

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.

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- 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	185,776,940	133,813,539	(51,963,401)	137,658,000

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	596	594	(2)

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)

<u>Fund Type</u>	<u>Available 2010-11</u>	<u>Recommended 2011-12</u>	<u>Change</u>
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	77,893,309	66,568,539	(11,324,770)

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

75,351,309

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	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	77,893,309	66,568,539	(11,324,770)

STATE OPERATIONS - GENERAL AND OFFSET FUNDS 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	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	14,665,400	(2,467,600)	14,588,000	(2,459,000)

<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	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	67,500	(7,500)	9,900	(1,100)

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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
Total	5,584,300	(697,700)	722,050	(85,450)

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)
Total	198,920	(27,880)	3,625,940	(472,660)

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
Total	1,037,390	(111,710)

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
Total	46,318,839	(8,159,470)	24,776,573	(2,891,427)

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
Total	21,542,266	(4,231,734)	0	(1,036,309)

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
Total	105,133,631	67,245,000	(37,888,631)

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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>