  
2010 AND 2011-12  
(thousands of dollars)

Authorities by Function	Authority Bonds Outstanding, 2010 <sup>a/</sup>			Outstanding Reimbursable State Appropriations, 2010	State Appropriations Recommended in Support of Authority Programs, 2011-12 <sup>b/</sup>		
	Revenue and Nonrecourse	State Guaranteed	Moral Obligation		New Appropriations	Reappropriations	Total
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public Bridge Authority	42,740	0	0	0	0	0	0
New York State Bridge Authority	53,255	0	0	0	0	0	0
Thousand Islands Bridge Authority	0	0	0	0	0	0	0
Thruway Authority	13,448,165	0	0	0	2,000	0	2,000
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority	1,110,880	0	0	0	0	0	0
Development Authority of the North Country	16,955	0	0	0	0	0	0
Job Development Authority	0	27,745	0	0	0	0	0
Empire State Development Corporation	8,726,717	0	0	0	55,239	380,798	436,037
New York City OTB <sup>a/</sup>	0	0	0	0	0	0	0
United Nations Development Corporation	106,823	0	0	0	0	0	0
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority	3,626,740	0	0	0	32,865	50,000	82,865
Environmental Facilities Corporation	8,416,035	0	0	570	12,653	1,991	14,644
Long Island Power Authority	6,717,994	0	0	0	0	0	0
Power Authority	1,173,415	0	0	0	0	0	0
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority	42,534,464	0	2,880	77,653	0	0	0
Housing Finance Agency	9,694,960	0	27,410	0	0	0	0
Local Government Assistance Corporation	3,393,118	0	0	0	392,000	0	392,000
Mortgage Agency	3,416,964	0	0	0	0	0	0
Municipal Assistance Corporation for the City of Troy	52,573	0	0	0	0	0	0
Nassau County Interim Finance Authority	1,648,185	0	0	0	0	0	0
Municipal Bond Bank Agency	736,282	0	0	0	0	0	0
Tobacco Settlement Financing Corporation	3,011,900	0	0	0	0	0	0
Buffalo Fiscal Stability Authority	121,120	0	0	0	0	0	0

## PUBLIC AUTHORITIES

**TABLE 4**  
**STATE INVOLVEMENT IN FINANCING OF PROJECTS AND OPERATIONS**  
**OF NEW YORK STATE PUBLIC AUTHORITIES**  
**2010 AND 2011-12**  
**(thousands of dollars)**

<b>Authorities by Function</b>	<b>Authority Bonds Outstanding, 2010 <sup>d/</sup></b>			<b>Outstanding Reimbursable State Approp- riations, 2010</b>	<b>State Appropriations Recommended in Support of Authority Programs, 2011-12 <sup>b/</sup></b>		
	<b>Revenue and Nonrecours e</b>	<b>State Guaranteed</b>	<b>Moral Obligation</b>		<b>New Approp- riations</b>	<b>Reapprop- riations</b>	<b>Total</b>
<b>PORT DEVELOPMENT</b>							
Albany Port District Commis- sion	0	0	0	0	0	0	0
Ogdensburg Bridge and Port Authority	5,020	0	0	18,930	0	0	0
Port Authority of New York and New Jersey	14,523,675	0	0	0	0	0	0
Port of Oswego Authority	0	0	0	3,906	0	0	0
<b>REGIONAL TRANSPORTA- TION</b>							
Capital District Transportation Authority	0	0	0	0	29,176	0	29,176
Central New York Regional Transportation Authority	0	0	0	0	26,633	0	26,633
Metropolitan Transportation Authority <sup>d/</sup>	29,806,330	0	0	0	3,801,896	1,007,000	4,808,896
Niagara Frontier Transporta- tion Authority	159,718	0	0	0	42,007	0	42,007
Rochester-Genesee Regional Transportation Authority	0	0	0	0	30,543	0	30,543
<b>GRAND TOTAL</b>	<b>152,544,028</b>	<b>27,745</b>	<b>30,290</b>	<b>101,059</b>	<b>4,425,012</b>	<b>1,439,789</b>	<b>5,864,801</b>

<sup>d/</sup> This table covers bonds outstanding as of September 30.

<sup>b/</sup> Appropriations are included in the Executive Budget for State Fiscal Year 2011-12 from the State's General Fund, dedicated tax funds, Capital Projects Fund or bond funds. Some of these funds may be appropriated to an intermediary which, in turn, makes payment to the named authority.

<sup>c/</sup> New York City Off Track Betting ceased operations on December 8, 2010.

<sup>d/</sup> Data represents consolidated reporting for the Metropolitan Transportation Authority and the Triborough Bridge and Tunnel Authority. Outstanding bonds do not include Convention Center Project Bonds that are not covered by the Authority's bond cap, and are solely supported by rental income.

# ***PUBLIC EMPLOYMENT RELATIONS BOARD***

## ***MISSION***

The Public Employment Relations Board (PERB) was created by the Public Employees' Fair Employment Act of 1967 and resolves labor disputes between public employers and employees. PERB provides mediation, fact-finding and arbitration in contract disputes for approximately 4,800 public sector negotiating units in New York State.

The 2010-11 budget made PERB also responsible for administering the State Employment Relations Act, in addition to the Taylor Law, and expanded PERB's labor-management oversight activities to include private sector employers that are not provided services by the National Labor Relations Board, the Federal Mediation and Conciliation Service, or the National Mediation Board.

Annually, more than 4,000 notices of contract expiration are filed with the Board by private sector employers or the unions that represent their employees. In addition, the Board settles questions of union representation, conducts hearings on charges of improper and unfair labor practices, designates Management/Confidential positions, makes determinations regarding applications for injunctive relief 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, public authorities, and since July 2010, private employers. Central offices are in Albany, with additional staff in Buffalo and Brooklyn.

## ***BUDGET HIGHLIGHTS***

The Executive Budget recommends **\$4.1 million** All Funds (\$3.6 million General Fund; \$575,000 Other Funds) for the Public Employment Relations Board. This is a decrease in the General Fund of **\$397,000 (-10 percent)** from the 2010-11 budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## ***PROGRAM HIGHLIGHTS***

The Board provides three principal services: conciliation, settlement of petitions involving representation, and rulings on charges of improper or unfair employment practices.

## **PUBLIC EMPLOYMENT RELATIONS**

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### **CONCILIATION**

The Board provided assistance in 373 of the 2,386 State and local contract negotiations conducted in 2009-10, which represents a nearly 20 percent increase from two years ago. In addition, the Board is also performing these functions for private employers and their unions.

### **REPRESENTATION**

Through its Office of Employment Practices and Representation, the Board reviews all petitions from public and private 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, in the public sector may designate them management or confidential. In 2011-12, the Board expects to receive approximately 110 petitions raising questions about representation and to conduct 20 elections for representation.

The Board also addresses matters of bargaining unit changes through unit clarification/placement and Management/Confidential applications. In 2009-10, 83 such applications were received by the Board and 88 cases were resolved: 46 by settlement after a conference was conducted and 42 by issuing a decision. Approximately 100 applications of this type are expected in 2011-12.

### **EMPLOYMENT PRACTICES**

The Board conducts hearings and renders decisions on improper and unfair labor practice charges. It received 893 charges of improper employment and negotiating practices in 2009-10 and expects 1,000 such charges in the coming year. In 2009-10, the Board wrote 139 decisions and closed, either by decision or settlement, more than 850 improper practice cases. In 2011-12, the Board will also resolve unfair labor practices involving the private sector employers that do not fall within the jurisdiction of the National Labor Relations Board.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	4,543,000	4,146,000	(397,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>4,543,000</u>	<u>4,146,000</u>	<u>(397,000)</u>	<u>0</u>

# PUBLIC EMPLOYMENT RELATIONS

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	35	35	0
Total	35	35	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	3,968,000	3,571,000	(397,000)
Special Revenue Funds - Other	575,000	575,000	0
Total	4,543,000	4,146,000	(397,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	3,968,000	3,571,000	(397,000)
Special Revenue Funds - Other	575,000	575,000	0
Total	4,543,000	4,146,000	(397,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	3,295,000	(295,000)	3,020,000	(295,000)
Total	3,295,000	(295,000)	3,020,000	(295,000)

Program	Temporary Service (Nonannual Salaried)	
	Amount	Change
Administration	275,000	0
Total	275,000	0

# PUBLIC EMPLOYMENT RELATIONS

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	276,000	(102,000)	37,000	0
Total	<u>276,000</u>	<u>(102,000)</u>	<u>37,000</u>	<u>0</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	52,000	0	160,000	(102,000)
Total	<u>52,000</u>	<u>0</u>	<u>160,000</u>	<u>(102,000)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	27,000	0
Total	<u>27,000</u>	<u>0</u>

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	575,000	0	275,000	0
Total	<u>575,000</u>	<u>0</u>	<u>275,000</u>	<u>0</u>

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

# COMMISSION ON PUBLIC INTEGRITY

## MISSION

The mission of the Commission on Public Integrity is to ensure compliance with the ethical standards imposed to foster public trust and confidence in government. Established in 2007 by the merger of the State Ethics Commission and the Temporary State Commission on Lobbying, the Commission on Public Integrity is charged with the responsibility of administering and enforcing the State's ethics and lobbying statutes along with anti-nepotism laws and the New York State "little Hatch Act."

## ORGANIZATION AND STAFFING

The Commission has 13 members, and operates through eight units: Executive, Public Information, Administration, Technology, Legal, Investigations, Programs, and Training and Educational Services. The Commission's office is in Albany.

## BUDGET HIGHLIGHTS

The Executive Budget recommends more than **\$3.9 million** in General Fund spending for the Commission on Public Integrity. This is a General Fund decrease of **\$430,000 (-10 percent)** from the 2010-11 budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## PROGRAM HIGHLIGHTS

The Commission has jurisdiction over 190,000 statewide officials, state officers and employees, and candidates for statewide elected office and political party chairs filing over 27,000 financial disclosure statements annually, as well as approximately 5,900 lobbyists representing 3,500 clients that reported spending \$198 million in 2009 on their lobbying efforts. The Commission is responsible for issuing formal and informal advisory opinions to those under its jurisdiction, providing comprehensive outreach and education programs, administering a website that offers online filing, and conducting investigations and holding hearings to enforce the laws under the Commission's mandate.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	4,308,000	3,878,000	(430,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	4,308,000	3,878,000	(430,000)	0

# PUBLIC INTEGRITY

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Public Integrity, Commission on	46	46	0
General Fund	46	46	0
Total	46	46	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	4,308,000	3,878,000	(430,000)
Total	4,308,000	3,878,000	(430,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Public Integrity, Commission on	4,308,000	3,878,000	(430,000)
General Fund	4,308,000	3,878,000	(430,000)
Total	4,308,000	3,878,000	(430,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Public Integrity, Commission on	3,061,000	(340,000)	3,016,000	(335,000)
Total	3,061,000	(340,000)	3,016,000	(335,000)

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Public Integrity, Commission on	45,000	(5,000)
Total	45,000	(5,000)

# PUBLIC INTEGRITY

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STATE OPERATIONS - GENERAL FUND  
 SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
 APPROPRIATIONS AND CHANGES  
 2011-12 RECOMMENDED  
 (dollars)

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Public Integrity, Commission on	817,000	(90,000)	40,000	(4,000)
Total	817,000	(90,000)	40,000	(4,000)
<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Public Integrity, Commission on	20,000	0	717,000	(76,000)
Total	20,000	0	717,000	(76,000)
<b>Program</b>	<b>Equipment</b>			
	<b>Amount</b>	<b>Change</b>		
Public Integrity, Commission on	40,000	(10,000)		
Total	40,000	(10,000)		

# **DEPARTMENT OF PUBLIC SERVICE**

## **MISSION**

The Department of Public Service is the staff arm of the Public Service Commission, which regulates the rates and services of the State's public utilities, including electric, gas, steam, telephone and water. The Commission also oversees the siting of major electric and gas transmission lines and facilities. In addition, it ensures the safety of natural gas and liquid petroleum pipelines and is responsible for oversight and regulation of the cable television industry in New York State.

## **ORGANIZATION AND STAFFING**

The Public Service Commission consists of five members who are nominated by the Governor and confirmed by the Senate. The Chairman serves as the chief executive officer of the Department, which operates offices in Albany, New York City, Buffalo and Syracuse.

The Department's budget has two programs: the Administration Program, which supports the Public Service Commission and Department activities; and the Regulation Program, which undertakes activities to ensure fair and reasonable rates, monitor service standards, address consumer complaints, promote efficient operation and ensure that industry construction programs meet safety and environmental requirements.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$80.4 million** All Funds (\$76.9 million Special Revenue Funds; \$3.5 million Federal funds) for the Department of Public Service. This is a net **increase of \$250,000** All Funds (increase of \$500,000 Special Revenue Funds; decrease of \$250,000 Federal funds) (**0.3 percent**) from the 2010-11 budget. This net increase primarily reflects an increase in local assistance appropriations, partially offset by decreased Federal stimulus funding.

The Department's 2011-12 operating budget includes funding of \$75.4 million from utility and cable assessments. Public utility assessments are based on a utility's gross intrastate operating revenues above \$500,000. Cable television assessments are based on revenues from those companies with 1,000 or more subscribers.

In addition, the local assistance budget provides a total of \$1.5 million from fees paid by entities proposing to site electric generation and transmission facilities. These funds can be accessed by local governments and community groups to fund intervention activities related to the siting review process.

The Department also receives Federal grants to perform pipeline safety activities.

## **PROGRAM HIGHLIGHTS**

The Department will continue the following priorities for the coming year:

- Ensure just and reasonable utility rates, along with safe and adequate electric, gas, steam, and telecommunications service.
- Enhance energy efficiency through the existing Energy Efficiency Portfolio Standard initiative and through an extension or reformulation of programs under the System Benefits Charge.

## PUBLIC SERVICE

- Promote clean and renewable electric generation, including through the Renewable Portfolio Standard Initiative, designed to increase the proportion of electricity in the State generated by renewable resources to 30 percent by 2015.
- Conduct complete electric transmission siting reviews, oversee the responsible development of a smart electric grid, and ensure the safety of the State's natural gas pipelines.
- Educate consumers and resolve consumer-utility disputes, to ensure fair and responsible utility service.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	79,142,000	78,892,000	(250,000)	4,550,000
Aid To Localities	1,000,000	1,500,000	500,000	3,186,000
Capital Projects	0	0	0	0
Total	<u>80,142,000</u>	<u>80,392,000</u>	<u>250,000</u>	<u>7,736,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
Special Revenue Funds - Other	98	98	0
Regulation of Utilities			
Special Revenue Funds - Federal	12	15	3
Special Revenue Funds - Other	421	421	0
Total	<u>531</u>	<u>534</u>	<u>3</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	3,750,000	3,500,000	(250,000)
Special Revenue Funds - Other	75,392,000	75,392,000	0
Total	<u>79,142,000</u>	<u>78,892,000</u>	<u>(250,000)</u>
Adjustments:			
Prior Year Deficiency			
Public Service Department			
Special Revenue Funds - Federal	1,250,000		
Appropriated 2010-11	<u>80,392,000</u>		

# PUBLIC SERVICE

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	12,761,000	12,761,000	0
Regulation of Utilities			
Special Revenue Funds - Federal	3,750,000	3,500,000	(250,000)
Special Revenue Funds - Other	62,631,000	62,631,000	0
Total	<u>79,142,000</u>	<u>78,892,000</u>	<u>(250,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	12,761,000	0	7,475,000	496,000
Regulation of Utilities	66,131,000	(250,000)	38,097,000	2,053,000
Total	<u>78,892,000</u>	<u>(250,000)</u>	<u>45,572,000</u>	<u>2,549,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	5,286,000	(496,000)	0	0
Regulation of Utilities	28,034,000	(1,053,000)	0	(1,250,000)
Total	<u>33,320,000</u>	<u>(1,549,000)</u>	<u>0</u>	<u>(1,250,000)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	1,000,000	1,500,000	500,000
Total	<u>1,000,000</u>	<u>1,500,000</u>	<u>500,000</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Regulation of Utilities			
Special Revenue Funds - Other	1,000,000	1,500,000	500,000
Total	<u>1,000,000</u>	<u>1,500,000</u>	<u>500,000</u>

# **COMMISSION ON QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES**

## **MISSION**

The mission of the Commission on Quality of Care and Advocacy for Persons with Disabilities (CQCAPD) is to improve the quality of life for individuals with disabilities in New York State and to protect their rights and advocate for needed change by:

- Ensuring programmatic and fiscal accountability, and monitoring care and treatment of people with disabilities within the State's mental hygiene system, and making recommendations for improvements, when warranted;
- Providing individual and systemic investigative and advocacy services;
- Advancing the availability and use of assistive technology for persons with disabilities;
- Offering impartial and informed advice, training, and recommendations on a broad range of disability issues; and
- Promoting the inclusion of persons with disabilities in all aspects of community life and ensuring that persons with disabilities are afforded the opportunity to exercise the full range of rights and responsibilities accorded to all New Yorkers.

The Commission's Advisory Council has expanded its membership to include individuals with a broader range of disabilities to better fulfill its mission in advising the Governor and Legislature regarding all New Yorkers with disabilities.

## **ORGANIZATION AND STAFFING**

The Commission comprises a full-time chairperson and two unsalaried members, each appointed by the Governor and confirmed by the Senate to serve staggered five-year terms. The responsibilities of the Commission are carried out through five major programmatic divisions/bureaus:

- The Division of Adult Quality Assurance and Investigation;
- The Division of Children's Quality Assurance and Investigation;
- The Fiscal Investigations Bureau;
- The Division of Protection and Advocacy Program Administration; and
- The Division of Advocacy and Outreach for Persons with Physical Disabilities.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$18.1 million** All Funds for the Commission on Quality of Care and Advocacy for Persons with Disabilities (CQCAPD). This is a decrease of **\$0.5 million (-10.0 percent)** General Fund from 2010-11. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

In addition to 10 percent reductions in the cost of State Operations, the budget recommends:

- **Surrogate Decision-Making Committee Reductions:** Program funding will be aligned with caseload expectations, and certain cases will be completed using State staff to reduce costs, as these cases are currently passed on to contractors for the administration of the hearings.

# **QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES**

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## **PROGRAM HIGHLIGHTS**

### **OVERSIGHT OF SERVICE DELIVERY IN THE MENTAL HYGIENE AREA**

The Commission provides independent oversight and review of State and voluntary programs serving individuals with mental illness, developmental disabilities, and chemical dependence. Most importantly, it investigates allegations of abuse or mistreatment of individuals served in facilities operated or licensed by these agencies. The Commission also monitors the quality of mental health services in the State prison system. The Commission receives and screens approximately 16,000 reports of abuse, neglect, or death and conducts reviews or investigations on over 1,000 cases annually. The Commission also investigates allegations of fiscal fraud, waste, and abuse relating to the provision of services in the mental hygiene system.

### **PROTECTION AND ADVOCACY**

Through a combination of staff resources and contracts with non-profit agencies, the Commission provides statewide protection and advocacy services for individuals with disabilities through the following federal programs: Protection and Advocacy for the Developmentally Disabled; Client Assistance; Protection and Advocacy for Individuals with Mental Illness; Protection and Advocacy of Individual Rights; Protection and Advocacy for Beneficiaries of Social Security; Protection and Advocacy for Assistive Technology; Protection and Advocacy for Traumatic Brain Injury; and Protection and Advocacy for Voting Access. These programs assist the Commission in strengthening the non-profit contract network by providing individuals with severe disabilities with Federally-mandated protection and advocacy services. Every year, more than 40,000 individuals with disabilities are served through the Commission's protection and advocacy programs.

### **SURROGATE DECISION MAKING COMMITTEE**

The Surrogate Decision Making Committee (SDMC) program reviews recommendations for medical services on behalf of individuals receiving mental hygiene residential services who have neither a legal guardian nor the ability to make decisions for themselves. Teams selected from a pool of 1,600 volunteer medical, legal, and health care professionals, and advocates work via local dispute resolution centers located throughout the State to represent these individuals. More than 900 SDMC cases are resolved, and over 100 volunteers and 400 providers are trained annually.

### **TECHNOLOGY SERVICES TO PERSONS WITH DISABILITIES**

The Commission's federally funded Technology-Related Assistance for Individuals with Disabilities (TRAID) Project supports a statewide system that helps New Yorkers with disabilities access technology devices and services to facilitate their full integration into the mainstream workplace and community. This program is coordinated through an

## **QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES**

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Interagency Partnership on Assistive Technology and 12 Regional TRAIID Centers at 15 sites. During 2010 the TRAIID program made over 11,000 loans of adaptive equipment and saved over \$1 million through recycling of assistive technology services.

The Commission's Disability and Business Technical Assistance Center grant funding will continue to be used to provide comprehensive education, public awareness, and technical assistance programs that promote increased voluntary compliance with the Americans with Disabilities Act (ADA).

### **ADULT HOMES**

The Commission contracts with local non-profit organizations to provide advocacy services to protect the rights of residents of adult homes who have been consumers in the mental hygiene system. The Commission's dedicated team will continue to work collaboratively with the Department of Health (DOH) and the Office of Mental Health (OMH) to conduct programmatic and fiscal investigations into the quality of care provided to individuals living in adult homes. The Commission's efforts have been expanded to assist in the implementation of new State initiatives already underway to improve the quality of life and safety of adult home residents. Last year, Commission staff conducted 30 comprehensive reviews and investigations of complaints in adult homes serving over 1,500 people.

### **STATEWIDE CLEARINGHOUSE**

The Commission operates a statewide clearinghouse through which individuals can access information and obtain referrals to a variety of disability-related services. The system features a 24-hour statewide telephone hotline (1-800-642-4143) and a dynamic full-featured Web site ([www.cqcapd.state.ny.us](http://www.cqcapd.state.ny.us)), which has attracted more than 1 million visitors.

### **ADVOCACY AND OUTREACH**

As required by statute, the Division of Advocacy and Outreach coordinates the Commission's efforts to provide information, support, and technical assistance to empower people with disabilities, family members, advocates, local government officials, and others to identify and undertake the actions necessary to support people with disabilities in becoming fully participating members of their chosen communities. The main focus of this Division is improving inclusion, accommodations, and accessibility for individuals with disabilities. Recently, the Commission partnered with the State Board of Elections to conduct trainings statewide for local election officials to improve accessibility of the voting process.

## QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	18,041,000	17,497,000	(544,000)	13,016,000
Aid To Localities	648,000	648,000	0	0
Capital Projects	0	0	0	0
Total	<u>18,689,000</u>	<u>18,145,000</u>	<u>(544,000)</u>	<u>13,016,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Program Oversight		
General Fund	33	33	0
Special Revenue Funds - Other	35	35	0
Protection and Advocacy			
Special Revenue Funds - Federal	23	23	0
Total	<u>91</u>	<u>91</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	5,466,000	4,922,000	(544,000)
Special Revenue Funds - Federal	8,345,000	8,345,000	0
Special Revenue Funds - Other	4,185,000	4,185,000	0
Enterprise Funds	45,000	45,000	0
Total	<u>18,041,000</u>	<u>17,497,000</u>	<u>(544,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Program Oversight			
General Fund	5,466,000	4,922,000	(544,000)
Special Revenue Funds - Federal	300,000	300,000	0
Special Revenue Funds - Other	4,185,000	4,185,000	0
Enterprise Funds	45,000	45,000	0
Protection and Advocacy			
Special Revenue Funds - Federal	8,045,000	8,045,000	0
Total	<u>18,041,000</u>	<u>17,497,000</u>	<u>(544,000)</u>

# QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Program Oversight	3,736,000	(414,000)	3,720,000	(413,000)
Total	3,736,000	(414,000)	3,720,000	(413,000)

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Program Oversight	16,000	(1,000)
Total	16,000	(1,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Program Oversight	1,186,000	(130,000)	40,000	(4,000)
Total	1,186,000	(130,000)	40,000	(4,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Program Oversight	177,000	(19,000)	839,000	(93,000)
Total	177,000	(19,000)	839,000	(93,000)

Program	Equipment	
	Amount	Change
Program Oversight	130,000	(14,000)
Total	130,000	(14,000)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Program Oversight	4,530,000	0	2,454,000	1,000
Protection and Advocacy	8,045,000	0	1,679,000	103,000
Total	12,575,000	0	4,133,000	104,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Program Oversight	1,776,000	(1,000)	300,000	0
Protection and Advocacy	6,366,000	(103,000)	0	0
Total	8,142,000	(104,000)	300,000	0

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	170,000	170,000	0
Special Revenue Funds - Other	478,000	478,000	0
Total	648,000	648,000	0

# QUALITY OF CARE AND ADVOCACY FOR PERSONS WITH DISABILITIES

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Community Support			
General Fund	170,000	170,000	0
Special Revenue Funds - Other	478,000	478,000	0
Total	<u>648,000</u>	<u>648,000</u>	<u>0</u>

# **STATE RACING AND WAGERING BOARD**

## **MISSION**

The State Racing and Wagering Board regulates all legalized gambling activities in New York except those regulated by the State Lottery. Horse racing, off-track betting (OTB) and Indian casino gaming are directly regulated by the Board. The responsibility for oversight of bingo and other permitted games of chance conducted by religious and not-for-profit organizations is shared with municipalities, which collect license fees and ensure that the Board's rules and regulations are followed.

## **ORGANIZATION AND STAFFING**

A three-member Board oversees agency activities. The Governor appoints each member to a six-year term with the consent of the Senate.

The Chair's office is located in New York City and central office staff is stationed in Schenectady. The Board employs on-site inspectors at the Oneida Indians' Turning Stone Casino in Verona, Oneida County; the Mohawk Indians' Akwesasne Mohawk Casino in Hogansburg, Franklin County; the Seneca Nation's Seneca Niagara Casino in Niagara Falls, Seneca Buffalo Creek Casino in Buffalo, and Seneca Alleghany Casino in Salamanca. Temporary and full-time employees oversee horse racing at New York's four thoroughbred race tracks – Aqueduct, Belmont, Saratoga and Finger Lakes – and seven harness tracks – Buffalo, Monticello, Saratoga, Tioga Downs, Vernon Downs, Batavia Downs and Yonkers. The State Racing and Wagering Board staff will be supported by revenues generated by the racing industry, Indian casinos and charitable gaming activities.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$24.8 million** All Funds for the State Racing and Wagering Board, an **increase of \$2.3 million (10 percent)**, over the 2010-11 budget. This increase is primarily attributable to costs of equine drug testing. Operations of the Board are financed from fees collected from the racing and gaming industries. Over the past several years, the combination of declining horse race wagering and steadily increasing Board operating costs has created a structural deficit within the Board's Regulation of Racing account. This deficit has required the Board to borrow taxpayer-financed General Fund moneys in order to finance its operations. To correct this fiscal imbalance the Executive Budget includes legislation establishing a two and three quarters percent surcharge on purses, and the moneys from this surcharge will be deposited in the Regulation of Racing account. The additional revenue provided from the purse surcharge, combined with cost containment actions assumed in the Budget, will eliminate the need for further General Fund advances and will thus ensure that the cost for the Board's regulatory activities are fully borne by the Racing Industry rather than by taxpayers.

## **PROGRAM HIGHLIGHTS**

### **REGULATION OF GAMES OF CHANCE**

The State Racing and Wagering Board promulgates rules and regulations governing bingo and other games of chance operated by more than 15,000 charitable and not-for-

## **RACING AND WAGERING**

profit organizations throughout the State. The Board establishes standards for issuing licenses to suppliers and manufacturers of gaming equipment; reviews financial statements of charitable gaming operations; and, in conjunction with local law enforcement officials, investigates illegal gaming activities. In accordance with legislation enacted in 1996, the Board continues its oversight of “bell jar” games in order to decrease illegal activity.

### **INDIAN GAMING**

The State has negotiated compacts or protocols with the Oneida Nation, the St. Regis Mohawk Tribe and the Seneca Nation to conduct gaming activities. Under these compacts, the State Racing and Wagering Board is responsible for the regulation and oversight of gaming activities operating on these Indian lands. To oversee these activities, the Board maintains 12 employees at the Oneida Nation’s Turning Stone Casino, 12 employees at the St. Regis Mohawk Tribe’s Akwesasne Casino, 12 employees at the Seneca Nation’s Seneca Niagara Casino, 12 employees at the Seneca Nation’s Seneca Alleghany Casino, and 5 employees at the Seneca Buffalo Creek Casino.

### **REGULATION OF RACING**

The Board’s permanent staff oversees as many as 172 temporary, seasonal employees who ensure that horse races at the State’s racetracks are conducted legally. To help oversee racing activities, the Board will utilize the services of Morrisville State College to carry out post-race testing of blood and urine samples taken from race horses.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	22,470,000	24,750,000	2,280,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>22,470,000</u>	<u>24,750,000</u>	<u>2,280,000</u>	<u>0</u>

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

<b>Program</b>	<b>Full-Time Equivalent Positions (FTE)</b>		
	<b>2010-11 Estimated FTEs 03/31/11</b>	<b>2011-12 Estimated FTEs 03/31/12</b>	<b>FTE Change</b>
	Regulation of Racing		
Special Revenue Funds - Other	9	9	0
Regulation of Wagering			
Special Revenue Funds - Other	96	96	0
Total	<u>105</u>	<u>105</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

# RACING AND WAGERING

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Special Revenue Funds - Other	22,470,000	24,750,000	2,280,000
Total	<u>22,470,000</u>	<u>24,750,000</u>	<u>2,280,000</u>

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Regulation of Racing			
Special Revenue Funds - Other	12,970,000	14,770,300	1,800,300
Regulation of Wagering			
Special Revenue Funds - Other	9,500,000	9,979,700	479,700
Total	<u>22,470,000</u>	<u>24,750,000</u>	<u>2,280,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Regulation of Racing	14,770,300	1,800,300	4,609,500	(1,925,500)
Regulation of Wagering	9,979,700	479,700	5,687,000	17,000
Total	<u>24,750,000</u>	<u>2,280,000</u>	<u>10,296,500</u>	<u>(1,908,500)</u>

  

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Regulation of Racing	10,160,800	3,725,800
Regulation of Wagering	4,292,700	462,700
Total	<u>14,453,500</u>	<u>4,188,500</u>

# GOVERNOR'S OFFICE OF REGULATORY REFORM

## BUDGET HIGHLIGHTS

Established in 1995 via Executive Order 20, the Governor's Office of Regulatory Reform (GORR) was charged with improving the State's regulatory process. The Executive Budget recommends the elimination of GORR to achieve \$1.5 million in financial plan savings.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	2,350,000	0	(2,350,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>2,350,000</u>	<u>0</u>	<u>(2,350,000)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Administration		
General Fund	14	0	(14)
Total	<u>14</u>	<u>0</u>	<u>(14)</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	2,350,000	0	(2,350,000)
Total	<u>2,350,000</u>	<u>0</u>	<u>(2,350,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	2,350,000	0	(2,350,000)
Total	<u>2,350,000</u>	<u>0</u>	<u>(2,350,000)</u>

# REGULATORY REFORM

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	0	(2,000,000)	0	(1,970,000)
Total	<u>0</u>	<u>(2,000,000)</u>	<u>0</u>	<u>(1,970,000)</u>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>
Administration	0	(30,000)
Total	<u>0</u>	<u>(30,000)</u>

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	0	(350,000)	0	(50,000)
Total	<u>0</u>	<u>(350,000)</u>	<u>0</u>	<u>(50,000)</u>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	0	(5,000)	0	(215,000)
Total	<u>0</u>	<u>(5,000)</u>	<u>0</u>	<u>(215,000)</u>

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Administration	0	(80,000)
Total	<u>0</u>	<u>(80,000)</u>

# FOUNDATION FOR SCIENCE, TECHNOLOGY, AND INNOVATION

The 2011-12 Executive Budget would merge the Foundation for Science, Technology and Innovation into the Empire State Development Corporation. This recommendation will further streamline and improve the delivery of economic development services, eliminate duplicative administrative support and save \$1.9 million in State taxpayer dollars.

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	3,351,000	0	(3,351,000)	0
Aid To Localities	65,361,000	0	(65,361,000)	0
Capital Projects	0	0	0	0
Total	<u>68,712,000</u>	<u>0</u>	<u>(68,712,000)</u>	<u>0</u>

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

### Full-Time Equivalent Positions (FTE)

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration Program			
General Fund	23	0	(23)
Total	<u>23</u>	<u>0</u>	<u>(23)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	2,851,000	0	(2,851,000)
Special Revenue Funds - Other	500,000	0	(500,000)
Total	<u>3,351,000</u>	<u>0</u>	<u>(3,351,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration Program			
General Fund	2,851,000	0	(2,851,000)
Special Revenue Funds - Other	500,000	0	(500,000)
Total	<u>3,351,000</u>	<u>0</u>	<u>(3,351,000)</u>

# SCIENCE, TECHNOLOGY, AND INNOVATION

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration Program	0	(1,742,000)	0	(1,742,000)
Total	0	(1,742,000)	0	(1,742,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration Program	0	(1,109,000)	0	(22,000)
Total	0	(1,109,000)	0	(22,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration Program	0	(33,000)	0	(262,000)
Total	0	(33,000)	0	(262,000)

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration Program	0	(48,000)	0	(682,000)
Total	0	(48,000)	0	(682,000)

Program	Special Departmental Charges	
	Amount	Change
Administration Program	0	(62,000)
Total	0	(62,000)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Administration Program	0	(500,000)	0	(500,000)
Total	0	(500,000)	0	(500,000)

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	65,361,000	0	(65,361,000)
Total	65,361,000	0	(65,361,000)

# SCIENCE, TECHNOLOGY, AND INNOVATION

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
High Technology Program			
General Fund	63,548,000	0	(63,548,000)
Research Development Program			
General Fund	343,000	0	(343,000)
Training and Business Assistance Program			
General Fund	1,470,000	0	(1,470,000)
Total	<u>65,361,000</u>	<u>0</u>	<u>(65,361,000)</u>

# **DEPARTMENT OF STATE**

## **MISSION**

Established in 1788, the Department of State (DOS) is the State's oldest agency. Historically serving as the State's general recording officer and custodian of the State's "Great Seal", the Department's mission encompasses a broad range of activities that coordinate programs with, and provide services to, local governments and businesses. The Department supports public safety through the administration of building and energy code programs; 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 has a central office in Albany and 20 regional offices across the State.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$133.8 million** All Funds (\$20.2 million General Fund; \$113.6 million Other Funds) for the Department of State. This reflects a net decrease of **\$52.0 million** All Funds (**-28.0 percent**) from the 2010-11 budget, largely attributable to the termination of American Recovery and Reinvestment Act funding for the Community Service Block Grant Program. General Fund appropriations decrease from the 2010-11 budget by \$3.2 million (-13.5 percent), reflecting an overall 10 percent reduction in State Operations spending and the elimination of the Tug Hill Commission, offset by a transfer of a portion of Consumer Protection Board operations to the Department.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

The responsibilities of the Department of State are carried out through three programs:

- The Local Government and Community Services Program manages New York's building and energy codes; offers planning and management services to local governments; supports land use planning activities in the New York City/Catskill watershed; coordinates New York's coastal resources and waterfront revitalization activities; administers the Department's Federal grant programs, including the Appalachian Regional Commission; and provides a means for achieving economic self-sufficiency through programs designed to improve opportunities for low-income participants.
- The Business and Licensing Services Program maintains all certificates on file for businesses and corporations; administers qualifying examinations and licensing of 26 occupations; and prepares the State Register and other publications.

## STATE

- The Administration Program provides the basic executive direction, fiscal, personnel, legal 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 Commission on Uniform State Laws, the State Athletic Commission, and the Committee on Open Government.

### **AUTHORITIES BUDGET OFFICE**

The Authorities Budget Office (ABO) was statutorily created by Chapter 506 of the Laws of 2009 as an independent office with administrative support and other host services provided through the Department of State. Activities of the Authorities Budget Office are funded by a portion of an assessment the State charges public authorities.

The Office continues, and builds on, the work initially begun by its predecessor, the Authority Budget Office, which was established in 2006 and was hosted by the Division of the Budget. The Authorities Budget Office promotes the principles of effective and efficient corporate governance, and will study, review and report on State and local public authorities, and enforce their compliance with State laws.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	77,893,309	66,568,539	(11,324,770)	36,745,000
Aid To Localities	105,133,631	67,245,000	(37,888,631)	95,698,000
Capital Projects	2,750,000	0	(2,750,000)	5,215,000
Total	<u>185,776,940</u>	<u>133,813,539</u>	<u>(51,963,401)</u>	<u>137,658,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	48	64	16
Authority Budget Office			
Special Revenue Funds - Other	11	11	0
Lake George Park Commission			
Special Revenue Funds - Other	9	9	0
Licensing Services			
Special Revenue Funds - Other	314	313	(1)
Local Government and Community Services			
General Fund	60	60	0
Special Revenue Funds - Federal	55	55	0
Special Revenue Funds - Other	82	82	0
Tug Hill Commission			
General Fund	17	0	(17)
Total	<u>596</u>	<u>594</u>	<u>(2)</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	23,415,000	20,249,700	(3,165,300)
Special Revenue Funds - Federal	13,692,309	7,950,000	(5,742,309)
Special Revenue Funds - Other	40,786,000	38,368,839	(2,417,161)
Total	<u>77,893,309</u>	<u>66,568,539</u>	<u>(11,324,770)</u>

Adjustments:

Transfer(s) From	
Consumer Protection Board, State General Fund	(2,508,000)
Special Pay Bill	
Special Revenue Funds - Other	(34,000)
Appropriated 2010-11	<u>75,351,309</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	12,333,207	11,350,686	(982,521)
Authority Budget Office			
Special Revenue Funds - Other	1,826,000	1,826,000	0
Lake George Park Commission			
Special Revenue Funds - Other	1,529,000	1,495,000	(34,000)
Licensing Services			
Special Revenue Funds - Other	36,145,000	34,273,839	(1,871,161)
Local Government and Community Services			
General Fund	9,737,793	8,764,014	(973,779)
Special Revenue Funds - Federal	13,692,309	7,950,000	(5,742,309)
Special Revenue Funds - Other	1,253,000	774,000	(479,000)
Tug Hill Commission			
General Fund	1,194,000	0	(1,194,000)
Special Revenue Funds - Other	33,000	0	(33,000)
Uniform State Laws, NY Commission on			
General Fund	150,000	135,000	(15,000)
Total	<u>77,893,309</u>	<u>66,568,539</u>	<u>(11,324,770)</u>

## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	7,020,086	(534,121)	6,977,786	(529,421)
Local Government and Community Services	7,645,314	(849,479)	7,610,214	(845,579)
Tug Hill Commission	0	(1,084,000)	0	(1,084,000)
Total	<u>14,665,400</u>	<u>(2,467,600)</u>	<u>14,588,000</u>	<u>(2,459,000)</u>

  

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	36,900	(4,100)	5,400	(600)
Local Government and Community Services	30,600	(3,400)	4,500	(500)
Tug Hill Commission	0	0	0	0
Total	<u>67,500</u>	<u>(7,500)</u>	<u>9,900</u>	<u>(1,100)</u>

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## STATE OPERATIONS - GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	4,330,600	(448,400)	651,400	(64,600)
Local Government and Community Services	1,118,700	(124,300)	70,650	(7,850)
Tug Hill Commission	0	(110,000)	0	(13,000)
Uniform State Laws, NY Commission on	135,000	(15,000)	0	0
<b>Total</b>	<b>5,584,300</b>	<b>(697,700)</b>	<b>722,050</b>	<b>(85,450)</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	72,650	(5,850)	2,913,950	(306,550)
Local Government and Community Services	126,270	(14,030)	576,990	(64,110)
Tug Hill Commission	0	(8,000)	0	(87,000)
Uniform State Laws, NY Commission on	0	0	135,000	(15,000)
<b>Total</b>	<b>198,920</b>	<b>(27,880)</b>	<b>3,625,940</b>	<b>(472,660)</b>

Program	Equipment	
	Amount	Change
Administration	692,600	(71,400)
Local Government and Community Services	344,790	(38,310)
Tug Hill Commission	0	(2,000)
Uniform State Laws, NY Commission on	0	0
<b>Total</b>	<b>1,037,390</b>	<b>(111,710)</b>

## STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Authority Budget Office	1,826,000	0	953,000	0
Lake George Park Commission	1,495,000	(34,000)	612,000	(23,000)
Licensing Services	34,273,839	(1,871,161)	18,333,573	(1,216,427)
Local Government and Community Services	8,724,000	(6,221,309)	4,878,000	(1,652,000)
Tug Hill Commission	0	(33,000)	0	0
<b>Total</b>	<b>46,318,839</b>	<b>(8,159,470)</b>	<b>24,776,573</b>	<b>(2,891,427)</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Authority Budget Office	873,000	0	0	0
Lake George Park Commission	883,000	(11,000)	0	0
Licensing Services	15,940,266	(654,734)	0	0
Local Government and Community Services	3,846,000	(3,533,000)	0	(1,036,309)
Tug Hill Commission	0	(33,000)	0	0
<b>Total</b>	<b>21,542,266</b>	<b>(4,231,734)</b>	<b>0</b>	<b>(1,036,309)</b>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	104,594,631	66,706,000	(37,888,631)
Special Revenue Funds - Other	539,000	539,000	0
<b>Total</b>	<b>105,133,631</b>	<b>67,245,000</b>	<b>(37,888,631)</b>

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Licensing Services			
Special Revenue Funds - Other	539,000	539,000	0
Local Government and Community Services			
Special Revenue Funds - Federal	104,594,631	66,706,000	(37,888,631)
Total	<u>105,133,631</u>	<u>67,245,000</u>	<u>(37,888,631)</u>

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

<u>Comprehensive Construction Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>	<u>Reappropriations 2011-12</u>
Solid and Hazardous Waste Management				
Hazardous Waste Remedial Fund - Oversight & Assessment	2,750,000	0	(2,750,000)	5,215,000
Total	<u>2,750,000</u>	<u>0</u>	<u>(2,750,000)</u>	<u>5,215,000</u>

# ***DIVISION OF STATE POLICE***

## ***MISSION***

The primary mission of the Division of State Police is to promote highway safety and protect the citizens of New York State. The Division's many responsibilities include patrolling roads and highways outside major urban areas, providing specialty and investigative police services, conducting sophisticated investigations of criminal activities like drug trafficking and child endangerment, and working cooperatively with various levels of law enforcement throughout the State.

## ***ORGANIZATION AND STAFFING***

The Division, headed by a Superintendent who is appointed by the Governor, is organized into 11 Troops, all of which are overseen and supported by Division Headquarters located in Albany. 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, while the remaining nine Troops provide patrol coverage and criminal investigation services in cooperation with the local law enforcement community. Factors which affect the extent of State Police's presence throughout the State vary depending on the area's population, highway mileage, and availability of county and local law enforcement agencies.

## ***BUDGET HIGHLIGHTS***

The 2011-12 Executive Budget recommends **\$677 million** in All Funds spending (\$422 million General Fund, \$244 Other Operating Funds and \$11.5 million Capital Projects;) to support ongoing agency activities. This is a decrease of **\$46 million (-6.4 percent)** All Funds (a \$47 million General Fund decrease offset by a \$1 million Other Funds increase) from the 2010-11 Enacted Budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## ***PROGRAM HIGHLIGHTS***

The Division is divided into two principal branches: the Uniform Force and the Bureau of Criminal Investigation. Both of these branches play an integral role in the State's public safety efforts and work cooperatively with numerous criminal justice entities to reduce crime, protect the public, and guard against acts of terrorism.

## ***UNIFORM FORCE***

The Uniform Force has two primary responsibilities: protecting the citizens of New York State and promoting highway safety. In some areas of the State, Uniformed Troopers serve as the primary law enforcement agency, and respond to various types of criminal activity such as burglaries, missing children, assaults, robberies, and homicides.

## STATE POLICE

In areas where the State Police is not the primary law enforcement agency, State Troopers work cooperatively with local law enforcement to provide supplemental law enforcement support.

### **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 crime, and working with Federal and local law enforcement to support counter-terrorism efforts. In addition, BCI resources are regularly deployed to assist local and county law enforcement agencies that may lack the resources or technical expertise required to conduct major criminal investigations.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	711,739,000	665,859,000	(45,880,000)	18,429,000
Aid To Localities	0	0	0	0
Capital Projects	11,500,000	11,500,000	0	94,068,000
Total	<u>723,239,000</u>	<u>677,359,000</u>	<u>(45,880,000)</u>	<u>112,497,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	100	100	0
Criminal Investigation Activities			
General Fund	1,281	1,238	(43)
Special Revenue Funds - Other	105	105	0
Patrol Activities			
General Fund	2,806	2,719	(87)
Special Revenue Funds - Federal	41	41	0
Special Revenue Funds - Other	25	25	0
Governor's Traffic Safety Committee			
Special Revenue Funds - Other	4	4	0
Policing the Thruway			
Special Revenue Funds - Other	312	312	0
Technical Police Services			
General Fund	765	765	0
Total	<u>5,439</u>	<u>5,309</u>	<u>(130)</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

# STATE POLICE

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	469,079,000	422,174,000	(46,905,000)
Special Revenue Funds - Federal	6,310,000	7,335,000	1,025,000
Special Revenue Funds - Other	236,350,000	236,350,000	0
Total	711,739,000	665,859,000	(45,880,000)
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(1,022,000)		
Appropriated 2010-11	710,717,000		

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	19,298,000	17,370,000	(1,928,000)
Special Revenue Funds - Other	308,000	308,000	0
Criminal Investigation Activities			
General Fund	182,010,000	163,809,000	(18,201,000)
Special Revenue Funds - Federal	810,000	700,000	(110,000)
Special Revenue Funds - Other	18,450,000	18,450,000	0
Patrol Activities			
General Fund	207,007,000	186,307,000	(20,700,000)
Special Revenue Funds - Federal	5,500,000	5,500,000	0
Special Revenue Funds - Other	129,177,000	129,177,000	0
Policing the Thruway			
Special Revenue Funds - Other	53,815,000	53,815,000	0
Technical Police Services			
General Fund	60,764,000	54,688,000	(6,076,000)
Special Revenue Funds - Federal	0	1,135,000	1,135,000
Special Revenue Funds - Other	34,600,000	34,600,000	0
Total	711,739,000	665,859,000	(45,880,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	17,163,000	(1,906,000)	16,373,000	(1,819,000)
Criminal Investigation Activities	156,710,000	(17,412,000)	149,940,000	(16,660,000)
Patrol Activities	184,765,000	(20,529,000)	174,447,000	(19,383,000)
Technical Police Services	35,102,000	(3,900,000)	31,066,000	(3,452,000)
Total	393,740,000	(43,747,000)	371,826,000	(41,314,000)

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Administration	344,000	(38,000)	446,000	(49,000)
Criminal Investigation Activities	0	0	6,770,000	(752,000)
Patrol Activities	450,000	(50,000)	9,868,000	(1,096,000)
Technical Police Services	2,070,000	(230,000)	1,966,000	(218,000)
Total	2,864,000	(318,000)	19,050,000	(2,115,000)

# STATE POLICE

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	207,000	(22,000)	77,000	(8,000)
Criminal Investigation Activities	7,099,000	(789,000)	1,242,000	(138,000)
Patrol Activities	1,542,000	(171,000)	341,000	(38,000)
Technical Police Services	19,586,000	(2,176,000)	4,026,000	(447,000)
Total	28,434,000	(3,158,000)	5,686,000	(631,000)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	38,000	(4,000)	54,000	(6,000)
Criminal Investigation Activities	101,000	(11,000)	1,800,000	(200,000)
Patrol Activities	23,000	(2,000)	739,000	(82,000)
Technical Police Services	0	0	8,028,000	(892,000)
Total	162,000	(17,000)	10,621,000	(1,180,000)

Program	Equipment	
	Amount	Change
Administration	38,000	(4,000)
Criminal Investigation Activities	3,956,000	(440,000)
Patrol Activities	439,000	(49,000)
Technical Police Services	7,532,000	(837,000)
Total	11,965,000	(1,330,000)

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	308,000	0	0	0
Criminal Investigation Activities	19,150,000	(110,000)	11,721,000	150,000
Patrol Activities	134,677,000	0	121,452,000	2,700,000
Policing the Thruway	53,815,000	0	37,542,000	0
Technical Police Services	35,735,000	1,135,000	4,250,000	250,000
Total	243,685,000	1,025,000	174,965,000	3,100,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	308,000	0	0	0
Criminal Investigation Activities	7,429,000	550,000	0	(810,000)
Patrol Activities	13,225,000	2,800,000	0	(5,500,000)
Policing the Thruway	16,273,000	0	0	0
Technical Police Services	31,485,000	885,000	0	0
Total	68,720,000	4,235,000	0	(6,310,000)

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund	5,500,000	5,500,000	0	21,915,000
Capital Projects Fund - Authority Bonds	0	0	0	11,653,000
New Facilities				
Capital Projects Fund - Authority Bonds	6,000,000	6,000,000	0	60,500,000
Total	11,500,000	11,500,000	0	94,068,000

# **STATE UNIVERSITY OF NEW YORK**

## **MISSION**

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

## **ORGANIZATION AND STAFFING**

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

- Eight campuses offering academic programs through the doctoral level and serving as research centers;
- Fourteen comprehensive colleges providing undergraduate education in a variety of academic fields;
- Seven colleges of technology focusing on the development of a workforce with the advanced skills required by an increasingly technology-dependent economy;
- Five statutory and contract colleges at Alfred and Cornell universities that offer nationally acclaimed programs in ceramics, veterinary medicine, agriculture and life sciences, industrial and labor relations, and human ecology;
- Thirty community colleges offering access to a wide array of higher education opportunities that prepare students for transfer to senior colleges or train them for a variety of technical or paraprofessional occupations; and
- Three teaching hospitals in Brooklyn, Stony Brook, and Syracuse, along with a medical school in Buffalo, which provide graduate medical education training for SUNY students as well as valuable health care services for their host communities.

The University is governed by a Board of Trustees consisting of 17 members, with 15 appointed by the Governor to staggered seven-year terms and approved by the Senate, and two ex-officio trustees representing the student assembly and faculty of the State University. The Board oversees the operations of the University's State-operated campuses and also exercises general supervisory authority over the community colleges, which are sponsored by local governments and governed by local boards of trustees.

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

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$9.35 billion** All Funds for the State University of New York (\$2.6 billion General Fund, \$5.7 billion self-generated and federal funds, and \$1.0 billion capital funds). The budget includes General Fund growth in personal service costs (as a result of collective bargaining contracts), nonpersonal services, fringe benefits and community college enrollment growth, offset by General Fund decreases associated with reductions to State-operated campuses, statutory colleges and community colleges necessary to close State budget gaps.

## STATE UNIVERSITY

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The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

Major 2011-12 budget actions:

- **Reduce General Fund Support for State-Operated Colleges:** The Executive Budget recommends a \$131.4 million decrease in direct General Fund support (approximately -10 percent from 2010-11 levels) for the operations of the SUNY State-Operated Colleges and University-wide programs. This reduction will be allocated by the Board of Trustees.
- **Reduce General Fund Support for Statutory Colleges:** The Executive Budget recommends a \$17.3 million decrease in direct General Fund support for the operations of the four statutory colleges at Cornell and a \$1.3 million decrease in direct General Fund support for the College of Ceramics at Alfred University (an approximately -10 percent decrease from 2010-11 levels).
- **Eliminate the SUNY Hospital Subsidy:** The Executive Budget recommends the elimination of the \$154 million General Fund subsidy provided to the three SUNY teaching hospitals at Brooklyn, Stony Brook, and Syracuse. This funding represents approximately eight percent of hospital operating revenue, the balance of which is supported by patient and other self-supporting program income.
- **Reduce Spending Authority for Long Island Veterans' Home:** The Executive Budget assumes a \$4.7 million reduction in operating spending for Long Island Veterans' Home, and the transfer of these savings to the State treasury.
- **Reduce Community College Base Operating Aid:** The Executive Budget recommends reducing base operating aid support for SUNY's 30 community colleges by 10 percent per full-time equivalent (FTE) student. As a result, the rate would decline from \$2,260 to \$2,034. This action generates General Fund savings of \$33.2 million.

### STATE-OPERATED COLLEGES

Executive Budget appropriations for the 29 state-operated campuses consist of \$2.1 billion in General Fund resources (including \$1.2 billion in fringe benefits) and \$1.3 billion for the collection and disbursement of tuition and other revenue for a gross instructional budget of \$3.3 billion to support senior college campuses, system administration and University-wide programs. Recommended levels of General Fund support (not including fringe benefits) represent an \$87.9 million decrease from 2010-11 final enacted budget levels, consisting of \$43.4 million in increases from collective bargaining and non-personal services inflationary costs, offset by a recommended reduction of \$131.4 million.

### STATUTORY COLLEGES

The Executive Budget recommends a total of \$129.3 million in General Fund support for the operations of the five statutory colleges at Alfred Ceramics and Cornell University. The four statutory colleges at Cornell (Agriculture and Life Sciences, Human Ecology, Veterinary Medicine, and Industrial and Labor Relations) would receive \$78.9 million, a net decrease of \$6.4 million from 2010-11 final enacted appropriation levels, reflecting \$4.7 million in increases from collective bargaining and inflation, offset by

## **STATE UNIVERSITY**

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2011-12 reductions of \$11.0 million. In addition, the budget recommends \$42.1 million to support the land grant mission of Cornell University, a \$6.3 million decrease from 2010-11 final Enacted Budget appropriation levels. The College of Ceramics at Alfred University would receive \$8.1 million, a \$900,000 decrease from 2010-11 final Enacted Budget appropriation levels, reflecting \$400,000 in increases from collective bargaining and inflation, offset by a recommended reduction of \$1.3 million.

### **SUNY HOSPITALS**

The Executive budget proposes \$2.5 billion for the operations of the three SUNY teaching hospitals at Brooklyn, Stony Brook, and Syracuse, including \$350 million in spending authority for the operations of the Long Island College Hospital (LICH). This appropriation authority will be available if a proposed agreement for acquisition of LICH by SUNY Brooklyn Downstate Medical Center is finalized in the upcoming months. The SUNY hospitals will continue to reimburse the State for the full cost of capital projects, with \$48.0 million provided in transfer authority for this purpose. The Executive Budget eliminates a \$154 million State operating subsidy for the three SUNY hospitals, which represents approximately eight percent of total operating revenue.

### **COMMUNITY COLLEGES**

SUNY's community colleges have three basic funding sources: State support, local sponsor support, and student tuition revenue. The Executive Budget recommends \$427.8 million in State support, representing a \$23.9 million decrease in total available funding from 2010-11 final Enacted Budget levels. This change is attributable to increases of \$21.6 million for enrollment growth and \$2.8 million related to the expiration of one-time reductions from the 2010-11 FMAP contingency plan, offset by decreases related to the annualization of the 2010-11 enacted budget reduction of \$285 per FTE student (\$14.6 million) and a \$33.2 million decrease resulting from a recommended \$226 per student FTE reduction in base operating aid (from \$2,260 to \$2,034).

### **CORNELL COOPERATIVE EXTENSION**

County cooperative extension associations – funded by State, county and Federal contributions – provide specialized information and assistance in community development, agricultural technology, 4-H youth development and consumer and family education. The Executive Budget recommends \$3.9 million in State support for this program.

### **CAPITAL PROJECTS**

The 2008-09 enacted budget provided SUNY with \$4.1 billion in new capital appropriations, a major step in the implementation of a new, \$6.4 billion multi-year capital plan for SUNY's educational facilities, hospitals, residence halls and community colleges. The 2011-12 Executive Budget continues this commitment to the rehabilitation of SUNY's educational facilities infrastructure by providing the fourth of five annual \$550 million appropriations to address the accumulated backlog of critical maintenance projects throughout the University system. The Executive Budget also includes \$31.5

million for the State's 50 percent share of capital projects for community college campuses that have secured local sponsor resolutions, and \$421 million for SUNY's self-funded resident hall capital program.

### **PROGRAM HIGHLIGHTS**

The State University of New York is the nation's largest comprehensive public university, offering 7,669 degree and certificate programs at the research universities, community colleges, medical schools and colleges of technology that comprise its 64 campuses. The State University enrolls approximately 40 percent of college-bound students graduating from New York State high schools. Nearly 468,000 full-time and part-time SUNY students – 222,000 at State-operated campuses and 246,000 in community colleges – are pursuing studies ranging from one-year certificate programs to doctorates.

In 2010, two SUNY campuses, Geneseo and Binghamton, were ranked among the top 10 best values for public campuses in the nation by *Kiplinger's Personal Finance* magazine. The academic profile of incoming students continues to grow stronger at SUNY campuses. Nearly three-fourths of students that enrolled at SUNY University Centers in fall 2009 had SAT scores above 1100, comparable to admission profiles found at other top public flagship institutions across the country. Overall, SUNY campuses averaged 1158 on the SAT, more than 140 points above the national average.

The State University is also working to expand the volume of scholarly research conducted by its faculty, and is more aggressively seeking Federal and other external support for research. As a result, SUNY sponsored research expenditures totaled \$922.0 million in 2009-10. Research grants at SUNY now underwrite more than 7,314 projects, which directly support more than 17,103 full and part-time jobs across New York State.

SUNY campuses are partners in the State's six University-based Centers of Excellence, a high-technology initiative that will continue New York's advancement in the areas of university-based research, business creation and job development, including:

- Albany Center of Excellence in Nanoelectronics, a semiconductor research center at SUNY-Albany;
- Buffalo Center of Excellence in Bioinformatics which includes the Life Sciences Complex used for super-computing, pharmaceutical research and workforce development; and
- Long Island Center of Excellence in Wireless Internet and Information Technology in tandem with several other high-tech research projects such as the Bioinformatics Research Center at Cold Spring Harbor Laboratory.

The State University's 30 locally sponsored community colleges serve as a source of skilled employees and play a role in the State's efforts to attract and retain businesses seeking an able workforce. Through their policy of open admissions, the community colleges also ensure access to postsecondary education.

From the curriculum and instruction in its classrooms, research in its laboratories, support from its alumni and its appeal to a growing number of college-bound students, the State University continues to elevate its ranking among the nation's finest public universities.

# STATE UNIVERSITY

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	7,611,213,300	7,912,822,600	301,609,300	934,266,000
Aid To Localities	523,241,386	431,701,345	(91,540,041)	0
Capital Projects	572,426,000	1,002,571,000	430,145,000	6,573,059,000
Total	<u>8,706,880,686</u>	<u>9,347,094,945</u>	<u>640,214,259</u>	<u>7,507,325,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	All State University Colleges and Schools		
General Fund	24,696	24,696	0
Special Revenue Funds - Other	17,113	17,513	400
Capital Projects Funds - Other	6	6	0
Total	<u>41,815</u>	<u>42,215</u>	<u>400</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	2,298,224,900	2,190,233,300	(107,991,600)
Special Revenue Funds - Federal	358,500,000	363,600,000	5,100,000
Special Revenue Funds - Other	4,937,888,400	5,339,889,300	402,000,900
Internal Service Funds	16,600,000	19,100,000	2,500,000
Total	<u>7,611,213,300</u>	<u>7,912,822,600</u>	<u>301,609,300</u>
Adjustments:			
Transfer(s) From			
Special Pay Bill			
General Fund	(1,115,000)		
Special Revenue Funds - Other	(1,794,000)		
Appropriated 2010-11	<u>7,608,304,300</u>		

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

Program	Available 2010-11	Recommended 2011-12	Change
All State University Colleges and Schools			
General Fund	1,087,428,900	961,623,300	(125,805,600)
Special Revenue Funds - Federal	358,500,000	363,600,000	5,100,000
Special Revenue Funds - Other	4,937,888,400	5,339,889,300	402,000,900
Internal Service Funds	16,600,000	19,100,000	2,500,000
Employee Fringe Benefits			
General Fund	1,210,796,000	1,228,610,000	17,814,000
Total	<u>7,611,213,300</u>	<u>7,912,822,600</u>	<u>301,609,300</u>

# STATE UNIVERSITY

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	503,802,736	431,701,345	(72,101,391)
Special Revenue Funds - Federal	19,438,650	0	(19,438,650)
Total	<u>523,241,386</u>	<u>431,701,345</u>	<u>(91,540,041)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
American Recovery and Reinvestment Act of 2009 State Stabilization Fund Special Revenue Funds - Federal	19,438,650	0	(19,438,650)
Community Colleges General Fund	371,182,736	427,781,345	56,598,609
County Cooperative Extension Program - Cornell University General Fund	132,620,000	3,920,000	(128,700,000)
Total	<u>523,241,386</u>	<u>431,701,345</u>	<u>(91,540,041)</u>

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Senior Universities				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	4,100,000
Capital Projects Fund - Advances	550,000,000	550,000,000	0	4,883,033,000
State University Capital Projects Fund				
State University Capital Projects Fund	0	0	0	610,500,000
State University Residence Hall Rehabilitation Fund				
State University Residence Hall Rehabilitation Fund	0	90,000,000	90,000,000	95,000,000
SUNY Dorms (Direct Auth Bonds)	0	331,000,000	331,000,000	435,000,000
Subtotal	<u>550,000,000</u>	<u>971,000,000</u>	<u>421,000,000</u>	<u>6,027,633,000</u>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund	0	0	0	43,000,000
Capital Projects Fund - Advances	0	0	0	18,000,000
Cap Proj Fund - SUNY CC (Direct Auth Bonds)	22,426,000	31,571,000	9,145,000	484,426,000
Subtotal	<u>22,426,000</u>	<u>31,571,000</u>	<u>9,145,000</u>	<u>545,426,000</u>
Total	<u>572,426,000</u>	<u>1,002,571,000</u>	<u>430,145,000</u>	<u>6,573,059,000</u>

# **STATE UNIVERSITY CONSTRUCTION FUND**

## **MISSION**

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

## **ORGANIZATION AND STAFFING**

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

The Fund's operations are supported entirely from proceeds of personal income tax (PIT) bonds issued to finance the design, construction and rehabilitation of SUNY's academic, hospital and student services facilities.

## **BUDGET HIGHLIGHTS**

The Executive Budget includes **\$26.2 million** in appropriations funded from proceeds of PIT bonds. This level of funding represents an increase of **\$494,000 (1.9 percent)** from available 2010-11 funding levels, and will provide the required resources to address the design, planning and construction management workload of SUNY's ongoing \$5.4 billion multi-year capital plan for its academic, hospital and student services facilities.

## **PROGRAM HIGHLIGHTS**

The total capacity of all University State-operated campus academic, residential, and hospital facilities exceeds 79 million gross square feet of space; containing 2,308 buildings, hundreds of miles of roads, millions of square yards of walks and plazas, more than 75,000 residential beds and approximately 1,275 licensed hospital and clinic beds. The current estimated replacement value of all State-operated academic facilities is nearly \$26 billion. During the 2009-10 fiscal year, the Fund initiated the design of 67 projects having a total value of \$813 million in design and construction work (\$103 million and \$710 million, respectively) and began construction of 112 projects having an estimated cost of \$392 million. These figures exclude projects administered by individual campuses.

In addition to design and construction of SUNY's educational facilities, other key functions of the Fund include:

- Preparation and development of the State University's Master Capital Construction Plan, as well as master plans for individual campuses;
- Preparation of the State University's annual capital budget request and facility program;
- Development and maintenance of online interactive data processing systems on space and property inventories, real property, State building codes and other related plant management functions; and

## STATE UNIVERSITY CONSTRUCTION

- Management and administration of University-wide programs including minor rehabilitation, energy conservation and telecommunications.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	25,678,000	26,172,000	494,000	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>25,678,000</u>	<u>26,172,000</u>	<u>494,000</u>	<u>0</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
Special Revenue Funds - Other	172	172	0
Total	<u>172</u>	<u>172</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	25,678,000	26,172,000	494,000
Total	<u>25,678,000</u>	<u>26,172,000</u>	<u>494,000</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
Special Revenue Funds - Other	25,678,000	26,172,000	494,000
Total	<u>25,678,000</u>	<u>26,172,000</u>	<u>494,000</u>

### STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration	26,172,000	494,000	15,544,000	266,000
Total	<u>26,172,000</u>	<u>494,000</u>	<u>15,544,000</u>	<u>266,000</u>

Program	Nonpersonal Service	
	Amount	Change
Administration	10,628,000	228,000
Total	<u>10,628,000</u>	<u>228,000</u>

# STATEWIDE FINANCIAL SYSTEM

In 2011, the cooperative efforts of the Office of the State Comptroller (OSC) and the Executive will culminate in the launch of the first phase of a new statewide financial system. This first phase is expected to result in future operating efficiencies for agencies, and will provide detailed information on the State's financial transactions to support the transformation of government. Development efforts will continue under the governance structure adopted in October 2009, with the Division of the Budget and OSC sharing joint oversight of the project, advised by a Steering Committee that includes broad agency representation. Progress toward full implementation of the statewide financial system will continue during 2011 and 2012, with most agencies expected to be fully utilizing the system by 2013.

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	1,684,000	45,000,000	43,316,000	15,800,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>1,684,000</u>	<u>45,000,000</u>	<u>43,316,000</u>	<u>15,800,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
	Statewide Financial System Program		
Special Revenue Funds - Other	113	136	23
Total	<u>113</u>	<u>136</u>	<u>23</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	1,684,000	45,000,000	43,316,000
Total	<u>1,684,000</u>	<u>45,000,000</u>	<u>43,316,000</u>

Adjustments:			
Transfer(s) From			
Audit and Control, Department of			
General Fund	(1,684,000)		
Appropriated 2010-11	<u>0</u>		

# STATEWIDE FINANCIAL SYSTEM

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Statewide Financial System Program			
Special Revenue Funds - Other	1,684,000	45,000,000	43,316,000
Total	<u>1,684,000</u>	<u>45,000,000</u>	<u>43,316,000</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Statewide Financial System Program	45,000,000	43,316,000	10,234,000	8,550,000
Total	<u>45,000,000</u>	<u>43,316,000</u>	<u>10,234,000</u>	<u>8,550,000</u>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Statewide Financial System Program	34,766,000	34,766,000
Total	<u>34,766,000</u>	<u>34,766,000</u>

# **DEPARTMENT OF TAXATION AND FINANCE**

## **MISSION**

The Department of Taxation and Finance (DTF) collects tax revenue and provides associated services in support of certain New York State government operations. In fulfilling its responsibilities, the Department collects and accounts for more than \$55 billion in State taxes and nearly \$36 billion in local taxes; administers 37 State and nine local taxes, including New York City and City of Yonkers income taxes, as well as the Metropolitan Commuter Transportation Mobility Tax; and processes approximately 32.5 million returns, registrations, and associated documents. The Department also manages the State Treasury, which provides investment and cash management services to various State agencies and public benefit corporations, and acts on the Tax Commissioner's behalf as joint custodian of the State's General Checking Account. On June 6, 2010, the Department statutorily merged with the former Office of Real Property Services (ORPS) in order to realize significant savings and efficiencies and enhance the State's oversight of local property tax administration by tapping the Department's vast information technology infrastructure and personnel assets.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner who is appointed by the Governor and confirmed by the Senate. The Department fulfills its mission through nine programs: Audit, Collection and Enforcement; Centralized Operations Support; Office of Conciliation and Mediation; Management, Administration and Counsel; Real Property Tax Services; Revenue Processing and Reconciliation; Tax Policy, Revenue Accounting and Taxpayer Guidance; Technology and Information Services; and Treasury Management.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$453.1 million** All Funds (\$311.4 million General Fund; \$141.7 million Other Funds) for the Department of Taxation and Finance. This is a decrease of **\$87.2 million (-16.1 percent)** All Funds (decreases of \$77.3 million and \$9.9 million in General Fund and Other Funds, respectively) from the 2010-11 levels.

The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

In addition, the Department will also increase administrative efficiencies by launching the Empire State Tax Modernization Initiative, which will leverage technology and private-sector best practices in order to streamline New York State tax administration and drive significant savings while enhancing revenue collections and customer service in an environmentally-responsible manner. Initial goals include expanding electronic tax return filing ("e-file") participation rates and eliminating the State's use of costly paper taxpayer refund checks in favor of electronic options that most – if not all – Department customers already use in some form in the current e-commerce economy.

## **TAXATION AND FINANCE**

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The Executive Budget proposes legislation that will reduce mail volumes – including electronic delivery of personal income tax, sales and business tax bills as well as documents regarding property issues, when authorized by the taxpayer – expand e-file participation, and reduce the cost of real property tax administration for localities by allowing notices, filings, and other transactions to be completed electronically.

### **PROGRAM HIGHLIGHTS**

The Department’s strategic goal is to achieve “universal voluntary compliance” – to ensure that all taxpayers voluntarily pay the correct amount of tax due on a timely basis. To achieve this goal, the Department is committed to increasing the current high level of voluntary compliance through taxpayer education initiatives, technology, and enforcement efforts.

The operations of the Department are organized along the following functional lines to support its revenue-generation mission:

- **Audit, Collection, and Enforcement:** Ensures that voluntarily remitted taxes are accurate and complete; employs sophisticated technologies and highly-trained personnel to collect delinquent taxes; and identifies and investigates alleged evasion of the State tax code, whether through underreporting, non-filing or schemes of avoidance.
- **Centralized Operations Support:** Provides infrastructure support services; vehicle fleet management; printing and mailing services; telecommunications support; space planning, management, and utilization; in-house security; and parking services.
- **Conciliation and Mediation:** Provides taxpayers with a statutorily-mandated option of informal and impartial dispute resolution that potentially mitigates time-consuming, formal administrative hearings with the Division of Tax Appeals.
- **Management, Administration, and Counsel:** Provides departmental financial services, including budgeting, accounting, and procurement; provides a full range of legal services to the Department; and provides personnel services, including workforce strategies and solutions.
- **Real Property Tax Services:** Oversees local property tax administration in New York State with a range of responsibilities, including: equalization of local assessments for purposes of apportioning property taxes and calculating state aid; determination of assessments on several specific categories of property; various services to support local governments in performing their assessment responsibilities; and the administration of State aid for quality local assessment practices and property tax relief.
- **Revenue Processing and Reconciliation:** Processes taxpayer returns and remittance to compute liability, identify underpayments or overpayments, and issue assessments and refunds; creates and maintains taxpayer accounts and records; and responds to taxpayer inquiries.
- **Tax Policy, Revenue Accounting, and Taxpayer Guidance:** Performs revenue accounting; reviews tax policies; assesses tax proposals and proposed legislation; prepares fiscal impacts; performs sophisticated studies and analyses for the Legislature and the Division of the Budget; and develops tax information, advice, forms, and instructions.
- **Technology and Information Services:** Maintains, secures, and improves the Department’s information technology infrastructure, applications, and networks.

## TAXATION AND FINANCE

- **Treasury Management:** Acts on the Tax Commissioner's behalf as custodian of the State Treasury and joint-custodian of the State General Checking Account; provides various financial and investment services to certain State agencies and public benefit corporations.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	527,969,000	452,355,000	(75,614,000)	0
Aid To Localities	12,325,000	750,000	(11,575,000)	0
Capital Projects	0	0	0	0
Total	<u>540,294,000</u>	<u>453,105,000</u>	<u>(87,189,000)</u>	<u>0</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Audit, Collection and Enforcement			
General Fund	2,373	2,373	0
Centralized Operations Support			
General Fund	122	122	0
Office of Conciliation and Mediation			
General Fund	24	24	0
Management, Administration and Counsel			
General Fund	221	221	0
Real Property Tax Services, Office of			
General Fund	179	179	0
Special Revenue Funds - Other	29	29	0
Revenue Processing and Reconciliation			
General Fund	569	569	0
Special Revenue Funds - Other	733	733	0
Tax Policy, Revenue Accounting and Taxpayer Guidance			
General Fund	167	167	0
Technology and Information Services			
General Fund	559	559	0
Treasury Management			
Special Revenue Funds - Other	32	32	0
Total	<u>5,008</u>	<u>5,008</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	376,366,000	310,682,000	(65,684,000)
Special Revenue Funds - Federal	2,500,000	2,500,000	0
Special Revenue Funds - Other	107,297,000	108,042,000	745,000
Internal Service Funds	41,806,000	31,131,000	(10,675,000)
Total	<u>527,969,000</u>	<u>452,355,000</u>	<u>(75,614,000)</u>

# TAXATION AND FINANCE

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

Program	Available 2010-11	Recommended 2011-12	Change
Audit, Collection and Enforcement			
General Fund	183,039,900	154,965,000	(28,074,900)
Special Revenue Funds - Federal	2,500,000	2,500,000	0
Special Revenue Funds - Other	16,500,000	16,500,000	0
Centralized Operations Support			
General Fund	25,000,600	17,792,000	(7,208,600)
Office of Conciliation and Mediation			
General Fund	1,908,000	1,588,000	(320,000)
Management, Administration and Counsel			
General Fund	17,245,000	15,067,000	(2,178,000)
Real Property Tax Services, Office of			
General Fund	22,150,000	15,162,000	(6,988,000)
Special Revenue Funds - Other	4,055,000	4,007,000	(48,000)
Revenue Processing and Reconciliation			
General Fund	46,567,700	35,178,000	(11,389,700)
Special Revenue Funds - Other	83,053,000	83,813,000	760,000
Internal Service Funds	41,806,000	31,131,000	(10,675,000)
Tax Policy, Revenue Accounting and Taxpayer Guidance			
General Fund	12,037,700	10,651,000	(1,386,700)
Technology and Information Services			
General Fund	68,417,100	60,279,000	(8,138,100)
Treasury Management			
Special Revenue Funds - Other	3,689,000	3,722,000	33,000
Total	<u>527,969,000</u>	<u>452,355,000</u>	<u>(75,614,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Audit, Collection and Enforcement	148,595,000	(28,076,000)	147,641,000	(27,260,000)
Centralized Operations Support	4,029,000	(1,455,200)	3,869,000	(1,016,200)
Office of Conciliation and Mediation	1,510,000	(320,800)	1,510,000	(320,800)
Management, Administration and Counsel	13,812,000	(2,178,500)	13,770,000	(2,051,500)
Real Property Tax Services, Office of	11,262,000	(6,988,000)	11,262,000	(6,988,000)
Revenue Processing and Reconciliation	33,060,000	(11,389,200)	31,650,000	(7,250,200)
Tax Policy, Revenue Accounting and Taxpayer Guidance	9,414,000	(1,386,600)	9,341,000	(1,356,600)
Technology and Information Services	33,589,000	(3,330,800)	33,154,000	(3,090,800)
Total	<u>255,271,000</u>	<u>(55,125,100)</u>	<u>252,197,000</u>	<u>(49,334,100)</u>

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Audit, Collection and Enforcement	204,000	(816,000)	750,000	0
Centralized Operations Support	110,000	(439,000)	50,000	0
Office of Conciliation and Mediation	0	0	0	0
Management, Administration and Counsel	32,000	(127,000)	10,000	0
Real Property Tax Services, Office of	0	0	0	0
Revenue Processing and Reconciliation	1,035,000	(4,139,000)	375,000	0
Tax Policy, Revenue Accounting and Taxpayer Guidance	8,000	(30,000)	65,000	0
Technology and Information Services	60,000	(240,000)	375,000	0
Total	<u>1,449,000</u>	<u>(5,791,000)</u>	<u>1,625,000</u>	<u>0</u>

# TAXATION AND FINANCE

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Audit, Collection and Enforcement	6,370,000	1,100	421,000	500
Centralized Operations Support	13,763,000	(5,753,400)	2,970,000	(3,377,700)
Office of Conciliation and Mediation	78,000	800	4,000	400
Management, Administration and Counsel	1,255,000	500	98,000	0
Real Property Tax Services, Office of	3,900,000	0	200,000	0
Revenue Processing and Reconciliation	2,118,000	(500)	814,000	200
Tax Policy, Revenue Accounting and Taxpayer Guidance	1,237,000	(100)	44,000	(300)
Technology and Information Services	26,690,000	(4,807,300)	107,000	(300)
<b>Total</b>	<b>55,411,000</b>	<b>(10,558,900)</b>	<b>4,658,000</b>	<b>(3,377,200)</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Audit, Collection and Enforcement	3,701,000	400	1,084,000	400
Centralized Operations Support	28,000	100	10,141,000	(2,375,600)
Office of Conciliation and Mediation	69,000	400	4,000	(300)
Management, Administration and Counsel	112,000	400	778,000	(200)
Real Property Tax Services, Office of	200,000	0	3,200,000	0
Revenue Processing and Reconciliation	100,000	(100)	1,012,000	(300)
Tax Policy, Revenue Accounting and Taxpayer Guidance	20,000	0	1,160,000	100
Technology and Information Services	215,000	500	24,054,000	(4,807,500)
<b>Total</b>	<b>4,445,000</b>	<b>1,700</b>	<b>41,433,000</b>	<b>(7,183,400)</b>

Program	Equipment	
	Amount	Change
Audit, Collection and Enforcement	1,164,000	(200)
Centralized Operations Support	624,000	(200)
Office of Conciliation and Mediation	1,000	300
Management, Administration and Counsel	267,000	300
Real Property Tax Services, Office of	300,000	0
Revenue Processing and Reconciliation	192,000	(300)
Tax Policy, Revenue Accounting and Taxpayer Guidance	13,000	100
Technology and Information Services	2,314,000	0
<b>Total</b>	<b>4,875,000</b>	<b>0</b>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Audit, Collection and Enforcement	19,000,000	0	0	0
Real Property Tax Services, Office of	4,007,000	(48,000)	2,555,000	0
Revenue Processing and Reconciliation	114,944,000	(9,915,000)	38,666,000	(98,000)
Treasury Management	3,722,000	33,000	2,025,000	0
<b>Total</b>	<b>141,673,000</b>	<b>(9,930,000)</b>	<b>43,246,000</b>	<b>(98,000)</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Audit, Collection and Enforcement	19,000,000	2,500,000	0	(2,500,000)
Real Property Tax Services, Office of	1,452,000	(48,000)	0	0
Revenue Processing and Reconciliation	76,278,000	(9,817,000)	0	0
Treasury Management	1,697,000	33,000	0	0
<b>Total</b>	<b>98,427,000</b>	<b>(7,332,000)</b>	<b>0</b>	<b>(2,500,000)</b>

# TAXATION AND FINANCE

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	12,325,000	750,000	(11,575,000)
Total	12,325,000	750,000	(11,575,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Real Property Tax Services, Office of General Fund	12,325,000	750,000	(11,575,000)
Total	12,325,000	750,000	(11,575,000)

# DIVISION OF TAX APPEALS

## MISSION

The Division of Tax Appeals provides taxpayers with a system of due process for resolving disputes with the Department of Taxation and Finance. The separation of tax administration from tax adjudication promotes the impartial and timely hearing of taxpayer disputes.

## ORGANIZATION AND STAFFING

The Division of Tax Appeals is headed by the Tax Appeals Tribunal, which is comprised of three commissioners appointed by the Governor and confirmed by the Senate. Under the direction of the Tax Tribunal, dispute adjudication is provided through small claims hearings, formal hearings and the Tribunal appeals process. The Division holds formal hearings in Troy, New York City and Rochester, while Tax Tribunal oral arguments are held in New York City, Buffalo, and Troy. Small claims hearings are conducted throughout the State.

## BUDGET HIGHLIGHTS

The Executive Budget recommends **\$3.0 million** General Fund for the Division of Tax Appeals. This net decrease of **\$133,000 (-4.2 percent)** from the 2010-11 budget reflects reductions in employee costs and savings in nonpersonal service expenditures. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## PROGRAM HIGHLIGHTS

The Division's hearing process has been substantially improved in recent years to benefit taxpayers. These improvements have allowed taxpayers more flexibility in scheduling hearings, thus minimizing delays caused by sudden cancellations.

The Division also conducts formal hearings in New York City and Rochester to provide easier access for taxpayers in these metropolitan areas. At these locations, the Division utilizes existing State office space, thus providing improved service at nominal additional cost.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	3,154,000	3,021,000	(133,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	3,154,000	3,021,000	(133,000)	0

# TAX APPEALS

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	24	24	0
Total	24	24	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	3,154,000	3,021,000	(133,000)
Total	3,154,000	3,021,000	(133,000)
Adjustments:			
Recommended Deficiency			
Tax Appeals, Division of			
General Fund	(101,000)		
Appropriated 2010-11	3,053,000		

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	3,154,000	3,021,000	(133,000)
Total	3,154,000	3,021,000	(133,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	2,654,000	(133,000)	2,644,000	(133,000)
Total	2,654,000	(133,000)	2,644,000	(133,000)
Temporary Service (Nonannual Salaried)				
Program	Amount	Change		
Administration	10,000	0		
Total	10,000	0		

# TAX APPEALS

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STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	367,000	0	27,000	(100)
Total	367,000	0	27,000	(100)

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	20,000	300	257,000	0
Total	20,000	300	257,000	0

Program	Equipment	
	Amount	Change
Administration	63,000	(200)
Total	63,000	(200)

# OFFICE FOR TECHNOLOGY

## MISSION

The Office for Technology (OFT) provides centralized technology services, helps shape technology policy, and coordinates statewide technology-related initiatives to improve the efficiency of New York State government.

## ORGANIZATION AND STAFFING

OFT is located in Albany and is currently overseen by the Chief Information Officer, who is appointed by the Governor. The agency is supported with State tax dollars from the General Fund, payments from other State agencies, and Special Revenue Funds.

## BUDGET HIGHLIGHTS

The 2011-12 Executive Budget recommends **\$434.1 million** All Funds (\$327.5 million General Fund; \$403.2 million Internal Service Funds; \$3.4 million Other Funds) to support ongoing agency activities. This is a decrease of **\$3.1 million (-0.7 percent)** All Funds from the 2010-11 Enacted Budget, all of which is attributable to the General Fund. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## PROGRAM HIGHLIGHTS

The Office for Technology is pursuing the following priorities to improve the State's information technology (IT) infrastructure: developing options to meet the State's expanding data center needs, obtaining a solution to statewide disaster recovery needs and continuing consolidation of IT infrastructure and State enterprise technology solutions to drive down the cost of IT ownership for the State.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	437,168,000	434,112,000	(3,056,000)	0
Aid To Localities	0	0	0	1,530,000
Capital Projects	0	0	0	100,160,000
Total	<u>437,168,000</u>	<u>434,112,000</u>	<u>(3,056,000)</u>	<u>101,690,000</u>

# TECHNOLOGY

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

Full-Time Equivalent Positions (FTE)			
Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Statewide Technology Program			
Special Revenue Funds - Other	5	5	0
Technology			
General Fund	141	141	0
Internal Service Funds	505	557	52
Total	651	703	52

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	30,558,000	27,502,000	(3,056,000)
Special Revenue Funds - Other	3,445,000	3,445,000	0
Internal Service Funds	403,165,000	403,165,000	0
Total	437,168,000	434,112,000	(3,056,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Statewide Technology Program			
Special Revenue Funds - Other	3,445,000	3,445,000	0
Technology			
General Fund	30,558,000	27,502,000	(3,056,000)
Internal Service Funds	403,165,000	403,165,000	0
Total	437,168,000	434,112,000	(3,056,000)

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Technology	10,858,000	(1,207,000)	10,666,000	(1,189,000)
Total	10,858,000	(1,207,000)	10,666,000	(1,189,000)

Program	Temporary Service (Nonannual Salaried)		Holiday/Overtime Pay	
	Amount	Change	Amount	Change
Technology	162,000	(18,000)	30,000	0
Total	162,000	(18,000)	30,000	0

# TECHNOLOGY

**STATE OPERATIONS - GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Technology	16,644,000	(1,849,000)	240,000	(50,000)
Total	16,644,000	(1,849,000)	240,000	(50,000)

  

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Technology	40,000	(10,000)	11,899,000	(1,349,000)
Total	40,000	(10,000)	11,899,000	(1,349,000)

  

<b>Program</b>	<b>Equipment</b>	
	<b>Amount</b>	<b>Change</b>
Technology	4,465,000	(440,000)
Total	4,465,000	(440,000)

**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Statewide Technology Program	3,445,000	0	951,000	0
Technology	403,165,000	0	37,267,000	0
Total	406,610,000	0	38,218,000	0

  

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Statewide Technology Program	2,494,000	0
Technology	365,898,000	0
Total	368,392,000	0

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
New Facilities				
Capital Projects Fund - Authority Bonds	0	0	0	99,060,000
Economic Development				
Capital Projects Fund - Authority Bonds	0	0	0	1,100,000
Total	0	0	0	100,160,000

# **THRUWAY AUTHORITY**

The Thruway Authority operates a 570-mile highway system, including the 426-mile mainline from Pennsylvania to New York City. The Thruway Authority also has jurisdiction over the New York State Canal System. Through its subsidiary, the New York State Canal Corporation, the Thruway maintains, operates, develops and makes capital improvements to the 524-mile navigable waterway, which includes 57 locks, 20 lift bridges, numerous dams, reservoirs and water control structures.

Thruway Authority and Canal System programs are primarily supported by Authority funds, which are not reflected in the Executive Budget. The 2011 Thruway annual operating and capital budget totals \$1.1 billion.

Revenues from canal tolls and other user fees are deposited into the Canal System Development Fund and, in accordance with the State Constitution, are used exclusively for the canals. The Executive Budget recommends a new appropriation of \$2 million, the same level as in 2010-11, and reappropriations of \$11.7 million from the Canal System Development Fund for a portion of the maintenance, construction, reconstruction, development and promotion of the canals.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	0	0	0	0
Aid To Localities	0	0	0	0
Capital Projects	2,000,000	2,000,000	0	11,653,000
Total	<u>2,000,000</u>	<u>2,000,000</u>	<u>0</u>	<u>11,653,000</u>

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Canal Development Program				
New York State Canal System Development Fund	2,000,000	2,000,000	0	11,653,000
Total	<u>2,000,000</u>	<u>2,000,000</u>	<u>0</u>	<u>11,653,000</u>

# **DEPARTMENT OF TRANSPORTATION**

## **MISSION**

The Department of Transportation (DOT) directly maintains and improves the State's more than 38,000 State highway lane miles and over 7,500 bridges. In addition, the Department partially funds locally-operated transit systems, local government highway and bridge construction, and rail, airport, and canal programs.

The DOT of the 21<sup>st</sup> Century is capitalizing on intelligent transportation technology to manage increases in traffic and to balance security concerns with the need to move people and products safely and efficiently. The Department closely coordinates with other State transportation agencies and authorities with the goal of creating a seamless statewide transportation system that addresses environmental and community concerns and more efficiently moves people and goods.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner appointed by the Governor, subject to Senate confirmation. The Department's main office is in Albany, with 11 regional offices in Schenectady, Utica, Syracuse, Rochester, Buffalo, Hornell, Watertown, Poughkeepsie, Binghamton, Hauppauge and New York City. The Department also maintains highway maintenance and equipment repair facilities across the State.

Employees of the Department perform such activities as highway maintenance, snow and ice removal, highway and bridge design and construction inspection. In addition, the Department's staff inspects school and charter buses, regulates commercial transportation, oversees public transportation systems and State-owned airports, and provides administrative support for the Department.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$8.3 billion** All Funds (\$97.6 million General Fund; \$3.9 billion Capital Projects Funds; \$4.3 billion Other Funds) for the Department. This is an overall decrease of **\$526 million (-6 percent** overall; \$397 million (-9.3 percent) in Capital Projects Funds and \$129 million (-2.9 percent) in Other Funds) from 2010-11 levels. This net change primarily reflects non-recurrence of a 2010-11 Federal rail capital appropriation, a 10 percent year-to-year reduction in operations funding from the Dedicated Highway and Bridge Trust Fund (DHBTF), the annualization of 2010-11 workforce actions and a decrease in mass transit appropriation levels.

The Executive Budget reduces the agency's operations expenses in the DHBTF by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

The Department is responsible for the implementation of transportation programs related to highways and bridges, transit, aviation, ports, rail and other modes. It is supported by revenues from the Petroleum Business Tax, highway use tax, motor fuel taxes, auto rental tax, transportation/transmission tax, motor vehicle fees, and other fees. Substantial Federal aid is also used to support the programs. While no new appropriations are provided, spending from the 2005 Bond Act continues.

## **TRANSPORTATION**

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The budget continues the second year of a two-year DOT capital program enacted in 2010-11 while also implementing necessary reductions in agency operations and programs. Major budget actions include:

- **Preserving State Support for Highway and Bridge Investments:** Funding in the Dedicated Highway and Bridge Trust Fund (DHBTF) for highway and bridge construction is preserved at \$501 million, the same level as 2010-11.
- **Preserving Local Capital Aid:** Capital aid to local governments for highway and bridge projects is preserved at 2010-11 levels, with \$363.1 million provided for the Consolidated Highway Improvement Program (CHIPS) and \$39.7 million for the Marchiselli program.
- **Preserving Rail Programs:** The budget includes a \$16.9 million appropriation to support Amtrak service and additional rail capital investments.
- **State Operations Reduction:** The budget contains a \$64 million, or 10 percent, year-to-year reduction in DHBTF appropriations for DOT operations. The Department will achieve the reduction through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

The Department's operations are devoted primarily to highway maintenance, particularly snow and ice removal. The 2011-12 Executive Budget provides \$615 million for snow and ice control and State forces preventive maintenance. This level represents a decrease of almost \$54 million from 2010-11 levels.

The Department's regulatory programs and other operations are primarily funded by fees, miscellaneous revenues and Federal aid. Approximately \$25.7 million is derived from fees, including those imposed on trucks registered to transport products throughout the State; landing fees and rents levied at Republic Airport; and revenues generated by the sale and rental of Department property, such as commercial leasing of land for parking or storage. These funds support a number of agency activities, including various safety and regulatory oversight functions as well as highway safety and aviation programs.

Federal aid of \$16.3 million and dedicated mass transit funds totaling \$5.4 million help finance the Department's remaining operating responsibilities for mass transportation, aviation and motor-carrier safety programs.

Capital appropriations provide funding for construction and reconstruction projects on State highways, bridges, railways and airports, as well as financing the engineering staff and private-sector consultants who work on these projects. Obligations for State and local highway and bridge construction contracts will total \$1.8 billion in 2011-12.

The centerpiece of the State's Highway and Bridge Program is the Dedicated Highway and Bridge Trust Fund, established in 1993. The Trust Fund derives its revenues from portions of the petroleum business tax, motor fuel tax, motor vehicle fees, highway user fees, auto rental tax, transportation/transmission tax, and miscellaneous transportation-related revenues. These funds are used both on a pay-as-you-go basis and to pay debt service on bonds issued by the Thruway Authority to finance portions of the State and local highway programs.

A significant portion of the State and local highway capital program is supported by Federal aid, authorized in accordance with multi-year Federal transportation acts. The most recent Federal Transportation Act, known as SAFETEA-LU, expired on September 30, 2009. A successor program has not been enacted and Federal support for the State's transportation programs continues at reduced levels through temporary funding measures

## ***TRANSPORTATION***

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passed by Congress. The Federal capital aid appropriation in 2011-12 is available for up to \$2 billion of Federal funding, including provisions for State and local highways and bridges, engineering, rail and community enhancement programs.

Local highway and bridge capital programs include the Consolidated Highway Improvement Program (CHIPS), the Municipal Streets and Highways Program (“Marchiselli” Program) and the Multi-Modal Program. The CHIPS and Marchiselli programs are funded by bonds issued by the Thruway Authority with debt service paid from the State’s Dedicated Highway and Bridge Trust Fund. In 2011-12, the CHIPS capital program will be funded at \$363.1 million, and the Marchiselli program at \$39.7 million.

A \$16.9 million rail preservation appropriation will be available to support Amtrak service and new rail infrastructure investments. The State will also provide up to \$4 million to match Federal aviation grants.

The Aid to Localities budget is comprised primarily of appropriations supported by State taxes dedicated to public transportation through the Mass Transportation Operating Assistance (MTOA) Fund, the Metropolitan Transportation Authority Financial Assistance Fund (MTASP) and the Dedicated Mass Transportation Trust Fund (DMTTF). Mass Transportation Operating Assistance Fund revenues are derived from a 3/8 percent sales tax; a business tax surcharge levied in the New York City metropolitan region; and a portion of statewide taxes on transmission, transportation and petroleum-related businesses. MTASP revenues are derived from a tax on payrolls, surcharges on motor vehicle registration and license fees, a rental car surcharge, and a taxi surcharge, all within the Metropolitan Commuter Transportation District (MCTD). Dedicated Mass Transportation Trust Fund revenues are derived from a share of the revenues deposited in the Transportation Dedicated Funds Pool, which includes portions of the petroleum business tax, the motor fuel tax and motor vehicle fees.

The Executive Budget provides appropriations of more than \$4.2 billion in aid to transit systems throughout the State, including more than \$3.8 billion for the MTA and more than \$401 million for other systems. This appropriation level reflects a decrease of approximately \$106 million from the amended 2010-11 levels, and is comprised of a \$108 million decrease for the MTA and a \$2 million increase for all other transit systems. The drop in appropriations is primarily due to a correction from a 2010-11 MTA Payroll Mobility Tax appropriation that exceeded actual tax receipts and, therefore, aid levels. Despite this drop in appropriations, the MTA is anticipated to receive an increase of \$43 million on a year-to-year cash basis.

In addition to the State Transportation Operating Assistance Program, the Executive Budget provides \$37 million for the DMTTF non-MTA capital program, no change from the SFY 2010-11 level. This capital program funds a variety of transit related needs, including bus purchases and a portion of the required match to Federal transit capital aid.

### ***PROGRAM HIGHLIGHTS***

#### ***HIGHWAYS AND BRIDGES***

Improving the State’s vital transportation infrastructure remains the agency’s highest priority. During 2009-10, the Department replaced or rehabilitated a total of 139 State bridges and completed more than 3,800 corrective and preventive bridge treatments to slow deterioration. More than 4,600 lane miles of State highway were resurfaced, rehabilitated or given preventive maintenance treatment. The Executive Budget continues

## **TRANSPORTATION**

this commitment to strategic investments in critical infrastructure needs. Even more than in previous years, preventive maintenance performed by State forces and private sector contractors will be an area of significant concentration.

State staff and private-sector consultants perform the planning, property acquisition, design engineering, environmental reviews, surveying, materials and soils testing and construction inspection associated with the Department's capital program. Construction of virtually all highway and bridge projects is performed by private firms.

The State makes a significant investment in helping localities maintain safe roads and bridges through its CHIPS and Marchiselli capital programs. These programs fund local construction projects, with the majority performed by private firms. Through its safety inspections of school and charter buses and its regulation of commercial transport, the Department also focuses its resources on passenger safety and environmental issues.

### **PUBLIC TRANSPORTATION**

The Department provides oversight and funding for more than 130 public transportation operators, including the Metropolitan Transportation Authority, the four upstate regional transportation authorities and other (usually county-sponsored) transit systems. These systems provide bus, subway, light rail and commuter rail services, plus "paratransit" services designed to meet the needs of disabled people as required by the Federal Americans with Disabilities Act.

State financial assistance to transit systems is supported by the Mass Transportation Operating Assistance Fund, the Metropolitan Transportation Authority Financial Assistance Fund, the Dedicated Mass Transportation Trust Fund and the General Fund. In addition, State law authorizes the imposition of an additional mortgage recording tax in regions covered by the Metropolitan Transportation Authority and the four upstate transit authorities. These moneys are collected by the affected counties and transmitted directly to the transit systems.

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

<b>Category</b>	<b>Available 2010-11</b>	<b>Appropriations Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations Recommended 2011-12</b>
State Operations	50,340,000	47,404,000	(2,936,000)	111,268,700
Aid To Localities	4,357,490,900	4,232,596,900	(124,894,000)	177,064,000
Capital Projects	4,384,915,000	3,986,577,000	(398,338,000)	18,771,163,000
Total	<u>8,792,745,900</u>	<u>8,266,577,900</u>	<u>(526,168,000)</u>	<u>19,059,495,700</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Design and Construction			
Capital Projects Funds - Other	2,673	2,673	0
New York Metropolitan Transportation Council			
Special Revenue Funds - Other	54	54	0
Non-Federally Aided Highway Capital Projects - Administration			
Capital Projects Funds - Other	590	590	0
Operations Program			
Special Revenue Funds - Other	6	6	0
Passenger and Freight Transportation Program, Office of			
Special Revenue Funds - Federal	64	64	0
Special Revenue Funds - Other	81	81	0
Capital Projects Funds - Other	98	98	0
Planning and Program Management			
Capital Projects Funds - Other	529	529	0
Preventive Maintenance			
Capital Projects Funds - Other	4,445	4,445	0
Real Estate			
Capital Projects Funds - Other	168	168	0
Total	8,708	8,708	0

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Federal	18,031,000	16,315,000	(1,716,000)
Special Revenue Funds - Other	32,309,000	31,089,000	(1,220,000)
Total	50,340,000	47,404,000	(2,936,000)

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

Program	Available 2010-11	Recommended 2011-12	Change
Operations Program			
Special Revenue Funds - Other	15,710,000	16,210,000	500,000
Passenger and Freight Transportation Program, Office of			
Special Revenue Funds - Federal	18,031,000	16,315,000	(1,716,000)
Special Revenue Funds - Other	16,599,000	14,879,000	(1,720,000)
Total	50,340,000	47,404,000	(2,936,000)

# TRANSPORTATION

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Operations Program	16,210,000	500,000	532,000	(162,000)
Passenger and Freight Transportation Program, Office of	31,194,000	(3,436,000)	9,668,000	(2,169,000)
Total	<u>47,404,000</u>	<u>(2,936,000)</u>	<u>10,200,000</u>	<u>(2,331,000)</u>

Program	Nonpersonal Service	
	Amount	Change
Operations Program	15,678,000	662,000
Passenger and Freight Transportation Program, Office of	21,526,000	(1,267,000)
Total	<u>37,204,000</u>	<u>(605,000)</u>

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	97,550,900	97,550,900	0
Special Revenue Funds - Federal	53,062,000	53,062,000	0
Special Revenue Funds - Other	4,206,878,000	4,081,984,000	(124,894,000)
Total	<u>4,357,490,900</u>	<u>4,232,596,900</u>	<u>(124,894,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Additional Mass Transportation Assistance Program			
General Fund	44,866,000	44,866,000	0
Dedicated Mass Transportation Trust Fund Program			
Special Revenue Funds - Other	617,600,000	620,400,000	2,800,000
Local Transportation Planning Studies Program			
Special Revenue Funds - Federal	18,868,000	18,868,000	0
Mass Transportation Assistance Program General Fund	25,251,000	25,251,000	0
Metropolitan Transportation Authority Support Program			
Special Revenue Funds - Other	1,811,600,000	1,736,000,000	(75,600,000)
Mass Transportation Operating Assistance Fund Program			
Special Revenue Funds - Other	1,583,242,000	1,531,148,000	(52,094,000)
Mass Transportation Operating Assistance Program			
General Fund	27,433,900	27,433,900	0
Special Revenue Funds - Other	194,436,000	194,436,000	0
Passenger and Freight Transportation Program, Office of			
Special Revenue Funds - Federal	9,094,000	9,094,000	0
Rural and Small Urban Transit Aid Program Special Revenue Funds - Federal	25,100,000	25,100,000	0
Total	<u>4,357,490,900</u>	<u>4,232,596,900</u>	<u>(124,894,000)</u>

# TRANSPORTATION

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
Aviation				
Airport or Aviation Program				
Capital Projects Fund - Aviation (Bondable)	0	0	0	2,073,000
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	403,000
Regional Aviation Fund	0	0	0	7,037,000
Airport or Aviation Program -- Bondable				
Capital Projects Fund - Aviation (Bondable)	0	0	0	826,000
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund	4,000,000	4,000,000	0	44,563,000
Regional Aviation Fund	0	0	0	4,082,000
American Recovery and Reinvestment Act Federal Stimulus	0	0	0	10,000,000
Aviation				
Transportation Capital Facilities Bond Fund	0	0	0	3,393,000
Federal Airport or Aviation Federal Capital Projects Fund	6,000,000	6,000,000	0	41,414,000
Rebuild and Renew New York Transportation Bonds of 2005				
Capital Projects Fund - Rebuild Renew NY 2005 (Bondable)	0	0	0	44,503,000
Bond Proceeds				
Rebuild and Renew New York Transportation Bonds of 2005				
Rebuild and Renew New York Transportation Bonds of 2005	0	0	0	1,849,213,000
Canals and Waterways				
Canals and Waterways - Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	485,000
Rebuild and Renew New York Transportation Bonds of 2005				
Capital Projects Fund - Rebuild Renew NY 2005 (Bondable)	0	0	0	49,767,000
Economic Development				
Non-Federal Aided Highway Capital Projects Dedicated Highway and Bridge Trust Fund	0	0	0	275,555,000
Health and Safety				
Non-Federal Aided Highway Capital Projects Dedicated Highway and Bridge Trust Fund	8,885,000	8,299,000	(586,000)	11,268,000
Highway Facilities				
Accelerated Capacity and Transportation Improvements Fund				
Accelerated Capacity and Transportation Improvements Fund	0	0	0	26,275,000
Airport or Aviation State Program Dedicated Highway and Bridge Trust Fund	0	0	0	152,000
American Recovery and Reinvestment Act Federal Stimulus	10,000,000	0	(10,000,000)	1,188,159,000
Engineering Services				
Engineering Services Fund	0	0	0	129,993,000
NY Metro Transportation Council Account	19,300,000	18,148,000	(1,152,000)	43,926,000
Federal Aid Highways - Bondable Purpose Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	6,114,000
Federal Aid Highways - Federal Purpose Federal Capital Projects Fund	2,000,000,000	2,000,000,000	0	8,072,913,000
Highway Facilities				
Dedicated Highway and Bridge Trust Fund	0	0	0	11,982,000
Infrastructure Bond Act Projects Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	7,255,000
Multi-Modal				
Dedicated Highway and Bridge Trust Fund	0	0	0	41,166,000
Municipal Highway - Railroad Crossing Alterations Dedicated Highway and Bridge Trust Fund	0	0	0	1,568,000

# TRANSPORTATION

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

Comprehensive Construction Program	Available 2010-11	Recommended 2011-12	Change	Reappropriations 2011-12
New York State Agency Fund				
Miscellaneous New York State Agency Fund	50,000,000	50,000,000	0	299,562,000
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund	1,218,448,000	1,183,912,000	(34,536,000)	2,360,682,000
Other Highway Aid				
Dedicated Highway and Bridge Trust Fund	0	0	0	1,150,000
Priority Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	8,830,000
Rebuild and Renew New York Transportation Bonds of 2005				
Capital Projects Fund - Rebuild Renew NY 2005 (Bondable)	0	0	0	633,456,000
Road and Bridge Improvements - Bondable				
Capital Projects Fund - AC and TI Fund (Bondable)	0	0	0	26,221,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Highway and Bridge Trust Fund	0	0	0	3,500,000
Transportation Infrastructure Renewal Bond Fund				
Transportation Infrastructure Renewal Bond Fund	0	0	0	27,346,000
Maintenance Facilities				
Maintenance Facilities				
Dedicated Highway and Bridge Trust Fund	18,165,000	18,165,000	0	50,333,000
Mass Transportation and Rail Freight				
American Recovery and Reinvestment Act Federal Stimulus	0	0	0	2,019,700,000
Mass Transportation				
Dedicated Mass Transportation Non MTA	18,500,000	18,500,000	0	103,629,000
Mass Transportation and Rail Freight				
Capital Projects Fund - Energy Conservation (Bondable)	0	0	0	149,000
Dedicated Highway and Bridge Trust Fund	15,300,000	16,930,000	1,630,000	78,062,000
Dedicated Mass Transportation Non MTA	47,971,000	47,971,000	0	129,748,000
Federal Capital Projects Fund	0	0	0	19,575,000
Mass Transportation and Rail Freight Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	2,686,000
Other Transportation Aid				
Federal Capital Projects Fund	300,000,000	0	(300,000,000)	300,000,000
Rail Freight				
Capital Projects Fund - Advances	0	0	0	21,350,000
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	121,000
Dedicated Mass Transportation Non MTA	0	0	0	1,351,000
Rail Preservation and Development Fund				
Energy Conservation Improved Transportation Bond Fund	0	0	0	164,000
Rebuild and Renew New York Transportation Bonds of 2005				
Capital Projects Fund - Rebuild Renew NY 2005 (Bondable)	0	0	0	38,613,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Mass Transportation Non MTA	0	0	0	5,000,000
Special Rail and Aviation Program				
Capital Projects Fund - Authority Bonds	0	0	0	20,949,000
Dedicated Mass Transportation Non MTA	0	0	0	5,244,000
Port Development				
Port Development Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable)	0	0	0	57,000
Rebuild and Renew New York Transportation Bonds of 2005				
Capital Projects Fund - Rebuild Renew NY 2005 (Bondable)	0	0	0	95,525,000

# TRANSPORTATION

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

<b>Comprehensive Construction Program</b>	<b>Available 2010-11</b>	<b>Recommended 2011-12</b>	<b>Change</b>	<b>Reappropriations 2011-12</b>
Preservation of Facilities				
Non-Federal Aided Highway Capital Projects				
Capital Projects Fund	0	0	0	3,000,000
Dedicated Highway and Bridge Trust Fund	668,346,000	614,652,000	(53,694,000)	641,075,000
Total	4,384,915,000	<u>3,986,577,000</u>	<u>(398,338,000)</u>	<u>18,771,163,000</u>
Adjustments:				
Prior Year Deficiency				
American Recovery and Reinvestment Act	5,000,000			
Appropriated 2010-11	<u>4,389,915,000</u>			

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

## ***MISSION***

The core mission of the Division of Veterans' Affairs is to link veterans, members of the armed forces, and their families and dependents, to various personal, medical, and financial benefits available as the result of active duty military service. The Division's professional counseling staff prepares, presents and prosecutes claims including applications for monthly compensation and pension awards, education benefits, burial benefits, vocational rehabilitation training, health care, nursing home care, tax exemption and other services.

The Division will continue to offer accessible professional assistance to nearly one million veterans and their dependents, as well as to thousands of New Yorkers currently on active military duty.

## ***ORGANIZATION AND STAFFING***

The Division is headed by the Director, who is appointed by the Governor. The Division's central office is in Albany, with regional offices in New York City and Buffalo. The Division currently maintains a network of 72 local points of access, both full-time and itinerant, where the veterans' community can obtain information and assistance from the Division's veterans counseling staff.

The Division maximizes its presence in the veterans' community by maintaining office locations that are readily accessible to veterans, such as United States Department of Veterans Affairs (VA) medical centers and community outpatient clinics. More than half of the Division's State Veterans Counselors are assigned to multiple offices, and the Division has recently added mobile counseling services, further expanding outreach efforts to veterans and their families.

## ***BUDGET HIGHLIGHTS***

The 2011-12 Executive Budget recommends **\$16.3 million** in All Funds spending (\$13.8 million General Fund, and \$2.5 million Other Funds) to support ongoing agency activities. This is a decrease of **\$0.6 million (-3.6 percent)** All Funds from the 2010-11 Enacted Budget, which is entirely attributable to a 10 percent reduction in the agency's operating budget. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible. Local grants remain unchanged at the prior year's level.

## ***PROGRAM HIGHLIGHTS***

The largest of the Division of Veterans' Affairs programs is the Veterans' Counseling Services Program. In State fiscal year 2009-10, new claims for Federal benefits that provide direct assistance to veterans and their families, generated more than \$108 million in new and recurring VA for compensation and pension payments for disabled and low-income veterans and dependents.

Based on the number of claims filed and awards issued during calendar year 2010, overall benefits flowing into New York State are on a pace to match or exceed those of

## **VETERANS' AFFAIRS**

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recent years. The Division of Veterans' Affairs' VA accredited counseling staff is responsible for securing and maintaining a substantial portion of the \$1.50 billion in Federal VA benefits paid annually to veterans and their dependents in New York State.

The Division, in collaboration with other State, Federal, local and not-for-profit agencies, continues its efforts to assist returning active duty military personnel. The Division continues to collaborate with the Division of Military and Naval Affairs and the Office of Mental Health with regard to behavioral health screening for Post Traumatic Stress Disorder (PTSD) and Traumatic Brain Injury (TBI). This provides the Division an opportunity to disseminate information about benefits and familiarize veterans and their families with services offered by the agency's counseling staff.

On, November 11, 2008, the New York State Council on Returning Veterans and Their Families was established. This Council was formed to improve upon the way services are provided to returning veterans who often require assistance with human, social, and economic challenges. The Council has explored new approaches for helping returning veterans and their families address problems and concerns in such areas as: personal finance, family relationships, physical and psychological care, substance abuse treatment, employment, and complex medical injuries. The Division continues to partner with the New York State Department of Health and the State University of New York at Stony Brook to assist veterans and eligible dependents in gaining admission to the State Veterans Home Program that is comprised of five long-term healthcare facilities around the State.

State Veterans Counselors, each of whom is a veteran, assist veterans in accessing the VA's network of health care, state veterans' homes and nursing homes, as well as local public assistance and private venues that offer programs or services to assist veterans and their families. Without these essential employees, veterans and their families could be required to seek other forms of public health care. Other key benefits to veterans are described below.

### **VETERANS' EDUCATION PROGRAM**

The Bureau of Veterans' Education staff are located in both Albany and New York City, and investigate and certify post-secondary educational and vocational institutions to enable veterans seeking to utilize their Federal benefits to further their education. The Veterans Education Bureau also is responsible for approving on-the-job training and apprenticeship programs.

### **BLIND ANNUITY PROGRAM**

The Blind Annuity Program provides visually impaired veterans and eligible surviving spouses (who are not re-married) an annual annuity which is paid in monthly installments. The Division of Veterans' Affairs processes applications and authorizes awards, with more than 4,500 individuals currently receiving benefits.

### **SUPPLEMENTAL BURIAL BENEFIT PROGRAM**

Families of members of the armed forces killed in combat, or who die while serving in a hostile theater of operation may be eligible for the Supplemental Burial Benefit. Established in 2003, this benefit provides a maximum reimbursement of \$6,000 to help families offset the costs of funeral and burial expenses.

## VETERANS' AFFAIRS

### GOLD STAR PARENT ANNUITY

The Division also provides annual annuities to “Gold Star Parents” in the amount of \$500 per parent, not to exceed \$1,000 per veteran. Any “Gold Star” parent of a deceased veteran, who is a resident of New York State and has an income at or below 200 percent of the Federal poverty level, may be eligible for the annuity.

#### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	8,417,000	7,772,000	(645,000)	3,932,000
Aid To Localities	8,446,000	8,526,000	80,000	0
Capital Projects	0	0	0	0
Total	<u>16,863,000</u>	<u>16,298,000</u>	<u>(565,000)</u>	<u>3,932,000</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Administration			
General Fund	(1)	(1)	0
Higher Education			
Special Revenue Funds - Federal	11	12	1
Veteran Counseling Services Program			
General Fund	87	87	0
Total	<u>97</u>	<u>98</u>	<u>1</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	6,451,000	5,806,000	(645,000)
Special Revenue Funds - Federal	1,966,000	1,966,000	0
Total	<u>8,417,000</u>	<u>7,772,000</u>	<u>(645,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Administration			
General Fund	538,000	484,000	(54,000)
Higher Education			
Special Revenue Funds - Federal	1,966,000	1,966,000	0
Veteran Counseling Services Program			
General Fund	5,913,000	5,322,000	(591,000)
Total	<u>8,417,000</u>	<u>7,772,000</u>	<u>(645,000)</u>

# VETERANS' AFFAIRS

## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration	367,000	(41,000)	367,000	(41,000)
Veteran Counseling Services Program	4,871,000	(540,000)	4,848,000	(538,000)
Total	<u>5,238,000</u>	<u>(581,000)</u>	<u>5,215,000</u>	<u>(579,000)</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	0	0
Veteran Counseling Services Program	23,000	(2,000)
Total	<u>23,000</u>	<u>(2,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	117,000	(13,000)	10,000	(1,000)
Veteran Counseling Services Program	451,000	(51,000)	63,000	(7,000)
Total	<u>568,000</u>	<u>(64,000)</u>	<u>73,000</u>	<u>(8,000)</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	14,000	(2,000)	74,000	(8,000)
Veteran Counseling Services Program	104,000	(12,000)	194,000	(22,000)
Total	<u>118,000</u>	<u>(14,000)</u>	<u>268,000</u>	<u>(30,000)</u>

Program	Equipment	
	Amount	Change
Administration	19,000	(2,000)
Veteran Counseling Services Program	90,000	(10,000)
Total	<u>109,000</u>	<u>(12,000)</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Higher Education	1,966,000	0	1,161,000	0
Total	<u>1,966,000</u>	<u>0</u>	<u>1,161,000</u>	<u>0</u>

Program	Nonpersonal Service	
	Amount	Change
Higher Education	805,000	0
Total	<u>805,000</u>	<u>0</u>

# VETERANS' AFFAIRS

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

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
General Fund	7,946,000	8,026,000	80,000
Special Revenue Funds - Federal	500,000	500,000	0
Total	8,446,000	8,526,000	80,000

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

<u>Program</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
Administration			
General Fund	799,000	799,000	0
Blind Veteran Annuity Assistance			
General Fund	5,720,000	5,800,000	80,000
Veteran Counseling Services Program			
General Fund	1,427,000	1,427,000	0
Special Revenue Funds - Federal	500,000	500,000	0
Total	8,446,000	8,526,000	80,000

# **OFFICE OF THE WELFARE INSPECTOR GENERAL**

## **MISSION**

The Office of Welfare Inspector General was established in 1992 to prevent, investigate, and prosecute welfare fraud, waste, abuse and illegal acts involving social services programs at both the State and local levels. The Office investigates and when appropriate prosecutes welfare recipients who are dishonestly receiving benefits for which they are not eligible. It also investigates instances in which providers of Medicaid, day care or other social services fraudulently receive payments from government. The agency is responsible for investigating any failure by State and local officials to investigate and prosecute such fraud and abuse within their jurisdiction. Furthermore, the Office is charged with recommending policies to prevent and to detect social services fraud, and then to monitor the implementation of these recommendations.

In carrying out its responsibilities, the Office works closely with various State agencies in support of fraud investigations. The Office of Temporary and Disability Assistance provides welfare program data and information concerning the application of program rules and regulations. Local social services districts assist the Office with identifying the amount of money fraudulently obtained from different welfare programs. The Attorney General assists the Office with the prosecution of those alleged to be involved in fraudulent activity. The Office also works with the Office of Children and Family Services on cases involving adult homes and other community programs, as well as with the Department of Health and the Office of the Medicaid Inspector General on Medicaid-related cases.

## **ORGANIZATION AND STAFFING**

The Office is headed by the Welfare Inspector General, who is appointed for a five-year term by the Governor with the advice and consent of the Senate. The Welfare Inspector General's statewide operations are administered from New York City with a field office in Albany.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$1.6 million All Funds** (\$378,000 General Fund; \$1.2 million Other Funds) for the Office of Welfare Inspector General, which reflects a **\$42,000 (-10 percent)** reduction to General Fund State Operations appropriations. The Executive Budget reduces each agency's General Fund State Operations budget by 10 percent. These savings are intended to be achieved through administrative efficiencies in non-personal service and negotiated workforce savings that minimize layoffs to the extent possible.

## **PROGRAM HIGHLIGHTS**

The Office annually receives hundreds of complaints about alleged welfare fraud, waste and abuse that originate from citizens and other governmental agencies. The Office also generates investigations on its own initiative. Fraud investigations result in substantial savings for all levels of government by uncovering fraudulent activity by a

## WELFARE INSPECTOR GENERAL

member of a household receiving welfare, as well as unreported income or inappropriate claiming practices by those who provide day care, employment, health care or other services to welfare recipients. The Office annually works on approximately 200 fraud investigations and recovers funding that is repaid to the appropriate programs. Stopping fraudulent activity reduces future years' welfare costs by individuals who would otherwise continue to fraudulently take money from the government, and by providing a deterrent to those who may seek to defraud government programs.

In addition to investigations of individual welfare recipients, the Office completes investigations to uncover patterns of abuse within the welfare system including not only recipients but also social services agencies, organizations and contractors.

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	1,597,000	1,555,000	(42,000)	0
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>1,597,000</u>	<u>1,555,000</u>	<u>(42,000)</u>	<u>0</u>

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

Program	Full-Time Equivalent Positions (FTE)		
	2010-11 Estimated FTEs	2011-12 Estimated FTEs	FTE Change
	03/31/11	03/31/12	
Welfare Inspector General, Office of the			
General Fund	4	4	0
Special Revenue Funds - Other	3	3	0
Total	<u>7</u>	<u>7</u>	<u>0</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
General Fund	420,000	378,000	(42,000)
Special Revenue Funds - Other	1,177,000	1,177,000	0
Total	<u>1,597,000</u>	<u>1,555,000</u>	<u>(42,000)</u>

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

Program	Available 2010-11	Recommended 2011-12	Change
Welfare Inspector General, Office of the			
General Fund	420,000	378,000	(42,000)
Special Revenue Funds - Other	1,177,000	1,177,000	0
Total	<u>1,597,000</u>	<u>1,555,000</u>	<u>(42,000)</u>

# WELFARE INSPECTOR GENERAL

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## STATE OPERATIONS - GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

<b>Program</b>	<b>Total</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	378,000	(42,000)	378,000	(42,000)
Total	<u>378,000</u>	<u>(42,000)</u>	<u>378,000</u>	<u>(42,000)</u>

## STATE OPERATIONS - GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

<b>Program</b>	<b>Total</b>	
	<b>Amount</b>	<b>Change</b>
Total	<u>0</u>	<u>0</u>

## STATE OPERATIONS - OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 2011-12 RECOMMENDED (dollars)

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	1,177,000	0	457,000	0
Total	<u>1,177,000</u>	<u>0</u>	<u>457,000</u>	<u>0</u>

<b>Program</b>	<b>Nonpersonal Service</b>	
	<b>Amount</b>	<b>Change</b>
Welfare Inspector General, Office of the	720,000	0
Total	<u>720,000</u>	<u>0</u>

# **WORKERS' COMPENSATION BOARD**

## **MISSION**

The New York State Workers' Compensation Board protects the rights of employees and employers by ensuring the proper delivery of benefits to those eligible due to being injured or becoming ill while on the job and by promoting compliance with the law. 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.

## **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, Binghamton, Brooklyn, Buffalo, Hauppauge, Hempstead, Manhattan, Peekskill, Queens, Rochester and Syracuse, with administrative offices in Albany. The Board has additional customer service centers located throughout the State.

## **BUDGET HIGHLIGHTS**

The Executive Budget recommends **\$204.7 million** All Funds for the Workers' Compensation Board, all of which is funded from assessments on businesses. This amount is unchanged from the 2010-11 level. The Executive Budget projects a staffing level of **1,466** in 2011-12, which is an increase of **16** from 2010-11. This increase reflects positions added for the information technology in-sourcing initiative.

## **PROGRAM HIGHLIGHTS**

Over the past several years, New York has seen sweeping statutory reform in the workers' compensation system. During this period, benefits have increased while costs have decreased; injured workers are receiving their benefits faster; and fraud has been aggressively pursued. The Board's efforts continue to be dedicated to implementing all of the reforms and an agenda of positive transformation within the agency. To that end, on December 1, 2010, the Board issued new medical treatment guidelines which are now the mandatory standard of care for mid- and lower-back, neck, shoulder and knee injuries. These guidelines established a standard of medical care for injured workers which will improve medical outcomes for workers and expedite quality care. The guidelines will also speed return to work by injured workers, reduce disputes between payers and medical providers over treatment issues and reduce overall system costs.

## WORKERS' COMPENSATION

### ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2010-11	Appropriations Recommended 2011-12	Change	Reappropriations Recommended 2011-12
State Operations	204,749,000	204,749,000	0	20,000,000
Aid To Localities	0	0	0	0
Capital Projects	0	0	0	0
Total	<u>204,749,000</u>	<u>204,749,000</u>	<u>0</u>	<u>20,000,000</u>

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

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

Program	2010-11 Estimated FTEs 03/31/11	2011-12 Estimated FTEs 03/31/12	FTE Change
Disability Benefits			
Special Revenue Funds - Other	43	43	0
Workers Compensation			
Special Revenue Funds - Other	1,407	1,423	16
Total	<u>1,450</u>	<u>1,466</u>	<u>16</u>

The above table does not reflect layoffs that may be necessary in the absence of negotiated workforce savings.

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

Fund Type	Available 2010-11	Recommended 2011-12	Change
Special Revenue Funds - Other	204,749,000	204,749,000	0
Total	<u>204,749,000</u>	<u>204,749,000</u>	<u>0</u>

Adjustments:			
Transfer(s) From			
Special Pay Bill			
Special Revenue Funds - Other	(375,000)		
Appropriated 2010-11	<u>204,374,000</u>		

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

Program	Available 2010-11	Recommended 2011-12	Change
Disability Benefits			
Special Revenue Funds - Other	7,369,000	7,369,000	0
Workers Compensation			
Special Revenue Funds - Other	197,380,000	197,380,000	0
Total	<u>204,749,000</u>	<u>204,749,000</u>	<u>0</u>

# WORKERS' COMPENSATION

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**STATE OPERATIONS - OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2011-12 RECOMMENDED  
(dollars)**

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Disability Benefits	7,369,000	0	3,809,000	0
Workers Compensation	197,380,000	0	90,544,000	0
Total	204,749,000	0	94,353,000	0

  

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Disability Benefits	3,560,000	0	0	0
Workers Compensation	106,477,000	0	359,000	0
Total	110,037,000	0	359,000	0