

# **DEPARTMENT OF STATE**

## **MISSION**

The Department of State (DOS), established in 1788, is the oldest State agency. Historically serving as the State's general recording officer and custodian of the State's "Great Seal", the Department's mission has grown to include a broad range of activities that coordinate programs with, and provide services to, local governments and businesses. The Department protects the public's safety by managing arson, fire prevention, building and energy code programs; assists the public by providing ombudsman services; administers programs for community development and local government service activities; and supports businesses through various licensing and registration activities.

## **ORGANIZATION AND STAFFING**

The Department is headed by the Secretary of State, who is appointed by the Governor and confirmed by the Senate. The Department's central office is located in Albany. It also has 20 regional offices across the State and operates the Academy of Fire Science in Montour Falls, Schuyler County. The Department of State will have a workforce of 884 positions for 2001-02.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Approximately 34 percent of the Department's operations and local aid programs are funded from fees and other income, 52 percent are funded with Federal grants, and State tax dollars from the General Fund support the remaining 14 percent. The Executive Budget recommends funding of \$110.6 million for the Department of State: \$95.4 million in Federal funding and fee revenues, and \$15.2 million in General Fund support.

Major recommendations include:

- Continued support for Department-wide technology improvements to provide enhanced internet access and on-line applications to better serve the State's business customers and ease the filing of Financial Disclosure Statements.
- New funding for fire safety inspections and training programs at public and independent colleges and universities.
- Legislation to update Article 9 of the Uniform Commercial Code to permit the application of new and emerging technologies for certain financial transactions and allow for the use of modern forms of collateral.

## **PROGRAM HIGHLIGHTS**

- The responsibilities of the Department of State are carried out through three programs:
- The Local Government and Community Services Program consists of several functions including the Office of Fire Prevention and Control which works with both paid and volunteer firefighters by providing training, technical support and assistance with arson investigations. The Office is working with the Department of Health and other experts to develop fire safety standards for cigarettes. This program also includes the Division of Code Enforcement and Administration, which administers New York's building and energy code. In addition to these activities, staff provide ombudsman services to citizens; offer planning and management services to local governments through the Division of Local Government; support land use planning activities in the New York City/Catskill Watershed; coordinate New York's coastal resources and waterfront revitalization activities; provide low interest loans to fire and ambulance companies through the Emergency Services

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Revolving Loan Program; and administer the Department's federal grant programs, including the Appalachian Regional Commission and State Rural Development Council. The federally funded Division of Community Services provides a means for achieving economic self-sufficiency through programs designed to improve job skills and opportunities to its low income participants.

- The Business and Licensing Services Program provides information on credit and debt for individuals, businesses and corporations; tracks all certificates of incorporation; administers qualifying examinations and licensing of 20 occupations; and prepares the State Register and other publications. This program also oversees the operation of almost 1,900 cemeteries.
- The Administration Program provides the basic executive direction, fiscal, personnel and electronic data processing activities that support the Department's operations.

Additionally, the Department's appropriations contain funds for the Lake George Park Commission, the State Ethics Commission, the State Athletic Commission, the Committee on Open Government, and the Tug Hill Commission.

## ALL FUNDS APPROPRIATIONS (dollars)

<u>Category</u>	<u>Available 2000-01</u>	<u>Appropriations Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations Recommended 2001-02</u>
State Operations	62,036,400	57,277,500	(4,758,900)	18,405,000
Aid To Localities	80,002,248	52,950,000	(27,052,248)	53,650,000
Capital Projects	348,000	340,000	(8,000)	1,219,000
Total	<u>142,386,648</u>	<u>110,567,500</u>	<u>(31,819,148)</u>	<u>73,274,000</u>

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

### Full-Time Equivalent Positions (FTE)

<u>Program</u>	<u>2000-01 Estimated FTEs 03/31/01</u>	<u>2001-02 Estimated FTEs 03/31/02</u>	<u>FTE Change</u>
Administration			
General Fund	48	48	0
Lake George Park Commission			
Special Revenue Funds - Other	10	11	1
Licensing Services			
General Fund	17	0	(17)
Special Revenue Funds - Other	432	450	18
Local Government and Community Services			
General Fund	59	84	25
Special Revenue Funds - Federal	76	76	0
Special Revenue Funds - Other	158	166	8
Expendable Trust Funds	2	2	0
Capital Projects Funds - Other	10	10	0
State Ethics Commission			
General Fund	22	21	(1)
Tug Hill Commission			
General Fund	16	16	0
Total	<u>850</u>	<u>884</u>	<u>34</u>

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

<u>Fund Type</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
General Fund	18,814,800	14,819,700	(3,995,100)
Special Revenue Funds - Federal	7,330,000	7,034,400	(295,600)
Special Revenue Funds - Other	33,891,600	35,323,400	1,431,800
Fiduciary Funds	<u>2,000,000</u>	<u>100,000</u>	<u>(1,900,000)</u>
Total	62,036,400	<u>57,277,500</u>	<u>(4,758,900)</u>

## Adjustments:

Transfer(s) From			
Special Pay Bill			
General Fund	(756,000)		
Special Revenue Funds - Federal	(345,000)		
Special Revenue Funds - Other	(1,888,300)		
Transfer(s) To			
Insurance Department			
Special Revenue Funds - Other	<u>328,000</u>		
Appropriated 2000-01	<u>59,375,100</u>		

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

<u>Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>
Administration			
General Fund	4,926,200	5,055,200	129,000
Lake George Park Commission			
Special Revenue Funds - Other	1,048,800	1,231,800	183,000
Licensing Services			
General Fund	698,400	0	(698,400)
Special Revenue Funds - Other	30,472,600	31,827,500	1,354,900
Local Government and Community Services			
General Fund	10,439,600	6,926,600	(3,513,000)
Special Revenue Funds - Federal	7,330,000	7,034,400	(295,600)
Special Revenue Funds - Other	2,357,600	2,251,500	(106,100)
Fiduciary Funds	2,000,000	100,000	(1,900,000)
State Ethics Commission			
General Fund	1,844,300	1,914,900	70,600
Tug Hill Commission			
General Fund	906,300	923,000	16,700
Special Revenue Funds - Other	<u>12,600</u>	<u>12,600</u>	<u>0</u>
Total	<u>62,036,400</u>	<u>57,277,500</u>	<u>(4,758,900)</u>

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

<b>Program</b>	<b>Total Personal Service</b>		<b>Personal Service Regular (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	3,416,300	55,300	3,365,600	59,800
Licensing Services	0	(604,700)	0	(603,800)
Local Government and Community Services	2,847,400	161,500	2,817,000	136,900
State Ethics Commission	1,231,400	(54,500)	1,231,100	(54,500)
Tug Hill Commission	795,900	16,700	788,500	16,200
<b>Total</b>	<b>8,291,000</b>	<b>(425,700)</b>	<b>8,202,200</b>	<b>(445,400)</b>

<b>Program</b>	<b>Temporary Service (Nonannual Salaried)</b>		<b>Holiday/Overtime Pay (Annual Salaried)</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	43,200	3,900	7,500	(8,400)
Licensing Services	0	0	0	(900)
Local Government and Community Services	30,400	24,600	0	0
State Ethics Commission	0	0	300	0
Tug Hill Commission	7,400	500	0	0
<b>Total</b>	<b>81,000</b>	<b>29,000</b>	<b>7,800</b>	<b>(9,300)</b>

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

<b>Program</b>	<b>Total Nonpersonal Service</b>		<b>Supplies and Materials</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	1,638,900	73,700	170,000	0
Licensing Services	0	(93,700)	0	(4,400)
Local Government and Community Services	4,079,200	(3,674,500)	44,700	20,000
State Ethics Commission	683,500	125,100	40,100	20,000
Tug Hill Commission	127,100	0	12,700	0
<b>Total</b>	<b>6,528,700</b>	<b>(3,569,400)</b>	<b>267,500</b>	<b>35,600</b>

<b>Program</b>	<b>Travel</b>		<b>Contractual Services</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	60,000	0	1,305,200	166,700
Licensing Services	0	(2,100)	0	(84,700)
Local Government and Community Services	69,800	5,500	305,600	0
State Ethics Commission	20,100	100	487,500	105,000
Tug Hill Commission	7,900	0	104,400	0
<b>Total</b>	<b>157,800</b>	<b>3,500</b>	<b>2,202,700</b>	<b>187,000</b>

<b>Program</b>	<b>Equipment</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Administration	103,700	0	0	(93,000)
Licensing Services	0	(2,500)	0	0
Local Government and Community Services	359,100	0	3,300,000	(3,700,000)
State Ethics Commission	135,800	0	0	0
Tug Hill Commission	2,100	0	0	0
<b>Total</b>	<b>600,700</b>	<b>(2,500)</b>	<b>3,300,000</b>	<b>(3,793,000)</b>

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

<b>Program</b>	<b>Total</b>		<b>Personal Service</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Lake George Park Commission	1,231,800	183,000	650,900	98,300
Licensing Services	31,827,500	1,354,900	17,539,200	1,152,100
Local Government and Community Services	9,385,900	(2,301,700)	4,759,800	(65,500)
Tug Hill Commission	12,600	0	0	0
<b>Total</b>	<b>42,457,800</b>	<b>(763,800)</b>	<b>22,949,900</b>	<b>1,184,900</b>

  

<b>Program</b>	<b>Nonpersonal Service</b>		<b>Maintenance Undistributed</b>	
	<b>Amount</b>	<b>Change</b>	<b>Amount</b>	<b>Change</b>
Lake George Park Commission	580,900	84,700	0	0
Licensing Services	14,288,300	202,800	0	0
Local Government and Community Services	4,376,100	263,800	250,000	(2,500,000)
Tug Hill Commission	12,600	0	0	0
<b>Total</b>	<b>19,257,900</b>	<b>551,300</b>	<b>250,000</b>	<b>(2,500,000)</b>

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

<b>Fund Type</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
General Fund	29,802,248	0	(29,802,248)
Special Revenue Funds - Federal	43,000,000	50,750,000	7,750,000
Special Revenue Funds - Other	3,300,000	300,000	(3,000,000)
Fiduciary Funds	3,900,000	1,900,000	(2,000,000)
<b>Total</b>	<b>80,002,248</b>	<b>52,950,000</b>	<b>(27,052,248)</b>

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

<b>Program</b>	<b>Available 2000-01</b>	<b>Recommended 2001-02</b>	<b>Change</b>
Licensing Services			
Special Revenue Funds - Other	300,000	300,000	0
Local Government and Community Services			
General Fund	1,725,000	0	(1,725,000)
Special Revenue Funds - Federal	43,000,000	50,750,000	7,750,000
Special Revenue Funds - Other	3,000,000	0	(3,000,000)
Fiduciary Funds	3,900,000	1,900,000	(2,000,000)
Community Projects			
General Fund	28,077,248	0	(28,077,248)
<b>Total</b>	<b>80,002,248</b>	<b>52,950,000</b>	<b>(27,052,248)</b>

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

<u>Comprehensive Construction Program</u>	<u>Available 2000-01</u>	<u>Recommended 2001-02</u>	<u>Change</u>	<u>Reappropriations 2001-02</u>
Design and Construction Supervision Capital Projects Fund	0	0	0	340,000
Office of Fire Prevention and Control Capital Projects Fund	0	340,000	340,000	879,000
Clean Water - Clean Air Implementation Clean Water Clean Air Implementation Fund	<u>348,000</u>	<u>0</u>	<u>(348,000)</u>	<u>0</u>
Total	<u><u>348,000</u></u>	<u><u>340,000</u></u>	<u><u>(8,000)</u></u>	<u><u>1,219,000</u></u>