

# **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 has grown to include a broad range of activities that coordinate programs with, and provide services to, local governments and businesses. The Department protects public safety by managing arson investigation, fire prevention, 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'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 912 positions for 2007-08.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Approximately 14 percent of the Department's operations and local aid programs are funded from fees and other income, 51 percent from Federal grants, and 35 percent from State tax dollars from the General Fund. The Executive Budget recommends funding of over \$141.8 million for the Department of State: \$91.7 million in Federal funding and fee revenues, and \$50.1 million in General Fund support. The Department has achieved savings for SFY 2007-08 through personnel controls and implementation of various management efficiencies.

The Department will continue recent technology improvements to provide enhanced internet access and online applications to better serve the State's business customers and ease the filing of documents. Pursuant to legislation enacted in 2006, the Department will administer several new initiatives including an enhanced fire-safe cigarettes program and the Oceans and Great Lakes Ecosystems Conservation Act. The Department of State will also continue to provide grants to assist municipalities in achieving local government efficiencies and improvements through the provision of Shared Municipal Services Incentive (SMSI) grants.

## **PROGRAM HIGHLIGHTS**

The responsibilities of the Department of State are carried out through three programs:

- The Local Government and Community Services Program consists of several functions, including the Office of Fire Prevention and Control (OFPC), which works with both paid and volunteer firefighters by providing training, technical support and assistance with arson investigations, and conducts fire safety inspections of colleges and state-owned buildings. OFPC trains and equips an urban search and rescue team based in the Capital Region. OFPC also provides low interest loans to fire and

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ambulance companies through the Emergency Services Revolving Loan Program. The Division of Code Enforcement and Administration manages New York's building and energy codes. In addition to these activities, Local Government and Community Services program staff provide 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; and administer the Department's Federal grant programs, including the Appalachian Regional Commission. The federally funded Division of Community Services provides a means for achieving economic self-sufficiency through programs designed to improve opportunities for its low-income participants.

- The Business and Licensing Services Program provides information on credit and debt for individuals, businesses and corporations; tracks all certificates of incorporation; administers qualifying examinations and licensing of 26 occupations; and prepares the State Register and other publications.
- 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 State Ethics Commission, the State Athletic Commission, the Committee on Open Government, and the Tug Hill Commission.

## ALL FUNDS APPROPRIATIONS (dollars)

Category	Available 2006-07	Appropriations Recommended 2007-08	Change	Reappropriations Recommended 2007-08
State Operations	69,521,400	65,819,000	(3,702,400)	29,801,400
Aid To Localities	73,850,000	76,050,000	2,200,000	111,018,600
Capital Projects	1,000,000	0	(1,000,000)	82,600,000
Total	144,371,400	141,869,000	(2,502,400)	223,420,000

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

### Full-Time Equivalent Positions (FTE)

Program	2006-07 Estimated FTEs 03/31/07	2007-08 Estimated FTEs 03/31/08	FTE Change
Administration			
General Fund	63	63	0
Lake George Park Commission			
Special Revenue Funds - Other	9	9	0
Licensing Services			
General Fund	0	403	403
Special Revenue Funds - Other	396	0	(396)
Local Government and Community Services			
General Fund	112	133	21
Special Revenue Funds - Federal	58	58	0
Special Revenue Funds - Other	194	205	11
State Ethics Commission			
General Fund	23	23	0
Tug Hill Commission			
General Fund	18	18	0
Total	873	912	39

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

<u>Fund Type</u>	<u>Available 2006-07</u>	<u>Recommended 2007-08</u>	<u>Change</u>
General Fund	18,421,400	49,574,000	31,152,600
Special Revenue Funds - Federal	11,402,000	11,402,000	0
Special Revenue Funds - Other	39,698,000	4,843,000	(34,855,000)
Total	<u>69,521,400</u>	<u>65,819,000</u>	<u>(3,702,400)</u>

## Adjustments:

Transfer(s) To

Executive Chamber

General Fund

Appropriated 2006-07

372,000

69,893,400

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

<u>Program</u>	<u>Available 2006-07</u>	<u>Recommended 2007-08</u>	<u>Change</u>
Administration			
General Fund	7,350,000	9,126,000	1,776,000
Lake George Park Commission			
Special Revenue Funds - Other	1,614,000	1,594,000	(20,000)
Licensing Services			
General Fund	0	27,501,000	27,501,000
Special Revenue Funds - Other	35,703,000	0	(35,703,000)
Local Government and Community Services			
General Fund	8,093,400	9,591,000	1,497,600
Special Revenue Funds - Federal	11,402,000	11,402,000	0
Special Revenue Funds - Other	2,328,000	3,196,000	868,000
State Ethics Commission			
General Fund	1,910,000	2,245,000	335,000
Tug Hill Commission			
General Fund	1,068,000	1,111,000	43,000
Special Revenue Funds - Other	53,000	53,000	0
Total	<u>69,521,400</u>	<u>65,819,000</u>	<u>(3,702,400)</u>

**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
2007-08 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	4,476,000	726,000	4,429,000	740,000
Licensing Services	18,171,000	18,171,000	18,171,000	18,171,000
Local Government and Community Services	7,942,000	3,262,000	7,903,000	3,335,000
State Ethics Commission	1,695,000	355,000	1,695,000	355,000
Tug Hill Commission	1,001,000	43,000	1,001,000	51,000
Total	<u>33,285,000</u>	<u>22,557,000</u>	<u>33,199,000</u>	<u>22,652,000</u>
<u>Program</u>	<u>Temporary Service (Nonannual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration	41,000	(19,000)	6,000	5,000
Licensing Services	0	0	0	0
Local Government and Community Services	34,000	(78,000)	5,000	5,000
State Ethics Commission	0	0	0	0
Tug Hill Commission	0	(8,000)	0	0
Total	<u>75,000</u>	<u>(105,000)</u>	<u>11,000</u>	<u>10,000</u>

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**STATE OPERATIONS - GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
2007-08 RECOMMENDED  
(dollars)**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration	4,650,000	1,050,000	646,000	243,000
Licensing Services	9,330,000	9,330,000	1,047,000	1,047,000
Local Government and Community Services	1,649,000	(1,764,400)	78,500	17,500
State Ethics Commission	550,000	(20,000)	38,600	(1,400)
Tug Hill Commission	110,000	0	13,000	0
Total	16,289,000	8,595,600	1,823,100	1,306,100

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration	58,500	(1,500)	3,231,500	201,500
Licensing Services	515,000	515,000	7,467,000	7,467,000
Local Government and Community Services	140,300	73,300	1,047,100	452,100
State Ethics Commission	19,300	(700)	481,500	(17,500)
Tug Hill Commission	8,000	0	87,000	0
Total	741,100	586,100	12,314,100	8,103,100

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration	714,000	607,000	0	0
Licensing Services	301,000	301,000	0	0
Local Government and Community Services	383,100	(543,900)	0	(1,763,400)
State Ethics Commission	10,600	(400)	0	0
Tug Hill Commission	2,000	0	0	0
Total	1,410,700	363,700	0	(1,763,400)

**STATE OPERATIONS - OTHER THAN GENERAL FUND AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
2007-08 RECOMMENDED  
(dollars)**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Lake George Park Commission	1,594,000	(20,000)	664,000	0
Licensing Services	0	(35,703,000)	0	(17,579,000)
Local Government and Community Services	14,598,000	868,000	5,304,000	479,000
Tug Hill Commission	53,000	0	0	0
Total	16,245,000	(34,855,000)	5,968,000	(17,100,000)

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Lake George Park Commission	930,000	(20,000)	0	0
Licensing Services	0	(17,849,000)	0	(275,000)
Local Government and Community Services	8,694,000	389,000	600,000	0
Tug Hill Commission	53,000	0	0	0
Total	9,677,000	(17,480,000)	600,000	(275,000)

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

<u>Fund Type</u>	<u>Available 2006-07</u>	<u>Recommended 2007-08</u>	<u>Change</u>
General Fund	0	550,000	550,000
Special Revenue Funds - Federal	59,200,000	61,400,000	2,200,000
Special Revenue Funds - Other	14,650,000	14,100,000	(550,000)
Total	<u>73,850,000</u>	<u>76,050,000</u>	<u>2,200,000</u>
Adjustments:			
Transfer(s) To			
Interest on Lawyer Account			
General Fund	4,600,911		
Appropriated 2006-07	<u>78,450,911</u>		

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

<u>Program</u>	<u>Available 2006-07</u>	<u>Recommended 2007-08</u>	<u>Change</u>
Licensing Services			
General Fund	0	550,000	550,000
Special Revenue Funds - Other	550,000	0	(550,000)
Local Government and Community Services			
Special Revenue Funds - Federal	59,200,000	61,400,000	2,200,000
Special Revenue Funds - Other	14,100,000	14,100,000	0
Total	<u>73,850,000</u>	<u>76,050,000</u>	<u>2,200,000</u>

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

<u>Comprehensive Construction Program</u>	<u>Available 2006-07</u>	<u>Recommended 2007-08</u>	<u>Change</u>	<u>Reappropriations 2007-08</u>
Local Government and Community Services				
Capital Projects Fund - Authority Bonds	0	0	0	80,000,000
Office of Fire Prevention				
Capital Projects Fund	1,000,000	0	(1,000,000)	2,600,000
Total	<u>1,000,000</u>	<u>0</u>	<u>(1,000,000)</u>	<u>82,600,000</u>