

# ***EXECUTIVE BUDGET APPENDIX I***

## ***CONTENTS***

### **PART I — THE BUDGET BY FUNCTIONAL AREA**

#### **EDUCATION, LABOR AND FAMILY ASSISTANCE**

Arts, Council on the . . . . .	5
Children and Families, Council on . . . . .	9
City University of New York . . . . .	13
Domestic Violence, Office for the Prevention of . . . . .	19
Education Department, State . . . . .	23
Family Assistance, Department of	
Children and Family Services, Office of . . . . .	41
Temporary and Disability Assistance, Office of . . . . .	51
Higher Education Services Corporation . . . . .	61
Human Rights, Division of . . . . .	69
Labor, Department of . . . . .	73
State University of New York . . . . .	81
State University Construction Fund . . . . .	87
Veterans' Affairs, Division of . . . . .	89
Welfare Inspector General, Office of . . . . .	93
Workers' Compensation Board . . . . .	97

#### **PUBLIC PROTECTION, HEALTH AND MENTAL HYGIENE**

Advocate for Persons with Disabilities, Office of . . . . .	103
Aging, State Office for the . . . . .	107
Capital Defender Office . . . . .	113
Correction, State Commission of . . . . .	117
Correctional Services, Department of . . . . .	121
Crime Victims Board . . . . .	131
Criminal Justice Services, Division of . . . . .	135
Developmental Disabilities Planning Council . . . . .	141
Health, Department of . . . . .	143
Interest on Lawyer Account . . . . .	159
Investigation, Temporary State Commission of . . . . .	163
Judicial Commissions . . . . .	165

PUBLIC PROTECTION, HEALTH AND MENTAL HYGIENE (continued)

Mental Hygiene, Department of .....	169
Alcoholism and Substance Abuse Services, Office of .....	171
Mental Health, Office of .....	177
Mental Retardation and Developmental Disabilities, Office of .....	185
Military and Naval Affairs, Division of .....	195
Motor Vehicles, Department of .....	201
Parole, Division of .....	207
Probation and Correctional Alternatives, Division of .....	213
Quality of Care for the Mentally Disabled, Commission on .....	217
State Police, Division of .....	221

TRANSPORTATION, ECONOMIC DEVELOPMENT AND ENVIRONMENTAL  
CONSERVATION

Agriculture and Markets, Department of .....	229
Economic Development, Department of .....	235
Empire State Development Corporation .....	241
Energy Research and Development Authority .....	245
Environmental Conservation, Department of .....	247
Environmental Facilities Corporation .....	259
Housing and Community Renewal, Division of .....	263
Housing Finance Agency .....	269
Mortgage Agency, State of New York .....	271
Lottery, Division of the .....	275
Metropolitan Transportation Authority .....	279
Olympic Regional Development Authority .....	283
Parks, Recreation and Historic Preservation, Office of .....	287
Public Authorities, New York State .....	293
Public Service, Department of .....	307
Racing and Wagering Board, State .....	311
Science and Technology Foundation .....	315
Thruway Authority .....	317
Transportation, Department of .....	319

GENERAL GOVERNMENT

Adirondack Park Agency .....	329
Alcoholic Beverage Control, Division of .....	333
Audit and Control, Department of .....	337
Banking Department .....	345
Budget, Division of the .....	349
Civil Service, Department of .....	353
Consumer Protection Board .....	359
Elections, State Board of .....	363





# ***PART I***

## ***THE BUDGET BY FUNCTIONAL AREA***



***EDUCATION,  
LABOR AND  
FAMILY ASSISTANCE***



# **COUNCIL ON THE ARTS**

## **MISSION**

The Council on the Arts was established in 1965 to stimulate and encourage the performing and fine arts, expand the State's cultural resources and promote public interest in, and access to, the artistic and cultural heritage of the State.

## **ORGANIZATION AND STAFFING**

The Council on the Arts is headed by a Chair and a Vice Chair and consists of 20 members nominated for five-year terms by the Governor with confirmation by the Senate. The Council's staff, headed by an Executive Director, is organized into an Administrative Division and a Program Division, both in New York City. The latter has expertise in several major artistic disciplines (including dance, theatre and music) and provides advisory services and financial assistance to the arts community of the State.

During 1999-2000, the Council on the Arts will have a workforce of 65 for the review, processing and administration of arts grants and loans to nonprofit organizations.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Most of the Council's funding (96 percent) is provided by the State's General Fund. Federal grants from the National Endowment for the Arts are projected to represent approximately 2 percent of 1999-2000 disbursements. The Council's existing Fiduciary Fund account provides funding for short-term loans to arts organizations for acquisition of expensive musical instruments and for capital improvements. Recommendations for 1999-2000 include creation of a new Fiduciary Fund account to allow the Council to receive and expend funds available through donations and gifts.

Grants to not-for-profit arts organizations represent 86 percent of the projected expenditures of the Council. The remainder is used for the administration of grant programs and the statewide advocacy, promotion and development of artistic and cultural programs.

The 1999-2000 Executive Budget includes:

- Funding of \$41.2 million for arts grants;
- Continuation of the Council's decentralization program that provides funds to local arts councils to promote local decision-making;
- Continuation of funding for the Empire State Partnerships initiative, through which the Council, in collaboration with the State Education Department, encourages the creation of partnerships between cultural organizations and schools; and
- State funding for the continued support of the Empire State Plaza Performing Arts Center Corporation and the New York State Theatre Institute Corporation.

## **PROGRAM HIGHLIGHTS**

Since April 1995, the Council has disbursed over 9,000 grants totaling approximately \$120 million to more than 1,300 cultural organizations. According to a recent study commissioned by the Council, these grants act as catalysts for the State's arts community which boosts the State's economy by an estimated \$13 billion. Grant awards to nonprofit arts organizations are approved through an application process overseen by a special appeals panel which ensures fair and equitable treatment of all applicants. Program audits are also conducted to promote accountability by monitoring program quality and contractual compliance.

# ARTS

The Council receives approximately 3,600 requests for funding each year from organizations throughout the State including symphony orchestras, museums, dance companies, theaters and libraries. To recognize program excellence and promote regional diversity, the Council devotes half of its State grant funding to organizations that have recognized standing in the field, and guarantees that each county receives a minimum base grant tied to its population.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$7,253,000	\$8,628,000	+ \$1,375,000	\$1,153,000
Aid To Localities . . . . .	41,750,000	41,495,000	-255,000	100,000
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$49,003,000</b>	<b>\$50,123,000</b>	<b>+ \$1,120,000</b>	<b>\$1,253,000</b>

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

Program	Available 1998-99	Personal Service (Regular)	1999-00 Recommended Average Fill Level		Change
			Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	56	56	. . . . .	56	. . . . .
Special Revenue Funds — Federal . . . . .	9	9	. . . . .	9	. . . . .
<b>Total . . . . .</b>	<b>65</b>	<b>65</b>	<b>. . . . .</b>	<b>65</b>	<b>. . . . .</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$6,573,000	\$6,948,000	+ \$375,000
Special Revenue Funds — Federal . . . . .	680,000	680,000	. . . . .
Fiduciary Funds . . . . .	. . . . .	1,000,000	+ 1,000,000
<b>Total . . . . .</b>	<b>\$7,253,000</b>	<b>\$8,628,000</b>	<b>+ \$1,375,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$4,720,000	\$4,969,000	+ \$249,000
Special Revenue Funds — Federal . . . . .	680,000	680,000	. . . . .
Fiduciary Funds . . . . .	. . . . .	1,000,000	+ 1,000,000
Empire State Performing Arts Center Corporation			
General Fund . . . . .	550,000	550,000	. . . . .
New York State Theatre Institute			
General Fund . . . . .	1,303,000	1,429,000	+ 126,000
<b>Total . . . . .</b>	<b>\$7,253,000</b>	<b>\$8,628,000</b>	<b>+ \$1,375,000</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,338,000	+ \$162,000	\$3,203,000	+ \$162,000	\$127,000	. . . .
Total . . . . .	<u>\$3,338,000</u>	<u>+ \$162,000</u>	<u>\$3,203,000</u>	<u>+ \$162,000</u>	<u>\$127,000</u>	<u>. . . .</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$8,000	. . . .
Total . . . . .	<u>\$8,000</u>	<u>. . . .</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,631,000	+ \$87,000	\$121,400	. . . .
Empire State Performing Arts Center Corporation . . . . .	550,000	. . . .	. . . .	. . . .
New York State Theatre Institute . . . . .	1,429,000	+ 126,000	. . . .	. . . .
Total . . . . .	<u>\$3,610,000</u>	<u>+ \$213,000</u>	<u>\$121,400</u>	<u>. . . .</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$251,200	. . . .	\$1,167,000	+ \$87,000
Empire State Performing Arts Center Corporation . . . . .	. . . .	. . . .	. . . .	. . . .
New York State Theatre Institute . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$251,200</u>	<u>. . . .</u>	<u>\$1,167,000</u>	<u>+ \$87,000</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$91,400	. . . .	. . . .	. . . .
Empire State Performing Arts Center Corporation . . . . .	. . . .	. . . .	\$550,000	. . . .
New York State Theatre Institute . . . . .	. . . .	. . . .	1,429,000	+ \$126,000
Total . . . . .	<u>\$91,400</u>	<u>. . . .</u>	<u>\$1,979,000</u>	<u>+ \$126,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,680,000	+ \$1,000,000	\$461,400	. . . .
Total . . . . .	<u>\$1,680,000</u>	<u>+ \$1,000,000</u>	<u>\$461,400</u>	<u>. . . .</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$218,600	. . . .	\$1,000,000	+ \$1,000,000
Total . . . . .	<u>\$218,600</u>	<u>. . . .</u>	<u>\$1,000,000</u>	<u>+ \$1,000,000</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$41,300,000	\$41,200,000	-\$100,000
Special Revenue Funds — Federal . . . . .	250,000	95,000	-155,000
Fiduciary Funds . . . . .	200,000	200,000	. . . .
Total . . . . .	<u>\$41,750,000</u>	<u>\$41,495,000</u>	<u>-\$255,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$41,200,000	\$41,200,000	. . . .
Special Revenue Funds — Federal . . . . .	250,000	95,000	-\$155,000
Fiduciary Funds . . . . .	200,000	200,000	. . . .
Other Community Projects			
General Fund . . . . .	100,000	. . . .	-100,000
Total . . . . .	<u>\$41,750,000</u>	<u>\$41,495,000</u>	<u>-\$255,000</u>

# **COUNCIL ON CHILDREN AND FAMILIES**

## **MISSION**

The Council on Children and Families was established in 1977 to develop more coordinated, cost-efficient and effective systems of services among State agencies.

## **ORGANIZATION AND STAFFING**

The Council on Children and Families consists of the commissioners and directors of the State's 13 health, education and human services agencies. Chaired by the Governor's Director of State Operations, the Council provides a neutral forum for resolving interagency issues as well as coordinating cross-agency planning and policy which affects New York's children and families.

The Council is administered by an Executive Director and comprises two bureaus: the Bureau of Interagency Coordination and Case Resolution and the Bureau of Policy Analysis. The Council will have a workforce of 18 in 1999-2000. Fourteen of these positions are supported by State tax dollars from the General Fund and four are supported through federal grants.

## **BUDGET HIGHLIGHTS**

In 1999-2000, the Executive Budget provides \$892,000 in General Fund support for the Council, a decrease of \$18,000 from the prior year. The Budget also includes a Fiduciary Fund appropriation of \$300,000, which reflects the Council's aggressive pursuit of additional grants to better advance its agenda and those of other member agencies.

## **PROGRAM HIGHLIGHTS**

In May 1997, the Commissioners/Directors of the Council's member agencies established a common set of goals, objectives and performance standards to measure the life outcomes of our children. Known as New York State Touchstones, these goals serve as a results-oriented framework for State and local activities on behalf of children and their families. An Executive Level Guidance Team of senior staff from the Council's member agencies oversees Touchstones activities and is responsible for mobilizing actions within agencies to integrate Touchstones within State operations.

The 1998 Touchstones/Kids Count Data Book, produced by the Council and Department of Health in conjunction with Council member agencies, utilizes the Touchstones framework to provide an overview of the status of children and families both statewide and for individual counties. Over the next year, a partnership, consisting of the Council and its member agencies, the Center for Technology in Government, and the College of Human Ecology at Cornell University, will develop an interactive web site to enhance data collection and dissemination and expand both the data available and its usefulness to smaller jurisdictions and communities.

The Council's activities to strengthen families — by focusing on preventive strategies, removing barriers to effective service delivery, and coordinating efforts to facilitate outcomes-based approaches at the local level — include participating in:

- The Task Force on School/Community Collaboration, which facilitates the development of school-based and school-linked partnerships;
- The Task Force on Out-of Wedlock Pregnancies and Poverty which is charged with developing a 10-year plan to reduce teen and out-of-wedlock pregnancies;

## CHILDREN AND FAMILIES

- A statewide initiative to improve policy and practice in juvenile delinquency diversion;
- The New York State Head Start Collaboration Project;
- The AmeriCorps® Family Literacy Grant; and,
- The Family Renaissance Consortium.

The Council also provides expert guidance and direction on policy and program development through participation on the following interagency initiatives and workgroups: Coordinated Children's Services Initiative; Mental Health/Juvenile Justice Project; Adolescent Project Team; School Violence Prevention; NYS Task Force on HIV/AIDS Prevention; Governor's State Incentive Task Force — OASAS Cooperative Agreement; and Megan's Law Task Force.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$1,610,000	\$1,742,000	+ \$132,000	\$256,000
Aid To Localities . . . . .	.....	.....	.....	.....
Capital Projects . . . . .	.....	.....	.....	.....
<b>Total . . . . .</b>	<b>\$1,610,000</b>	<b>\$1,742,000</b>	<b>+ \$132,000</b>	<b>\$256,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level		Total Recommended 1999-00	Change
		Personal Service (Regular)	Maintenance Undistributed		
Administration					
General Fund . . . . .	14	14	.....	14	.....
Special Revenue Funds — Federal . . . . .	2	2	.....	2	.....
Subtotal, Direct Funded Programs . . . . .	16	16	.....	16	.....
Suballocations:					
Special Revenue Funds — Federal . . . . .	2			2	.....
<b>Total . . . . .</b>	<b>18</b>			<b>18</b>	<b>.....</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$910,000	\$892,000	-\$18,000
Special Revenue Funds — Federal . . . . .	500,000	550,000	+ 50,000
Fiduciary Funds . . . . .	200,000	300,000	+ 100,000
<b>Total . . . . .</b>	<b>\$1,610,000</b>	<b>\$1,742,000</b>	<b>+ \$132,000</b>

# CHILDREN AND FAMILIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$910,000	\$892,000	-\$18,000
Special Revenue Funds — Federal . . . . .	500,000	550,000	+ 50,000
Fiduciary Funds . . . . .	200,000	300,000	+ 100,000
Total . . . . .	\$1,610,000	\$1,742,000	+ \$132,000

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration . . . . .	\$820,000	. . . .	\$820,000	. . . .
Total . . . . .	\$820,000	. . . .	\$820,000	. . . .

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$72,000	-\$18,000	\$11,520	-\$2,880
Total . . . . .	\$72,000	-\$18,000	\$11,520	-\$2,880

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$21,760	-\$5,440	\$37,280	-\$9,320
Total . . . . .	\$21,760	-\$5,440	\$37,280	-\$9,320

Program	Equipment	
	Amount	Change
Administration . . . . .	\$1,440	-\$360
Total . . . . .	\$1,440	-\$360

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$850,000	+ \$150,000	\$850,000	+ \$150,000
Total . . . . .	\$850,000	+ \$150,000	\$850,000	+ \$150,000



# **CITY UNIVERSITY OF NEW YORK**

## **MISSION**

The City University of New York (CUNY) is the third-largest public university system in the nation. The City University had its origin in the Free Academy established in 1847 under the auspices of the New York City Board of Education. 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 Law School, and six community colleges. The University is governed by a 17-member Board of Trustees comprised of: ten 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 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 of Trustees.

University operations are governed by fewer of the State government controls that are imposed on other State agencies, reflecting executive and legislative interest in providing enhanced administrative and managerial flexibility to both the City University and the State University.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

New York City's fiscal crisis in the 1970's led to State assumption of full financial responsibility for CUNY's senior college operations, begun on a phased basis in 1979 and completed in 1982. In conjunction with the City of New York, the State also supports CUNY's community colleges.

## **SENIOR COLLEGES**

CUNY senior colleges have two major funding sources: State support and tuition revenue. Additional support is secured from New York City and from various fees. New York City provides support for the costs of associate degree programs at CUNY's senior colleges and a share of the central administration costs attributable to the community colleges. New York City also prefinances CUNY's senior college operating costs; the State subsequently reimburses the City for CUNY's net operating expenses.

For the 1999-2000 academic year, the senior college operating budget will be \$974 million — an amount equal to the 1998-99 amount, as adjusted for the deletion of \$13.4 million in surplus appropriation authority and the transfer of \$5.0 million for New York City Board of Education collaborative programs to school aid. State support for the net operating expenses of the senior colleges will be \$558.5 million, which is also equal to the comparable 1998-99 academic year funding.

The corresponding appropriation for the 1999-2000 fiscal year, which overlaps two academic years, is \$559.8 million. It is used to reimburse New York City for its prefinancing of senior college expenses.

The budget ensures sufficient resources are available to maintain essential academic programs and anticipates continued efforts by the University to improve its overall cost-efficiency. Savings from productivity improvements will be used to offset the cost

of ongoing and new University initiatives. One of the University's primary goals is to increase the number of full-time faculty, in order to reduce reliance on adjunct staff. It is anticipated that the Board of Trustees will continue its policy, begun in 1997, of allocating new faculty positions to individual colleges based on performance measures, such as graduation and retention rates, administrative efficiency, student satisfaction and the level of sponsored research.

The budget continues State support for the University's Language Immersion Program, which offers intensive instruction to students entering college. This program is currently in operation at six of the University's campuses.

Funding is continued for counseling, tutoring, and supplemental financial assistance for economically and educationally disadvantaged students enrolled in CUNY's educational opportunity programs.

### **COMMUNITY COLLEGES**

CUNY community colleges have three basic funding sources: State support, New York City support and tuition revenue. The majority of State funding is for operating aid, including rental costs. Separate appropriations are provided for Child Care and College Discovery, an educational opportunity program for disadvantaged community college students.

Consistent with their important role in ensuring access to public higher education, State aid to CUNY's community colleges is preserved at the enriched levels provided in the 1998-99 academic year. The 1999-2000 academic year budget is predicated on \$2,050 per full-time equivalent (FTE) student in base aid and aidable enrollment of 55,800. Total operating aid, including rental funding, is \$115.4 million for the 1999-2000 academic year. Funding for the Child Care and College Discovery programs is continued at \$1.4 million and \$1 million is again provided for contract courses, workforce development courses and enhanced child care support. Based on a 1999-2000 academic year budget of \$117.8 million, the total appropriation for the 1999-2000 fiscal year, which overlaps two academic years, is \$118.1 million.

### **CAPITAL PROJECTS**

The State finances all CUNY capital project costs for senior colleges, other than Medgar Evers, and shares the capital costs for community colleges and Medgar Evers with the City of New York.

The 1998-99 Budget included CUNY appropriations totaling \$1.0 billion for the Governor's multi-year Capital Investment Program, with language specifying that amounts to be obligated from subsequent reappropriations were to be pursuant to a plan developed by the Governor. Concomitantly, CUNY's bond cap was increased by \$660 million, for a total bonding authorization of \$3.4 billion, to cover CUNY's planned bond sales for the course of the Capital Investment Program.

CUNY's capital reappropriations support the second year of the Governor's multi-year Capital Investment Program which provides for additional facility and infrastructure improvements at City University senior and community colleges, consistent with the University's needs and priorities. The projects to be advanced in 1999-2000 encompass critical health and safety, preservation and handicapped access projects, major renovation of an academic building (Powdermaker Hall) at Queens College and the West Quad at Brooklyn College, and preliminary steps toward a new facility at John Jay College.

**PROGRAM HIGHLIGHTS**

The City University of New York offers degree programs ranging from two-year associate degrees to doctoral degrees. The University's headcount enrollment for Fall 1998 is 198,000 students: 135,000 at the senior colleges and 63,000 at the community colleges.

Among academic offerings and programs, the following programs are of note:

- The College Preparatory Initiative is a system-wide collaboration between the City University and the New York City public schools to improve the academic preparation of high school students. The cooperative effort has enabled CUNY to strengthen its academic prerequisites for admission to the University;
- The Workforce Development Initiative is a University-wide program designed to help meet New York City's current and future labor force needs. The University has been successful in garnering support from the private sector to supplement its State funding for this program;
- The New York City Alliance for Minority Participation is a consortium of 16 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.
- Approximately 80 research institutes and centers are located throughout the University. Notable examples include the Levich Institute for Physico-Chemical Hydrodynamics at City College; the Institute for Biomolecular Structure and Function at Hunter College; and the Center for Cellular and Molecular Biology at Queens College. University-wide research activities have been enhanced by the Applied Science Coordinating Institute.

The CUNY Board of Trustees has advanced a series of significant actions to improve academic program quality and strengthen the planning and management functions of the University. These actions include: approving a new remedial education policy; encouraging campuses to use flexibility to set higher standards; reducing time to program completion; and reallocating resources through program consolidation.

The City University has also initiated a Language Immersion Program 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. Upon completion of this program, students begin their collegiate studies at the campus to which they have been admitted. During 1998-99, the program is operating at six sites. In its brief history, more than 4,000 students have enhanced their preparation for full collegiate matriculation through the Language Immersion Program.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$1,034,388,000	\$1,029,000,000	-\$5,388,000	. . . . .
Aid To Localities . . . . .	694,058,331	689,964,000	-4,094,331	. . . . .
Capital Projects . . . . .	1,036,900,000	. . . . .	-1,036,900,000	\$1,091,528,000
Total . . . . .	<u>\$2,765,346,331</u>	<u>\$1,718,964,000</u>	<u>-\$1,046,382,331</u>	<u>\$1,091,528,000</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Other . . . . .	\$42,000,000	\$55,000,000	+ \$13,000,000
Fiduciary Funds . . . . .	992,388,000	974,000,000	-18,388,000
Total . . . . .	<u>\$1,034,388,000</u>	<u>\$1,029,000,000</u>	<u>-\$5,388,000</u>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$694,058,331	\$689,964,000	-\$4,094,331
Total . . . . .	\$694,058,331	<u>\$689,964,000</u>	<u>-\$4,094,331</u>
Adjustments:			
Recommended Deficiency			
General Fund . . . . .	<u>-6,345,000</u>		
Appropriated 1998-99 . . . . .	<u>\$687,713,331</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Institutional Support Services			
General Fund . . . . .	\$562,904,000	\$559,817,000	-\$3,087,000
Community College Programs			
General Fund . . . . .	121,109,000	118,147,000	-2,962,000
Senior College Pension Payments			
General Fund . . . . .	10,000,000	12,000,000	+ 2,000,000
Other Community Projects			
General Fund . . . . .	<u>45,331</u>	<u>. . . .</u>	<u>-45,331</u>
Total . . . . .	<u>\$694,058,331</u>	<u>\$689,964,000</u>	<u>-\$4,094,331</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Senior Colleges				
General Maintenance and Improvements				
Capital Projects Fund . . . . .	\$20,000,000	. . . .	-\$20,000,000	\$69,410,000
Capital Projects Fund - Advances . . . . .	512,600,000	. . . .	-512,600,000	516,637,000
Program Changes, Expansion and Improvements				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	11,222,000
Preservation of Facilities				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	825,000
New Facilities				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	97,000
Capital Projects Fund - Advances . . . . .	389,600,000	. . . .	-389,600,000	352,300,000
City University of New York Capital Projects Fund - 388				
City University of New York Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	4,070,000
Subtotal . . . . .	<u>\$922,200,000</u>	<u>. . . .</u>	<u>-\$922,200,000</u>	<u>\$954,561,000</u>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund . . . . .	5,000,000	. . . .	-5,000,000	15,742,000
Capital Projects Fund - Advances . . . . .	109,700,000	. . . .	-109,700,000	116,609,000
Program Changes, Expansion and Improvements				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	1,657,000
Capital Projects Fund - Advances . . . . .	. . . .	. . . .	. . . .	2,800,000
New Facilities				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	159,000
Subtotal . . . . .	<u>\$114,700,000</u>	<u>. . . .</u>	<u>-\$114,700,000</u>	<u>\$136,967,000</u>
Total . . . . .	<u>\$1,036,900,000</u>	<u>. . . .</u>	<u>-\$1,036,900,000</u>	<u>\$1,091,528,000</u>



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

## ***MISSION***

The Office for the Prevention of Domestic Violence develops State-wide policies to protect victims of domestic violence and conducts domestic violence prevention training for judges, prosecutors, police, social workers and health care providers.

## ***ORGANIZATION AND STAFFING***

The Office, headed by an Executive Director appointed by the Governor, has its central office in the Capital District and one field office in New York City. The Office will have a workforce of 38 persons in 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Executive Budget increases support for the Office's policy development and training programs. During 1999-2000, the Office will:

- Provide information and training for police agencies, judges, prosecutors and hospital personnel to implement the Family Protection and Domestic Violence Intervention Act.
- Conduct a Statewide public education campaign reinforcing the message that domestic violence will not be tolerated in New York State.
- Increases funding for the English and Spanish domestic violence statewide hotlines and continues funding for five community-based education programs for perpetrators of domestic violence.
- Implement a school-based domestic violence prevention program that will educate school aged children about building relationships based on equality and respect.

The All Funds appropriation for the Office will be \$2,207,000 in SFY 1999-2000 reflecting funds required to carry out the above listed domestic violence prevention activities.

## ***PROGRAM HIGHLIGHTS***

The Office works to improve the response of various State and local public agencies to families affected by domestic violence. In cooperation with other agencies, the Office develops domestic violence policies and provides training and information about domestic violence to judges, prosecutors, police, social services professionals and health care providers. These programs clarify each group's professional and legal responsibility to promote the safety of victims of domestic violence and to hold offenders accountable for their actions. Each training program provides an in-depth examination of the nature and dynamics of domestic violence.

The Office also serves as a clearinghouse for information about domestic violence, receiving more than 6,000 calls a year from social service and health care agencies, police departments, domestic violence shelters, local violence prevention programs and domestic violence victims.

Over the past several years, the Office's accomplishments have included development of model county and State domestic violence prevention policies which will guide the response to victims and perpetrators of domestic violence in all county and State agencies. Additionally, as a result of the 1997 Welfare Reform legislation, the Office will continue to work with the Office of Temporary and Disability Assistance and Office of Children and

# **PREVENTION OF DOMESTIC VIOLENCE**

Family Services to develop procedures for notifying public assistance applicants and recipients about the availability of domestic violence protection and services, and to provide training to social services personnel to recognize the presence of domestic violence.

## **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$1,713,000	\$1,652,000	-\$61,000	\$200,000
Aid To Localities . . . . .	555,000	555,000	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$2,268,000</b>	<b>\$2,207,000</b>	<b>-\$61,000</b>	<b>\$200,000</b>

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

<u>Program</u>	<u>Available 1998-99</u>	1999-00 Recommended Average Fill Level			<u>Change</u>
		<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	
Administration					
General Fund . . . . .	22	. . . .	22	22	. . . .
Subtotal, Direct Funded Programs . . . . .	22	. . . .	22	22	. . . .
Suballocations:					
General Fund . . . . .	2			2	. . . .
Special Revenue Funds — Federal . . . . .	8			14	+ 6
<b>Total . . . . .</b>	<b>32</b>			<b>38</b>	<b>+ 6</b>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$1,543,000	\$1,482,000	-\$61,000
Special Revenue Funds — Federal . . . . .	100,000	100,000	. . . .
Special Revenue Funds — Other . . . . .	20,000	20,000	. . . .
Fiduciary Funds . . . . .	50,000	50,000	. . . .
<b>Total . . . . .</b>	<b>\$1,713,000</b>	<b>\$1,652,000</b>	<b>-\$61,000</b>

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
General Fund . . . . .	\$1,543,000	\$1,482,000	-\$61,000
Special Revenue Funds — Federal . . . . .	100,000	100,000	. . . .
Special Revenue Funds — Other . . . . .	20,000	20,000	. . . .
Fiduciary Funds . . . . .	50,000	50,000	. . . .
<b>Total . . . . .</b>	<b>\$1,713,000</b>	<b>\$1,652,000</b>	<b>-\$61,000</b>

# **PREVENTION OF DOMESTIC VIOLENCE**

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u> <u>Change</u>	<u>Maintenance</u> <u>Amount</u>	<u>Undistributed</u> <u>Change</u>
Administration . . . . .	\$1,482,000	-\$61,000	\$1,482,000	-\$61,000
Total . . . . .	<u>\$1,482,000</u>	<u>-\$61,000</u>	<u>\$1,482,000</u>	<u>-\$61,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u> <u>Change</u>	<u>Maintenance</u> <u>Amount</u>	<u>Undistributed</u> <u>Change</u>
Administration . . . . .	\$170,000	. . . .	\$170,000	. . . .
Total . . . . .	<u>\$170,000</u>	<u>. . . .</u>	<u>\$170,000</u>	<u>. . . .</u>

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

<u>Fund Type</u>	<u>Available</u> <u>1998-99</u>	<u>Recommended</u> <u>1999-00</u>	<u>Change</u>
General Fund . . . . .	\$555,000	\$555,000	. . . .
Total . . . . .	<u>\$555,000</u>	<u>\$555,000</u>	<u>. . . .</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available</u> <u>1998-99</u>	<u>Recommended</u> <u>1999-00</u>	<u>Change</u>
Administration General Fund . . . . .	\$555,000	\$555,000	. . . .
Total . . . . .	<u>\$555,000</u>	<u>\$555,000</u>	<u>. . . .</u>

## ***PREVENTION OF DOMESTIC VIOLENCE***

---

# ***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 AND STAFFING***

Oversight of the Department is provided by the Board of Regents, which was originally established by the Legislature in 1784 and subsequently continued in the State Constitution. The Board of Regents is comprised of 16 members — one for each of the State's 12 judicial districts and four statewide members — who are elected by a joint session of the Legislature for staggered five-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.

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

The Department's workforce in 1999-2000 will total 3,117 positions, of which approximately 24 percent will be supported by the General Fund. Various dedicated fees and charges and Federal grants will support the remaining staff.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 1999-2000, total funding for the State Education Department will increase by nearly \$1.2 billion or 7.7 percent. This year to year change is largely due to an increase of \$683 million for the STAR program, \$294 million in increased school aid and \$249 million in new Federal funding for such activities as class size reduction, charter schools and services for persons with disabilities.

The taxpayer-supported General Fund provides about 19 percent of SED's operational budget. Federal grants, including programs for the education of individuals with disabilities and disadvantaged pupils account for nearly 51 percent of agency resources. The remainder (30 percent) is derived from fees, charge-backs and other miscellaneous receipts.

The 1999-2000 Executive Budget recommends \$11,718 million in support for public schools, reflecting a State fiscal year increase of \$294 million in school aid, and \$1,387 million for school property tax relief through STAR, reflecting an increase of \$683 million. School aid represents the single largest expenditure item in the State's 1999-2000 General Fund budget.

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

The School Tax Relief (STAR) program was enacted in 1997-98 as a multi-year effort to provide needed property tax relief while promoting educational excellence and accountability.

## ***School Property Tax Relief and New York City School Tax Reduction***

By the 2001-02 State fiscal year, local taxpayers will benefit from \$2.7 billion in annual school tax relief provided through STAR. In 1999-2000, local taxpayer savings will exceed

\$1.2 billion, including funds for continuing the full exemption for eligible senior citizens and the first year of STAR exemptions for other homeowners. School districts and cities with dependent school districts, including New York City, will be fully reimbursed by the State of New York for these foregone local revenues. A portion of the State personal income tax will be dedicated to the School Tax Relief Fund from which the State reimbursement payments will be made. The school tax relief provisions include:

- **Basic Homestead Exemption:** In 1999-2000, the basic school property tax homestead exemption will begin at \$10,000 for residential owner-occupied primary residences that are not eligible for the enhanced senior citizen exemption. When fully implemented in 2001-02, the basic exemption will provide a school property tax exemption of at least \$30,000 for all owner-occupied primary residences.
- **Senior Citizen Homestead Exemption:** The school property tax exemption of at least \$50,000 (on a "full value" basis) is continued for eligible senior citizens;
- **New York City School Tax Reduction:** The multi-year STAR program provides local personal income tax relief for taxpayers in New York City, where a combination of non-property taxes and property taxes is used to support the City's public schools. In the 1999 tax year, this tax reduction will generate \$217 million in local personal income tax savings. This represents both a tax credit and a rate reduction for all New York City resident personal income taxpayers. When fully implemented in 2001, savings from the New York City School Tax Reduction will total \$470 million. The City of New York will be fully reimbursed by the State for these foregone local revenues; and
- **Property Taxpayers Bill of Rights:** Enacted in 1997, this new Bill of Rights ensures the full disclosure of information to property taxpayers in a more readable and comprehensive format than was previously available. This will enable taxpayers to better understand their property taxes and their rights under the law.

### ***Limiting School Property Tax Increases***

To ensure that STAR results in property tax savings to homeowners, and that STAR benefits are not eroded by excessive tax increases, limits will be placed on the amount by which school districts may increase property taxes. School districts will be subject to a levy increase cap if two-year average spending increases exceed the lesser of 4 percent (per year) or 140 percent of the increase in the Consumer Price Index. In such districts, tax levy increases would be limited to the lesser of 4 percent or 120 percent of the increase in the Consumer Price Index.

In school districts subject to the levy cap for the next budget year, the affirmative vote of a majority of those voting on the specific question of allowing the district to exceed the levy cap in the next school year would exempt the district from levy increase limits for that next year, provided that at least 50 percent of those eligible to vote do so. Should voter turnout be below 50 percent, a two-thirds majority would be required to exceed the levy cap.

The same exceptions as currently allowed in calculating the maximum contingency budget would be allowed in calculating both spending increases and allowable tax levy increases. Expenditures for, or tax levy increases directly attributable to, increases in enrollment, capital projects, certified emergencies, court orders, judgments and tax certiorari proceedings would be excluded from the cap.

### ***Local Voter Empowerment***

The STAR program enacted in 1997 included a series of school budget voting reforms that give local voters a greater role in education spending decisions and in controlling

property tax growth. In 1999-2000, additional reforms will be advanced to increase local accountability by insuring that taxpayers are fully informed prior to school budget votes.

- **Contingency Budget Disclosure:** A school district will be required to demonstrate to voters how a proposed budget would compare (in total and by categories currently required for disclosure — administrative, program and capital components) to the capped contingency budget that would be put in place by statute if the voters were to defeat the proposed budget on two successive votes.
- **Property Tax "Report Card":** Schools will be required to report proposed property tax increases, spending growth and estimated enrollment changes to the State Department of Education prior to the statewide school voting day. A property tax report card will then be compiled and released to the public before school budget votes are held.

### ***Educational Reforms***

Governor Pataki's 1999-2000 Budget includes a range of additional education reforms giving taxpayers and school districts greater control over the cost and quality of public education:

- **Charter Schools:** In 1999-2000, New York will join 33 other states and the District of Columbia in establishing charter schools. One of the most significant education reforms in State history, charter schools will strengthen public education by creating innovative school alternatives that give parents a real educational choice and provide an incentive for all schools to improve. The 1999-2000 Budget includes a \$1 million State contribution to the Charter School Stimulus Fund. This funding, combined with new Federal moneys and private sector support, will be used to fund planning grants, facility costs and other expenses necessary to begin opening charter schools during the 1999-2000 school year. In addition, the Department's budget includes \$275,000 for implementation activities related to charter schools.
- **Public School Choice:** In addition to expanded school choice provided through charter schools, parents of children in chronically low performing schools will be given the opportunity to send their children to other public schools within the same school district.
- **"Literacy First" Summer School for 4<sup>th</sup> Graders:** As part of a new Literacy First initiative, summer school programs will be created to provide intensive remediation services to ensure our young learners have a solid foundation in the reading and writing skills required for academic success. Beginning in the summer of 2000, the State will provide 80 percent funding for school districts that choose to provide six-week summer remediation programs for fourth graders who fail to meet the proficiency requirements of the Regents English Language Arts test. In 2000-01, \$30.0 million will be recommended to fund this initiative.
- **English Immersion:** State funding will also be provided under the Literacy First initiative to support summer programs for children in grades K-2 who have limited English skills. In 2000-01, \$10.0 million will be recommended to fund this initiative.
- **Principal Tenure Reform:** To enhance the ability of school boards to hold school management accountable for educational performance, legislation will be introduced to eliminate tenure for principals and assistant principals.
- **Mandate Relief:** School districts will be provided greater flexibility in managing their operations, including Wicks reform to allow school districts to reduce construction costs. In addition, legislation proposed with this Budget will restrict the Board of Regents from unilaterally issuing rules and regulations which would result in additional costs to school districts.

### SCHOOL AID

State support for public schools in the 1999-2000 State fiscal year will total \$11,718 million. This represents a 1999-2000 fiscal year increase of \$294 million, and supports a 1999-2000 school year increase of \$154.0 million. Since 1997-98, the State will have provided an additional \$1.64 billion in State aid to public schools to enhance educational quality for all students. This increase, together with STAR property tax relief, is responsible for raising the State's share of total education spending from 39.3 percent in 1996-97 to 45.3 percent in 1999-2000.

Major recommendations for the 1999-2000 school year include:

- **Operating Aid:** To help support the cost of operating local schools, all school districts will receive an operating aid increase of at least 1.25 percent. School districts experiencing enrollment growth will receive additional State operating aid up to a maximum of 3.0 percent. As a result of this increase, operating aid will grow by \$124.2 million with 1999-2000 school year.
- **Extraordinary Needs Aid:** A \$12.8 million increase in this aid category is provided to help school districts meet the needs of disadvantaged students.
- **Building Aid:** There will be a net increase of \$120 million in State support for school facilities as school districts begin benefiting from building aid enrichments effective in the 1998-99 school year. To increase equity and target funding to high need school districts, the building aid formula will be reformed to eliminate save harmless provisions for all new building aid projects approved by local voters after July 1, 1999. In addition, a new School Facilities Development Unit within the State Dormitory Authority will be created to provide school districts with lower borrowing and construction costs as well as relief from Wicks Law requirements. Other school facility reforms will provide greater incentives to maintain school facilities and give the Commissioner of Education broader authority to close unsafe schools.
- **Educational Improvement Block Grant:** The 1999-2000 Executive Budget features a new \$200 million block grant that gives school districts the flexibility to determine, at the local level, the specific initiatives necessary to improve educational performance and help students meet higher standards. In place of a myriad of categorical programs with detailed program requirements, school districts will be able to direct additional funding to priority local needs including pre-kindergarten programs, class size reduction, minor maintenance as well as program enhancements to help students meet the Regents new standards.
- **Textbook and Computer Aids:** An additional \$18.6 million is provided to further increase textbook aid, while \$5.5 million in additional funding will support increases in computer hardware/software aid. By 2001-02, textbook aid will more than double from its 1997-98 level and hardware/software aid will experience a five-fold increase.
- **BOCES Reform:** The current BOCES aid formula has given the BOCES a monopoly on shared services activity that discourages school district efforts to seek true cost efficiencies. Following a 25 percent reduction from present law funding levels in 1999-2000, BOCES aid will be consolidated within the regular operating aid formula in the 2000-01 school year.
- **Categorical Aids:** Over \$146 million is eliminated in the 1999-2000 school year for a number of categorical aid categories that duplicate formula-driven aid categories or that are eligible for support under the new Educational Improvement Block Grant. In addition, funding for aid to small cities is reduced by \$6.0 million, consistent with a statutory phase-out of save harmless funding.

**SPECIAL EDUCATION**

**School-Age Special Education**

The reauthorization of the Federal Individuals with Disabilities Education Act (IDEA) has reinforced the importance of educating students with special needs in classrooms with their non-disabled peers whenever possible. This Federal law requires states like New York to restructure special education funding formulas that encourage placements in restrictive special education settings.

Beginning in 2000-01, the existing special education formula will be revised to eliminate the current incentive to place disabled children in restrictive settings and will instead distribute available funding based on a school district's share of overall State enrollment and the number of children from disadvantaged households. These changes would allow more flexibility in providing placement options for children and would promote the use of prevention services to avoid inappropriate referrals to special education. In 1999-2000, school district special education funding would be continued at 1998-99 levels, thereby giving school districts an opportunity to make necessary adjustments before the new formula takes effect in 2000-01.

The reformed special education funding formula will also be used to reimburse the cost of summer programs for school-age children beginning in 2000-01. As a result, local cost sharing responsibilities for summer programs will be transferred from counties to school districts.

**Preschool Special Education**

In 1996-97, the Governor and Legislature enacted fundamental reforms in the preschool special education program to better meet the needs of over 60,000 disabled children, while also controlling rapidly growing program costs. The 1999-2000 Executive Budget continues this preschool reform agenda by eliminating potential conflicts of interest that can occur when program providers also serve as evaluators.

School districts will assume responsibility for conducting preschool special education evaluations, consistent with current practice for school age disabled children. The cost of evaluations performed by school districts will continue to be borne by the State and counties. However, school districts that contract with providers for evaluations would be expected to assume the local share of such costs.

The 1999-2000 recommended level of \$536 million, an increase of \$26 million over 1998-99, will support the State's 59.5 percent share of preschool special education program costs.

**ELEMENTARY, MIDDLE AND SECONDARY EDUCATION PROGRAMS**

The State currently supports seventeen categorical education programs intended to address various special needs of schools and communities across the State. In the coming year, these programs will be continued at 1998-99 funding levels.

**Elementary, Middle and Secondary Categorical Programs  
1999-2000 State Fiscal Year**

<u>Program</u>	<u>1999-2000 Appropriation</u>
Adult Basic Education . . . . .	5,000
Adult Literacy Education . . . . .	3,325
AIDS Education . . . . .	990

## **EDUCATION**

---

<u>Program</u>	<u>1999-2000 Appropriation</u>
Apprenticeship Training .....	1,830
Workplace Literacy .....	1,376
Comprehensive School Health .....	525
Extended Day/School Violence .....	15,200
Missing Children Prevention Education .....	900
Parenting Education .....	506
Primary Mental Health Project .....	570
School Health Demonstration .....	150
Schools as Community Sites .....	6,000
Effective Schools .....	1,889
Transferring Success .....	630
Youth-at-Risk .....	5,325
Professional Development .....	1,500
Irish Potato Famine Curriculum .....	<u>100</u>
<b>TOTAL</b> .....	\$45,816

In 1999-2000, \$1 million will be provided for a new Technology Training Partnership initiative that will provide pilot program funding for joint efforts by school districts and the private sector to provide teachers with the training necessary to integrate computers and other educational technology into the classroom.

For the 1999-2000 school year, \$5.2 million is provided to support collaborative educational programs in New York City which were formerly funded through the City University of New York (CUNY). These programs are partnerships between the New York City Board of Education and CUNY to provide unique educational opportunities for high school students.

Funding for Teacher Resource and Computer Training Centers will be limited to remaining obligations totaling \$10.0 million for the 1998-99 school year. Experimental prekindergarten program funding is recommended at \$50.2 million and will preserve services at 1998-99 levels.

### **HIGHER EDUCATION PROGRAM**

To permit the State Education Department to focus on its primary mission of overseeing elementary and secondary education, the administration of higher education programs will be transferred and consolidated within the Higher Education Services Corporation. In addition, statutory changes are proposed to devolve the primary decision-making responsibilities for higher education to the institutions themselves. Reviews of program quality by national and regional accreditation bodies and professional associations would replace centralized State oversight.

### **OTHER PROGRAMS**

Budget recommendations for 1999-2000 will continue to provide \$88.5 million in Library Aid; maintain \$13.8 million in Aid for Public Broadcasting; and continue General Fund support for the High School Equivalency exam and summer enrichment programs in arts, science and mathematics. In addition, State support for vocational rehabilitation case services, independent living centers, and supported employment will be continued at prior funding levels.

**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.

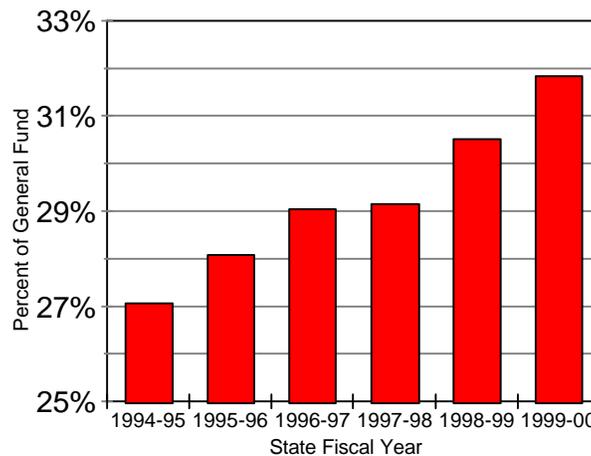
**SCHOOL AID**

New York currently provides \$11.8 billion in school aid to nearly 700 school districts throughout the State for educational programs serving nearly 2.9 million students. State school aid increases and property tax relief provided in the 1999-2000 Executive Budget will increase total State spending on public education in grades kindergarten through twelve to \$13.1 billion in the school year. This major investment will increase the State's share of projected total education spending from 39.3 percent in 1996-97 to 45.3 percent in 1999-2000. As a percentage of State General Fund spending, support for education has grown from 27 percent in 1994-95 to nearly 32 percent in 1999-2000.

School aid is distributed to school districts through formula-based aids and categorical grants. The major formula-based aids include:

- Operating Aid, which provides support for general operational costs of school programs and accounts for approximately 50 percent of overall school aid;
- Excess Cost Aid, which helps school districts fund the cost of providing educational services to disabled students. This aid category has grown more than 180 percent over the past 10 years and now represents almost 14.5 percent of overall school aid;
- Transportation Aid and Building Aid, which provide support to school districts for student transportation and the construction and preservation of school facilities. These two aid categories account for approximately 15 percent of overall school aid; and
- State assistance is also provided through specialized aid and grant programs that address specific educational needs, ranging from textbooks to adult education programs. Notable program recommendations for 1999-2000 include \$135.0 million in grants for magnet school programs in 18 cities throughout the State and \$96.2 million to support literacy services for 150,000 adults enrolled in the Employment Preparation Education program.

**State Support for Education**  
Share of General Fund Spending



**School Tax Relief (STAR)**

When fully implemented in 2001-2002, New York's taxpayers will benefit from a total of \$2.7 billion in STAR tax savings from School Property Tax Relief and the New York City School Tax Reduction. School districts and cities with dependent school districts,

## **EDUCATION**

---

including the City of New York, will be fully reimbursed by the State for these foregone local revenues. The State's reimbursement payments will be made from the School Tax Relief Fund to which a portion of the personal income tax is dedicated.

### *School Property Tax Relief*

- In 1999-2000, approximately 770,000 senior homeowners will be eligible to receive an enhanced exemption of at least \$50,000 (on a "full value" basis) with a statewide average benefit exceeding \$800. To be eligible, senior citizen residential property owners must be at least 65 years of age and have incomes of \$60,000 or less (combined incomes of the owners and their spouses who reside on the premises). A new, more simple definition of senior citizen income using federal Adjusted Gross Income will be utilized in 1999 to determine eligibility for the STAR program;
- In 1999-2000, the school property tax exemption will begin for owner-occupied primary residences that are not eligible for the senior citizen enhanced exemption. Nearly 3 million homeowners will be eligible to receive a full value equivalent homestead exemption of at least \$10,000. When fully implemented in 2001-2002, these residential property taxpayers will receive a full value equivalent exemption of at least \$30,000, with an average statewide tax savings of approximately \$600.
- The exemptions provided to homeowners (seniors and non-seniors alike) living in a county whose median home sale price exceeds the statewide median will be adjusted upward to account for the variation in property values for similar homes in different regions of the State.

### *New York City School Tax Reduction*

- In the 1999 tax year, all of New York City's nearly 3 million resident personal income taxpayers will receive a flat refundable credit and a rate reduction. Total local taxpayer savings in 1999-2000 will be \$217 million.
- In subsequent years, the credit will increase for non-senior citizens and the tax rates will be reduced to provide even greater savings to New York City taxpayers. When fully implemented in 2001, the personal income tax credit and changes in the tax rates will reduce the New York City personal income tax by about 10 percent.

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

New York provides a full spectrum of special educational services for more than 400,000 students from ages 3 to 21. These services range from in-home speech therapy for preschool children to placement in full-time residential schools for school-age children with the most severe disabling conditions. The costs of the preschool special education program are split between the State and county governments. The network of service providers includes school districts, Boards of Cooperative Educational Services (BOCES), private not-for-profit schools and State-operated facilities.

With special education State funding provided within school aid, school districts and BOCES serve 380,000 school-age children in classroom settings. An additional 9,600 students who require particularly intensive programs are served by 140 private schools, 16 Special Act School Districts and 11 State-supported schools for blind and deaf students.

Two State-operated schools provide specialized services for blind and deaf students with multiple disabilities. The New York State School for the Blind in Batavia serves approximately 70 blind and multiply-disabled students including 16 developmentally disabled students served in an Intermediate Care Facility operated by the school. The New York State School for the Deaf in Rome serves approximately 100 deaf and multiply-disabled students.

**ELEMENTARY, MIDDLE AND SECONDARY EDUCATION 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 Lunch and Breakfast Program:** State funds supplement federal support to provide free and reduced-price meals for low-income students. Approximately 1.7 million lunches and 440,000 breakfasts are served daily under this program;
- **Summer Food Program:** State funds supplement federal support to provide free meals for low-income students participating in summer recreation programs. There are approximately 300 sponsors of summer programs serving almost 340,000 students;
- **Experimental Prekindergarten Programs:** In addition, New York State will continue funding for more than 20,000 disadvantaged three- and four-year old children enrolled in existing State-funded experimental prekindergarten programs. These programs are provided by some 100 school districts and BOCES, and are designed to provide disadvantaged children with a sound educational foundation for future success; and
- **Nonpublic School Aid:** The State reimburses 1,326 nonpublic schools for costs incurred in administering pupil evaluations and other data collection efforts.

**CULTURAL EDUCATION**

Cultural Education programs administered by the 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 agency 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 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 a regional Records Center at the Harriman State Office Campus in Albany.

**REGULATION OF THE PROFESSIONS**

The Office of the Professions licenses and regulates 38 professions pursuant to Title VIII of the Education Law which include: Nursing, Optometry, Dentistry, Pharmacy, Veterinary Medicine, Social Work, Architecture, Civil Engineering and Public Accountancy. The Office is also responsible for enforcing standards of practice, codes of conduct and professional discipline. Its main purpose is to protect the public by ensuring the quality and integrity of the services provided to consumers. This program became self-supporting in 1987 through the collection of fees and fines.

## ***EDUCATION***

---

The Office also operates the Foreign Medical School Evaluation Program that provides program reviews to foreign institutions to determine whether they meet New York State's standards. This program is fully supported by fees received from the foreign institutions requesting review.

### ***VOCATIONAL REHABILITATION***

The Vocational and Educational Services for Individuals with Disabilities (VESID) program provides job training, counseling and placement services for disabled persons throughout New York. Using its network of 15 district offices across the State, VESID provides vocational rehabilitation services to disabled clients tailored to their individual goals, capabilities and needs. This program arranges job placements for over 15,000 individuals annually from an active caseload of 57,000.

Program	School Aid (Millions)			
	School Year Payments			
	Estimated 1998-99	Recommended 1999-00	Change Amount	Change Percent
<b>Formula-based Aids:</b>				
Core Operating Aid	\$6,128.62	\$6,252.83	\$124.21	2.03
Extraordinary Needs	653.20	665.96	12.76	1.95
Limited English Proficiency	58.56	58.22	(0.34)	(0.58)
Gifted & Talented	13.88	13.88	.....	.....
Textbooks	132.72	151.33	18.61	14.02
Computer Hardware	17.06	18.14	1.08	6.33
Computer Software	14.11	18.50	4.39	31.11
Library Materials	12.71	13.09	0.38	2.99
ERSSA	60.17	60.71	0.54	0.90
Excess Cost - Public	1,576.33	1,576.33	.....	.....
Excess Cost - Private	124.42	129.03	4.61	3.71
Transportation	755.68	795.24	39.56	5.24
Building	850.09	980.32	130.23	15.32
Special Services: (Career Ed./Computer Admin.)	143.63	143.00	(0.63)	(0.44)
Reorganization Incentive (Operating + Bldg.)	43.29	42.92	(0.37)	(0.85)
Growth Aid	31.10	14.53	(16.57)	(53.28)
BOCES	390.59	310.33	(80.26)	(20.55)
Operating Standards	81.91	81.91	.....	.....
Educational Improvement Aid	0.00	200.00	200.00	NA
<b>Subtotal Formula-based Aids</b>	<b>\$11,088.07</b>	<b>\$11,526.28</b>	<b>\$438.21</b>	<b>3.95</b>
<b>Other Aids:</b>				
Full-Day K	12.93	0.00	(12.93)	(100.00)
Pre-Kindergarten Expansion	58.88	0.00	(58.88)	(100.00)
Minor Maintenance	49.97	0.00	(49.97)	(100.00)
Shared Services for Big 5	3.50	0.00	(3.50)	(100.00)
Education Technology Incentive	9.00	9.00	.....	.....
Employment Preparation Education (EPE)	96.18	96.18	.....	.....
Aid to Small City School Districts	81.88	75.84	(6.04)	(7.38)
Urban-Suburban Transfer	1.13	1.13	.....	.....
Homeless Pupils	4.00	4.00	.....	.....
Incarcerated Youth	10.50	10.50	.....	.....
Reorganization Study Grants	1.28	0.00	(1.28)	(100.00)
Bilingual	11.20	0.00	(11.20)	(100.00)
Categorical Reading	63.95	0.00	(63.95)	(100.00)
Improving Pupil Performance	66.35	0.00	(66.35)	(100.00)
Fort Drum	2.63	2.63	.....	.....
Comptroller's Audits	0.25	0.25	.....	.....
Magnet Schools	134.67	134.97	0.30	0.22
Education of OMH/OMR Pupils	22.00	20.00	(2.00)	(9.09)
CIMS	2.50	0.00	(2.50)	(100.00)
AI/DP Grants	0.95	0.00	(0.95)	(100.00)
Special School Districts	1.70	1.70	.....	.....
Chargebacks	(18.00)	(18.00)	.....	.....
CVEEB	0.91	0.91	.....	.....
Building Aid Reform	0.00	(10.00)	(10.00)	NA
BOCES Aid for Special Act Districts	0.66	0.50	(0.16)	(24.24)
Tuition Adjustment	1.18	1.18	.....	.....
Native American Building	1.70	1.70	.....	.....
Learning Technology Grants	3.29	3.29	.....	.....
Shared Services Incentive	0.20	0.20	.....	.....
Bus Driver Safety	0.40	0.40	.....	.....
New York City Collaborative Programs	0.00	5.20	5.20	NA
Prior Year Adjustments	40.00	40.00	.....	.....
<b>Grand Total</b>	<b>\$11,753.86</b>	<b>\$11,907.86</b>	<b>\$154.00</b>	<b>1.31</b>

# EDUCATION

## ALL FUNDS APPROPRIATIONS

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$294,740,600	\$303,634,800	+ \$8,894,200	\$151,006,700
Aid To Localities . . . . .	15,059,780,937	16,247,026,300	+ 1,187,245,363	1,983,636,475
Capital Projects . . . . .	13,150,000	909,000	-12,241,000	45,551,000
<b>Total . . . . .</b>	<b>\$15,367,671,537</b>	<b>\$16,551,570,100</b>	<b>+ \$1,183,898,563</b>	<b>\$2,180,194,175</b>

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

1999-00 Recommended Average Fill Level

Program	Available	Personal	Maintenance	Total	Change
	1998-99	Service (Regular)	Undistributed	Recommended 1999-00	
Office of Management Services Program					
General Fund . . . . .	207	194	....	194	-13
Special Revenue Funds — Other . . . . .	130	136	....	136	+ 6
School for the Blind					
Special Revenue Funds — Other . . . . .	89	89	....	89	....
School for the Deaf					
Special Revenue Funds — Other . . . . .	90	90	....	90	....
Elementary, Middle and Secondary Education					
General Fund . . . . .	247	241	5	246	-1
Special Revenue Funds — Federal . . . . .	400	400	....	400	....
Higher Education					
General Fund . . . . .	33	....	15	15	-18
Special Revenue Funds — Federal . . . . .	28	28	....	28	....
Special Revenue Funds — Other . . . . .	74	74	....	74	....
Office of the Professions					
Special Revenue Funds — Other . . . . .	407	407	....	407	....
Cultural Education					
General Fund . . . . .	295	295	....	295	....
Special Revenue Funds — Federal . . . . .	74	74	....	74	....
Special Revenue Funds — Other . . . . .	43	43	....	43	....
Internal Service Funds . . . . .	29	25	....	25	-4
Fiduciary Funds . . . . .	2	2	....	2	....
Vocational Educational Services for Individuals with Disabilities					
General Fund . . . . .	11	11	....	11	....
Special Revenue Funds — Federal . . . . .	953	953	....	953	....
Batavia Intermediate Care Facility					
Special Revenue Funds — Other . . . . .	35	35	....	35	....
<b>Total . . . . .</b>	<b>3,147</b>	<b>3,097</b>	<b>20</b>	<b>3,117</b>	<b>-30</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$58,537,300	\$56,741,600	-\$1,795,700
Special Revenue Funds — Federal . . . . .	150,019,000	154,827,300	+ 4,808,300
Special Revenue Funds — Other . . . . .	71,277,000	73,249,900	+ 1,972,900
Internal Service Funds . . . . .	13,595,300	17,484,000	+ 3,888,700
Fiduciary Funds . . . . .	1,312,000	1,332,000	+ 20,000
<b>Total . . . . .</b>	<b>\$294,740,600</b>	<b>\$303,634,800</b>	<b>+ \$8,894,200</b>
<b>Adjustments:</b>			
<b>Transfer(s) To</b>			
Higher Education Services Corporation, New York State			
General Fund . . . . .	+ 250,000		
<b>Appropriated 1998-99 . . . . .</b>	<b>\$294,990,600</b>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
<b>Office of Management Services Program</b>			
General Fund . . . . .	\$17,054,200	\$16,160,700	-\$893,500
Special Revenue Funds — Other . . . . .	13,005,700	10,844,000	-2,161,700
Internal Service Funds . . . . .	10,000,000	10,028,000	+ 28,000
Fiduciary Funds . . . . .	600,000	600,000	. . . .
<b>School for the Blind</b>			
Special Revenue Funds — Other . . . . .	7,142,900	7,142,900	. . . .
Fiduciary Funds . . . . .	20,000	20,000	. . . .
<b>School for the Deaf</b>			
Special Revenue Funds — Other . . . . .	7,008,000	7,008,000	. . . .
Fiduciary Funds . . . . .	20,000	20,000	. . . .
<b>Elementary, Middle and Secondary Education</b>			
General Fund . . . . .	20,556,200	20,629,300	+ 73,100
Special Revenue Funds — Federal . . . . .	40,447,800	41,994,700	+ 1,546,900
Special Revenue Funds — Other . . . . .	978,900	978,900	. . . .
<b>Higher Education</b>			
General Fund . . . . .	3,316,000	2,178,000	-1,138,000
Special Revenue Funds — Federal . . . . .	1,704,200	1,808,700	+ 104,500
Special Revenue Funds — Other . . . . .	6,101,800	6,549,000	+ 447,200
<b>Office of the Professions</b>			
Special Revenue Funds — Other . . . . .	31,060,000	34,590,000	+ 3,530,000
<b>Cultural Education</b>			
General Fund . . . . .	16,769,400	16,868,200	+ 98,800
Special Revenue Funds — Federal . . . . .	5,916,900	7,523,900	+ 1,607,000
Special Revenue Funds — Other . . . . .	3,638,600	3,796,000	+ 157,400
Internal Service Funds . . . . .	3,595,300	7,456,000	+ 3,860,700
Fiduciary Funds . . . . .	672,000	692,000	+ 20,000
<b>Vocational Educational Services for Individuals with Disabilities</b>			
General Fund . . . . .	715,400	779,300	+ 63,900
Special Revenue Funds — Federal . . . . .	101,950,100	103,500,000	+ 1,549,900
Special Revenue Funds — Other . . . . .	126,300	126,300	. . . .
<b>Batavia Intermediate Care Facility</b>			
General Fund . . . . .	126,100	126,100	. . . .
Special Revenue Funds — Other . . . . .	2,214,800	2,214,800	. . . .
<b>Total . . . . .</b>	<b>\$294,740,600</b>	<b>\$303,634,800</b>	<b>+ \$8,894,200</b>

# EDUCATION

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Office of Management Services Program . Elementary, Middle and Secondary	\$9,446,700	-\$676,900	\$9,337,800	-\$676,900	.....	.....
Education .....	11,859,100	+ 48,000	10,858,000	+ 798,000	\$1,000,000	-\$750,000
Higher Education .....	.....	-1,849,500	.....	-1,817,500	.....	-32,000
Cultural Education .....	11,682,600	+ 84,100	11,682,600	+ 84,100	.....	.....
Vocational Educational Services for Individuals with Disabilities .....	727,700	+ 64,900	727,700	+ 64,900	.....	.....
Batavia Intermediate Care Facility .....	126,100	.....	.....	.....	126,100	.....
<b>Total .....</b>	<b>\$33,842,200</b>	<b>-\$2,329,400</b>	<b>\$32,606,100</b>	<b>-\$1,547,400</b>	<b>\$1,126,100</b>	<b>-\$782,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Office of Management Services Program . Elementary, Middle and Secondary	\$108,900	.....
Education .....	1,100	.....
Higher Education .....	.....	.....
Cultural Education .....	.....	.....
Vocational Educational Services for Individuals with Disabilities .....	.....	.....
Batavia Intermediate Care Facility .....	.....	.....
<b>Total .....</b>	<b>\$110,000</b>	<b>.....</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total	Supplies and Materials	
		Change	Amount	Change
Office of Management Services Program . . . . .	\$6,714,000	-\$216,600	\$400,000	. . . .
Elementary, Middle and Secondary Education . . . . .	8,770,200	+ 25,100	282,300	. . . .
Higher Education . . . . .	2,178,000	+ 711,500	. . . .	-\$18,900
Cultural Education . . . . .	5,185,600	+ 14,700	2,686,900	+ 14,700
Vocational Educational Services for Individuals with Disabilities . . . . .	51,600	-1,000	9,200	-1,000
<b>Total . . . . .</b>	<b>\$22,899,400</b>	<b>+ \$533,700</b>	<b>\$3,378,400</b>	<b>-\$5,200</b>

Program	Amount	Travel	Contractual Services	
		Change	Amount	Change
Office of Management Services Program . . . . .	\$350,000	. . . .	\$3,244,000	-\$86,600
Elementary, Middle and Secondary Education . . . . .	697,500	. . . .	4,515,400	+ 2,040,100
Higher Education . . . . .	. . . .	-\$39,000	. . . .	-88,800
Cultural Education . . . . .	145,800	. . . .	2,210,200	. . . .
Vocational Educational Services for Individuals with Disabilities . . . . .	13,600	. . . .	20,000	. . . .
<b>Total . . . . .</b>	<b>\$1,206,900</b>	<b>-\$39,000</b>	<b>\$9,989,600</b>	<b>+ \$1,864,700</b>

Program	Amount	Equipment	General State Charges	
		Change	Amount	Change
Office of Management Services Program . . . . .	\$250,000	. . . .	\$2,470,000	-\$130,000
Elementary, Middle and Secondary Education . . . . .	. . . .	. . . .	. . . .	. . . .
Higher Education . . . . .	. . . .	-\$19,800	. . . .	. . . .
Cultural Education . . . . .	142,700	. . . .	. . . .	. . . .
Vocational Educational Services for Individuals with Disabilities . . . . .	8,800	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$401,500</b>	<b>-\$19,800</b>	<b>\$2,470,000</b>	<b>-\$130,000</b>

Program	Maintenance Undistributed	
	Amount	Change
Office of Management Services Program . . . . .	. . . .	. . . .
Elementary, Middle and Secondary Education . . . . .	\$3,275,000	-\$2,015,000
Higher Education . . . . .	2,178,000	+ 878,000
Cultural Education . . . . .	. . . .	. . . .
Vocational Educational Services for Individuals with Disabilities . . . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$5,453,000</b>	<b>-\$1,137,000</b>

# EDUCATION

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Office of Management Services				
Program . . . . .	\$21,472,000	-\$2,133,700	\$9,260,000	+ \$3,260,000
School for the Blind . . . . .	7,162,900	. . . .	4,897,000	. . . .
School for the Deaf . . . . .	7,028,000	. . . .	4,564,000	+ 500
Elementary, Middle and				
Secondary Education . . . . .	42,973,600	+ 1,546,900	25,313,600	+ 784,000
Higher Education . . . . .	8,357,700	+ 551,700	3,504,200	-626,100
Office of the Professions . . . . .	34,590,000	+ 3,530,000	. . . .	. . . .
Cultural Education . . . . .	19,467,900	+ 5,645,100	6,455,300	-73,700
Vocational Educational				
Services for Individuals				
with Disabilities . . . . .	103,626,300	+ 1,549,900	54,191,300	. . . .
Batavia Intermediate Care				
Facility . . . . .	2,214,800	. . . .	1,362,000	. . . .
Total . . . . .	<u>\$246,893,200</u>	<u>+ \$10,689,900</u>	<u>\$109,547,400</u>	<u>+ \$3,344,700</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Office of Management Services				
Program . . . . .	\$11,612,000	+ \$9,836,000	\$600,000	-\$15,229,700
School for the Blind . . . . .	2,265,900	. . . .	. . . .	. . . .
School for the Deaf . . . . .	2,464,000	-500	. . . .	. . . .
Elementary, Middle and				
Secondary Education . . . . .	16,681,100	+ 762,900	978,900	. . . .
Higher Education . . . . .	3,628,500	-47,200	1,225,000	+ 1,225,000
Office of the Professions . . . . .	. . . .	. . . .	34,590,000	+ 3,530,000
Cultural Education . . . . .	13,012,600	+ 5,718,800	. . . .	. . . .
Vocational Educational				
Services for Individuals				
with Disabilities . . . . .	49,308,700	+ 1,549,900	126,300	. . . .
Batavia Intermediate Care				
Facility . . . . .	852,800	. . . .	. . . .	. . . .
Total . . . . .	<u>\$99,825,600</u>	<u>+ \$17,819,900</u>	<u>\$37,520,200</u>	<u>-\$10,474,700</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$10,919,376,937	\$11,241,147,300	+ \$321,770,363
Special Revenue Funds — Federal . . . . .	1,896,254,000	2,140,729,000	+ 244,475,000
Special Revenue Funds — Other . . . . .	2,244,150,000	2,865,150,000	+ 621,000,000
Total . . . . .	<u>\$15,059,780,937</u>	<u>\$16,247,026,300</u>	<u>+ \$1,187,245,363</u>
Adjustments:			
Transfer(s) To			
Higher Education Services Corporation, New York			
State			
General Fund . . . . .	+ 81,735,000		
Appropriated 1998-99 . . . . .	<u>\$15,141,515,937</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Elementary, Middle and Secondary Education			
General Fund . . . . .	\$10,741,971,450	\$11,073,076,700	+ \$331,105,250
Special Revenue Funds — Federal . . . . .	1,540,967,000	1,738,566,000	+ 197,599,000
Special Revenue Funds — Other . . . . .	1,530,000,000	1,468,000,000	-62,000,000
Higher and Continuing Education			
General Fund . . . . .	902,000	. . . .	-902,000
Cultural Education			
General Fund . . . . .	106,470,000	105,300,000	-1,170,000
Special Revenue Funds — Federal . . . . .	4,660,000	4,660,000	. . . .
Special Revenue Funds — Other . . . . .	10,150,000	10,150,000	. . . .
Vocational Educational Services for Individuals with Disabilities			
General Fund . . . . .	62,770,600	62,770,600	. . . .
Special Revenue Funds — Federal . . . . .	350,627,000	397,503,000	+ 46,876,000
School Tax Relief			
Special Revenue Funds — Other . . . . .	704,000,000	1,387,000,000	+ 683,000,000
Other Community Projects			
General Fund . . . . .	<u>7,262,887</u>	. . . .	<u>-7,262,887</u>
Total . . . . .	<u>\$15,059,780,937</u>	<u>\$16,247,026,300</u>	<u>+ \$1,187,245,363</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Education Building				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$820,000
Capital Projects Fund - Advances . . . . .	\$1,960,000	. . . .	-\$1,960,000	5,560,000
School for the Blind				
Capital Projects Fund . . . . .	. . . .	\$159,000	+ 159,000	332,000
Capital Projects Fund - Advances . . . . .	610,000	. . . .	-610,000	2,697,000
School for the Deaf				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	224,000
Capital Projects Fund - Advances . . . . .	230,000	. . . .	-230,000	1,971,000
Schools For Native American Reservations				
Capital Projects Fund - Advances . . . . .	. . . .	. . . .	. . . .	500,000
Cultural Education Center				
Capital Projects Fund - Advances . . . . .	9,500,000	. . . .	-9,500,000	20,550,000
Administration				
Capital Projects Fund . . . . .	850,000	750,000	-100,000	1,635,000
Washington Avenue Armory				
Capital Projects Fund - Advances . . . . .	. . . .	. . . .	. . . .	10,715,000
Design and Construction Supervision				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	547,000
Total . . . . .	<u>\$13,150,000</u>	<u>\$909,000</u>	<u>-\$12,241,000</u>	<u>\$45,551,000</u>

## ***EDUCATION***

---

# **OFFICE OF CHILDREN AND FAMILY SERVICES**

## **MISSION**

The Office of Children and Family Services (OCFS) was established in 1997 to strengthen services to children and families. The Office is committed to helping families achieve and maintain self-sufficiency, providing children with safe, permanent homes and protecting communities from youth violence and crime.

## **ORGANIZATION AND STAFFING**

The Office of Children and Family Services 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. The Office is also responsible for the operation of 48 residential and day placement facilities statewide serving over 2,200 youth. The workforce for 1999-2000 is estimated at 4,503 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Office of Children and Family Services receives 61 percent of its \$3.5 billion budget from State tax dollars and 39 percent from Federal and other funds. The State Operations Budget of \$460.2 million supports oversight of child welfare, child care, adult protection domestic violence programs, among others. In addition, the State Operations Budget supports the continued operation of juvenile justice facilities.

The Local Assistance Budget of \$2.95 billion provides payments to local governments and not-for-profit providers for programs such as foster care, adoption, child protective services, delinquency prevention, pregnancy prevention and child care. Capital projects appropriations support the maintenance and construction of residences to provide a safe living environment and sufficient program space for youth in residential care while maintaining an appropriate level of security.

## **CHILDREN AND FAMILY SERVICES**

The Executive Budget recommendation continues to provide local governments with substantial funding for child welfare services and maximum flexibility in determining the best use of these monies. The recommendation continues the Family and Children's Services Block Grant and provides over \$800 million in State and Federal welfare funding to reimburse local social services districts for foster care, foster care prevention, and adoption administration activities. The General Fund recommendation of \$536 million includes \$15 million in new funding to provide local districts with necessary financial assistance to provide cost-of-living adjustments for voluntary agency staff and to address building safety issues in foster care facilities. The Block Grant recommendation also reflects full integration of the Juvenile Delinquency/Persons in Need of Supervision (JD/PINS) Foster Care Program into the Family and Children's Services Block Grant consistent with the SFY 1998-1999 enacted budget.

The SFY 1999-2000 recommendation increases the transfer of Federal Temporary Assistance to Needy Families (TANF) Block Grant funds to the Federal Title XX Social Services Block Grant to \$244 million to support locally provided children's services. In addition, within the TANF Block Grant, over \$203 million in TANF funds are set aside for children and their families facing emergency situations. This recommendation includes

## **CHILDREN AND FAMILY SERVICES**

---

an increase of \$103 million, reflecting use of TANF funding to reimburse local governments for the Juvenile Delinquent/Persons in Need of Supervision (JD/PINS) Foster Care Program and other local foster care expenditures.

The Executive Budget continues uncapped funding for critical child protective activities that, prior to SFY 1998-1999, were financed through the Family and Children's Services Block Grant. Set at \$70 million, this reimbursement ensures that local governments have adequate resources to protect abused and neglected children.

The Executive Budget also provides local governments with funding to support implementation of the Federal Adoption and Safe Families Act (ASFA). This legislation provides important safeguards for protecting children placed in foster care and ensuring timely resolution of foster care placements through accelerated permanency planning hearings and other mandated case actions. The recommendation includes almost \$12.4 million for State and local ASFA implementation activities, including staff training, fingerprinting of foster care and adoptive parents, and administrative hearings.

The Executive Budget ensures a continued emphasis on prevention and early identification of child abuse and neglect. A total of \$10 million will be invested to improve the State Child Abuse Hotline, including replacing the current telecommunications system.

The Budget includes \$115 million for the State's share of adoption subsidies provided to families who adopt special needs children. These funds will support more than 32,000 children in adoptive homes, including 4,700 children adopted last year. It is anticipated that an additional 4,800 children will be adopted in 1999-2000. In addition, the Budget also includes \$1 million in new funding to help parents cover the legal costs they incur when they adopt children who have been awaiting final placement for longer than six months. This new incentive is expected to result in an additional 450 adoptions during 1999-2000, potentially qualifying New York State for additional Federal funds as provided for in the recently enacted Adoption and Safe Families Act.

OCFS also oversees a variety of programs serving the State's neediest adult residents. Many of these programs serve the public assistance population and will play an important role as the State and its localities implement welfare reform. 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 Executive Budget increases funding for the State Child Care Block Grant to \$580 million during SFY 1999-2000, using a combination of State, Federal and local funding. The Block Grant supports child care subsidies for low-income families and families in transition from welfare to employment. Those transitioning from welfare are guaranteed subsidized child care for 12 months after leaving Family Assistance. The State also guarantees child care to public assistance recipients with children up to age 13 when such care is required for the parent/guardian to go to work. Each social services district receives a single grant that enables it to tailor its expenditures to meet local needs and ensure compliance with mandated work participation requirements for Family Assistance recipients.

Under the Child Care Block Grant, districts' ability to plan for and meet district-specific child care needs has increased. To foster even greater local flexibility, a new \$200 million Child Care Reserve Fund is established to be accessed by local social services districts over a three-year period as their child care demands change. The Child Care Reserve Fund makes child care funding more stable and predictable; helps counties plan for and meet the additional child care needs resulting from welfare reform; and maintains support to low-income families to help them stay employed.

Executive Budget recommendations also include \$10 million for the second year of the Advantage Schools initiative, an after-school program to be offered from the end of

classes to the early evening hours during the school year. Funds will be provided to localities and to non-profit agencies demonstrating ability to work collaboratively with schools, child care providers and/or other community-based organizations for after-school programming. This funding is anticipated to leverage additional Federal, local and philanthropic dollars.

### **YOUTH FACILITIES**

The Youth Facilities program operates the Office's 48 residential facilities and day placement centers serving court-placed Juvenile Offenders (JOs) charged with serious crimes and prosecuted in criminal court as adults, and Juvenile Delinquents (JDs) who commit acts that would be a crime if committed by an adult and who are processed in Family Court. It directs the development and implementation of appropriately designed programs and services, including health, education, counseling services, and aftercare services.

The Executive Budget recommendations address a growing demand for residential capacity. The Budget includes \$75 million for a replacement facility for the Harlem Valley Secure Youth Facility and to increase secure and limited capacity statewide.

### **SYSTEMS**

The Executive Budget invests \$48.5 million in State and Federal funding to operate and continue development of CONNECTIONS, and \$6.5 million to integrate and upgrade OCFS' internal computer system.

Electronically transmitting reports of child abuse from the State's Child Abuse Hotline to local governments via CONNECTIONS enables local caseworkers to intervene quickly with as much information as possible about the family, resulting in better decisions regarding the safety of children in a particular home.

To help track the progress of children and families after initial interventions, the Executive Budget investment in CONNECTIONS development supports the cost of system improvements needed to better monitor children and families receiving foster care or family preservation services. These improvements also enable the State to meet Federal data reporting requirements. Monitoring foster children through CONNECTIONS can help local governments minimize the time needed to find children permanent adoptive homes where a safe return to birth parents is impossible.

To strengthen the State's ability to oversee the various programs serving children and families, the agency's computer technology must be upgraded to support larger data bases and more powerful analytical software. The Executive Budget investment will provide the agency with the means to implement a common computer platform agencywide, improve financial management capabilities and develop comprehensive data collection and reporting tools.

### **PROGRAM HIGHLIGHTS**

The Office of Children and Family Services provides a system of family support and child welfare services to help families support themselves. County departments of social services and, in many cases, community-based local organizations administer most 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; prepare teens for independent living and protect vulnerable adults from family violence.

## **CHILDREN AND FAMILY SERVICES**

---

The Office also licenses and monitors child care providers to ensure that they operate homes and centers which are safe and clean and provide a beneficial experience for children. The State Central Register of Child Abuse and Maltreatment, also known as the Child Abuse Hotline, receives over 350,000 calls each year over a toll-free 800 telephone number reporting alleged child maltreatment or abuse. County protective services staff and/or local law enforcement agencies conduct those resulting investigations which have been initiated by the State. The Register also maintains a master database of those found culpable of child abuse so that employers, such as day care centers, can screen potential employees for a history of familial child abuse.

Through the Commission for the Blind and Visually Handicapped, the Office provides, directly or through contract, services to help visually handicapped people live independently and achieve self-sufficiency through employment. The Commission also assists over 3,300 children and elderly individuals with services such as orientation and mobility, social casework, adaptive equipment, interpreter services, low-vision examinations, diagnostic examinations and intensive adaptive skills training.

The Office provides significant funding to counties and municipalities, and community-based not-for-profit agencies for the provision of youth development and delinquency prevention programs. In its residential program, the Office provides nationally recognized rehabilitation services in the areas of substance abuse, independent living and law-related education.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$373,127,000	\$460,193,000	+ \$87,066,000	\$176,424,000
Aid To Localities . . . . .	2,563,928,501	2,948,075,900	+ 384,147,399	2,396,077,100
Capital Projects . . . . .	15,100,000	83,750,000	+ 68,650,000	49,174,000
Total . . . . .	<u>\$2,952,155,501</u>	<u>\$3,492,018,900</u>	<u>+ \$539,863,399</u>	<u>\$2,621,675,100</u>

# CHILDREN AND FAMILY SERVICES

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Central Administration					
General Fund	503	383	....	383	-120
Special Revenue Funds — Other	98	98	....	98	....
Capital Project Funds	11	....	....	....	-11
Systems Support					
General Fund	157	216	....	216	+ 59
Training and Development					
Special Revenue Funds — Federal	91	91	....	91	....
Child Care					
General Fund	57	57	....	57	....
Special Revenue Funds — Federal	60	....	60	60	....
Family and Children Services					
General Fund	459	380	....	380	-79
Special Revenue Funds — Federal	26	....	26	26	....
Youth Facilities					
General Fund	2,743	2,884	....	2,884	+ 141
Commission for the Blind and Visually Handicapped					
Special Revenue Funds — Federal	196	196	....	196	....
Special Revenue Funds — Other	3	....	3	3	....
Fiduciary Funds	4	....	4	4	....
Subtotal, Direct Funded Programs	4,408	4,305	93	4,398	-10
Suballocations:					
Special Revenue Funds — Federal	94	....	....	105	+ 11
Total	4,502	4,305	93	4,503	+ 1

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$225,677,000	\$227,379,000	+ \$1,702,000
Special Revenue Funds — Federal	109,300,000	119,600,000	+ 10,300,000
Special Revenue Funds — Other	34,325,000	109,389,000	+ 75,064,000
Enterprise Funds	500,000	500,000	....
Internal Service Funds	100,000	100,000	....
Fiduciary Funds	3,225,000	3,225,000	....
Total	\$373,127,000	\$460,193,000	+ \$87,066,000
Adjustments:			
Transfer(s) From			
Children and Family Services, Office of			
General Fund (Aid To Localities)	-15,666,000		
Transfer(s) To			
Temporary and Disability Assistance, Office			
of			
General Fund	+ 2,175,000		
Appropriated 1998-99	\$359,636,000		

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Central Administration			
General Fund	\$33,902,000	\$29,469,000	-\$4,433,000
Special Revenue Funds — Other	9,100,000	9,100,000	.....
Internal Service Funds	100,000	100,000	.....
Fiduciary Funds	1,825,000	1,825,000	.....
Systems Support			
General Fund	23,609,000	43,212,000	+ 19,603,000
Training and Development			
General Fund	6,194,000	10,000,000	+ 3,806,000
Special Revenue Funds — Federal	57,000,000	64,000,000	+ 7,000,000
Special Revenue Funds — Other	10,500,000	61,300,000	+ 50,800,000
Enterprise Funds	200,000	200,000	.....
Child Care			
General Fund	7,077,000	3,778,000	-3,299,000
Special Revenue Funds — Federal	7,500,000	10,800,000	+ 3,300,000
Family and Children Services			
General Fund	36,336,000	35,377,000	-959,000
Special Revenue Funds — Federal	16,800,000	16,800,000	.....
Special Revenue Funds — Other	832,000	956,000	+ 124,000
Youth Facilities			
General Fund	122,836,000	133,834,000	+ 10,998,000
Special Revenue Funds — Other	300,000	300,000	.....
Enterprise Funds	300,000	300,000	.....
Commission for the Blind and Visually Handicapped			
General Fund	8,816,000	8,942,000	+ 126,000
Special Revenue Funds — Federal	28,000,000	28,000,000	.....
Special Revenue Funds — Other	500,000	500,000	.....
Fiduciary Funds	1,400,000	1,400,000	.....
Departmental Administrative Reimbursement			
General Fund	-13,093,000	-37,233,000	-24,140,000
Special Revenue Funds — Other	13,093,000	37,233,000	+ 24,140,000
<b>Total</b>	<b>\$373,127,000</b>	<b>\$460,193,000</b>	<b>+ \$87,066,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Central Administration	\$19,793,000	-\$3,989,000	\$18,884,000	-\$3,880,755	\$783,000	-\$61,000
Systems Support	9,148,000	+ 103,000	9,123,000	+ 103,000	.....	.....
Child Care	2,836,000	+ 201,000	2,836,000	+ 201,000	.....	.....
Family and Children Services	18,121,000	-6,819,000	17,382,000	-6,850,000	5,000	-16,000
Youth Facilities	110,571,000	+ 7,833,000	101,170,000	+ 7,080,000	4,959,000	+ 830,000
<b>Total</b>	<b>\$160,469,000</b>	<b>-\$2,671,000</b>	<b>\$149,395,000</b>	<b>-\$3,346,755</b>	<b>\$5,747,000</b>	<b>+ \$753,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Central Administration	\$126,000	-\$47,245
Systems Support	25,000	.....
Child Care	.....	.....
Family and Children Services	734,000	+ 47,000
Youth Facilities	4,442,000	-77,000
<b>Total</b>	<b>\$5,327,000</b>	<b>-\$77,245</b>

# CHILDREN AND FAMILY SERVICES

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Central Administration . . . . .	\$9,676,000	-\$444,000	\$208,000	-\$119,258
Systems Support . . . . .	34,064,000	+ 19,500,000	340,000	. . . . .
Training and Development . . . . .	10,000,000	+ 3,806,000	. . . . .	. . . . .
Child Care . . . . .	942,000	-3,500,000	74,000	-70,000
Family and Children Services . . . . .	17,256,000	+ 5,860,000	577,500	+ 255,800
Youth Facilities . . . . .	23,263,000	+ 3,165,000	10,514,000	+ 237,900
Commission for the Blind and Visually Handicapped . . . . .	8,942,000	+ 126,000	. . . . .	. . . . .
Total . . . . .	\$104,143,000	+ \$28,513,000	\$11,713,500	+ \$304,442

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Central Administration . . . . .	\$755,000	-\$121,935	\$7,314,000	-\$50,000
Systems Support . . . . .	99,000	. . . . .	2,719,000	-250,000
Training and Development . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Child Care . . . . .	184,000	-310,000	654,000	-3,075,000
Family and Children Services . . . . .	356,500	+ 114,500	14,193,000	+ 5,494,000
Youth Facilities . . . . .	820,000	+ 252,700	10,724,000	+ 4,132,700
Commission for the Blind and Visually Handicapped . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	\$2,214,500	-\$64,735	\$35,604,000	+ \$6,251,700

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Administration . . . . .	\$136,000	-\$152,807	\$1,263,000	. . . . .
Systems Support . . . . .	140,000	. . . . .	30,766,000	+ \$19,750,000
Training and Development . . . . .	. . . . .	. . . . .	10,000,000	+ 3,806,000
Child Care . . . . .	30,000	-45,000	. . . . .	. . . . .
Family and Children Services . . . . .	29,000	-4,300	2,100,000	. . . . .
Youth Facilities . . . . .	1,205,000	+ 166,700	. . . . .	-1,625,000
Commission for the Blind and Visually Handicapped . . . . .	. . . . .	. . . . .	8,942,000	+ 126,000
Total . . . . .	\$1,540,000	-\$35,407	\$53,071,000	+ \$22,057,000

# CHILDREN AND FAMILY SERVICES

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Central Administration . . . . .	\$11,025,000	. . . .	. . . .	. . . .
Training and Development . . . . .	125,500,000	+ \$57,800,000	\$1,434,000	. . . .
Child Care . . . . .	10,800,000	+ 3,300,000	. . . .	. . . .
Family and Children Services . . . . .	17,756,000	+ 124,000	. . . .	. . . .
Youth Facilities . . . . .	600,000	. . . .	. . . .	. . . .
Commission for the Blind and Visually Handicapped . . . . .	29,900,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$195,581,000</b>	<b>+ \$61,224,000</b>	<b>\$1,434,000</b>	<b>. . . .</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Central Administration . . . . .	\$1,925,000	. . . .	\$9,100,000	. . . .
Training and Development . . . . .	2,566,000	. . . .	121,500,000	+ \$57,800,000
Child Care . . . . .	. . . .	. . . .	10,800,000	+ 3,300,000
Family and Children Services . . . . .	5,000,000	. . . .	12,756,000	+ 124,000
Youth Facilities . . . . .	600,000	. . . .	. . . .	. . . .
Commission for the Blind and Visually Handicapped . . . . .	. . . .	. . . .	29,900,000	. . . .
<b>Total . . . . .</b>	<b>\$10,091,000</b>	<b>. . . .</b>	<b>\$184,056,000</b>	<b>+ \$61,224,000</b>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$1,005,751,501	\$1,052,718,900	+ \$46,967,399
Special Revenue Funds — Federal . . . . .	1,533,647,000	1,870,827,000	+ 337,180,000
Special Revenue Funds — Other . . . . .	21,000,000	21,000,000	. . . .
Fiduciary Funds . . . . .	3,530,000	3,530,000	. . . .
<b>Total . . . . .</b>	<b>\$2,563,928,501</b>	<b>\$2,948,075,900</b>	<b>+ \$384,147,399</b>
Adjustments:			
Transfer(s) From			
Temporary and Disability Assistance, Office of Special Revenue Funds — Federal . . . . .	-295,000,000		
Transfer(s) To			
Children and Family Services, Office of General Fund (State Operations) . . . . .	+ 15,666,000		
<b>Appropriated 1998-99 . . . . .</b>	<b>\$2,284,594,501</b>		

## CHILDREN AND FAMILY SERVICES

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Training and Development			
General Fund . . . . .	\$5,000,000	\$5,000,000	. . . .
Special Revenue Funds — Federal . . . . .	23,827,000	23,827,000	. . . .
Child Care			
General Fund . . . . .	96,066,000	96,066,000	. . . .
Special Revenue Funds — Federal . . . . .	377,000,000	688,000,000	+ \$311,000,000
Family and Children Services			
General Fund . . . . .	894,133,000	951,652,900	+ 57,519,900
Special Revenue Funds — Federal . . . . .	1,132,820,000	1,159,000,000	+ 26,180,000
Special Revenue Funds — Other . . . . .	21,000,000	21,000,000	. . . .
Fiduciary Funds . . . . .	3,530,000	3,530,000	. . . .
Community Projects			
General Fund . . . . .	10,552,501	. . . .	-10,552,501
<b>Total . . . . .</b>	<b><u>\$2,563,928,501</u></b>	<b><u>\$2,948,075,900</u></b>	<b><u>+ \$384,147,399</u></b>

### CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Special Day Care Services Program				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$1,550,000
Maintenance and Improvement of Facilities				
Capital Projects Fund . . . . .	. . . .	\$1,750,000	+ \$1,750,000	. . . .
Youth Facilities Improvement Fund . . . . .	\$5,500,000	4,000,000	-1,500,000	22,674,000
Executive Direction and Administrative Services				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	100,000
Youth Facilities Improvement Fund . . . . .	1,400,000	. . . .	-1,400,000	1,400,000
New Construction				
Youth Facilities Improvement Fund . . . . .	. . . .	75,000,000	+ 75,000,000	. . . .
Program Improvement or Program Change				
Youth Facilities Improvement Fund . . . . .	7,200,000	3,000,000	-4,200,000	8,200,000
Youth Center				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	11,880,000
Rehabilitative Services				
Youth Facilities Improvement Fund . . . . .	. . . .	. . . .	. . . .	2,370,000
Design and Construction Supervision				
Youth Facilities Improvement Fund . . . . .	1,000,000	. . . .	-1,000,000	1,000,000
<b>Total . . . . .</b>	<b><u>\$15,100,000</u></b>	<b><u>\$83,750,000</u></b>	<b><u>+ \$68,650,000</u></b>	<b><u>\$49,174,000</u></b>



# ***OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE***

## ***MISSION***

Working in close collaboration with the Department of Labor, the Office of Temporary and Disability Assistance (OTDA) helps needy adults and families achieve economic self-sufficiency through work, job training, and child support enforcement. The Office also provides economic assistance to aged and disabled persons who are unable to work, and transitional support to welfare recipients while they are working toward self-sufficiency.

## ***ORGANIZATION AND STAFFING***

Core responsibilities of the Office of Temporary and Disability Assistance include providing policy and technical support to local social services districts responsible for implementing welfare reform and administering programs serving the homeless and refugees. Through its Division of Disability Determinations, the agency also evaluates the medical eligibility of disability claimants for Supplemental Security Income and Social Security Disability Insurance.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

A total of \$5 billion is recommended from all funding sources in SFY 1999-2000 to support State Operations and Aid to Localities programs including Family Assistance, Safety Net, Supplemental Security Income (SSI), Food Assistance Program, Home Energy Assistance (HEAP), child support enforcement and food stamp administration.

Aid to Localities is funded by \$4.6 billion in Federal funds, the General Fund, and other revenue. Within this amount, the General Fund cost for direct welfare programs — Family Assistance and Safety Net — will decrease by approximately \$148 million in 1999-2000 reflecting continued welfare caseload declines and available Federal funding. Partially offsetting this decline are increases in General Fund spending for Supplemental Security Income (SSI) for the aged and disabled.

For State Operations, an appropriation of approximately \$471 million is recommended from all funding sources. These funds will support a workforce of approximately 2,400, including 1,360 federally funded positions in the Division of Disability Determinations. The General Fund will experience a net decrease of 30 positions reflecting anticipated attrition and use of Federal funds to support positions which were previously supported through the General Fund.

The recommended \$67.4 million General Fund appropriation includes funding for staff and other costs related to the oversight of social services district administration of public assistance and child support enforcement programs; administrative hearings for public assistance, Food Stamp Program, and Medicaid applicants and recipients; and operation of the major computer systems supporting public assistance programs. Approximately \$424 million in Federal funds and other revenues are recommended for the administration of the Division of Disability Determinations, the Home Energy Assistance program (HEAP), and the Bureau of Refugee and Immigration Affairs.

Approximately \$185 million in State and Federal funds are appropriated for the costs of the redesign of the Welfare Management System (WMS) and development of the Welfare-to-Work Caseload Management System. WMS is the primary data management tool used by districts to support eligibility determinations and other critical welfare administration activities.

## ***TEMPORARY AND DISABILITY ASSISTANCE***

---

Specific priorities for the Office of Temporary and Disability Assistance for 1999-2000 are as follows:

- In partnership with social services districts, the Department of Labor and the Office of Children and Family Services operate programs enacted through the State Welfare Reform Act of 1997 so that the welfare system can more effectively transition participants to work and self-sufficiency;
- Develop and implement regulations and administrative policies consistent with the objectives of welfare reform;
- Improve, redesign, and increase the use of technology, information, and communication; and
- Continue to strengthen program integrity and anti-fraud activities throughout the welfare system.

### ***PROGRAM HIGHLIGHTS***

The welfare system in New York State has changed in basic philosophy and approach. The overall objectives of State welfare reform are to transform welfare into a system of temporary income support while recipients secure employment and child support payments; promote individual responsibility; and provide social services districts with the flexibility, incentives, and rewards they need to effectively administer a work-oriented welfare system. The system has evolved from one that focused solely on determining client eligibility and distributing benefit payments to one that now focuses on securing alternative non-welfare means of income support such as employment, child support, or temporary assistance.

The new emphasis has resulted in a dramatic decline in welfare caseloads. The total public assistance caseload in New York State in 1999-2000 is projected at 980,000 recipients, a decrease of 70,000 persons from 1998-99. Welfare caseloads are projected to decline as of March 31, 2000 by over 680,000 recipients, or approximately 40 percent, when compared to caseload levels in January 1995.

### ***FAMILY ASSISTANCE***

The Family Assistance program provides employment assessments, support services and time-limited cash assistance to eligible families with children while the parent acquires the necessary work skills to secure and retain employment.

State law requires all persons who are required to participate in work activities to do so to remain eligible for benefits. Cash benefits for Family Assistance participants are limited to a cumulative period of five years. If the head of a Family Assistance household is unable to become employed during this period, the family is limited to non-cash benefits through the Safety Net program (discussed below) while the head of household continues to search for a job.

The new welfare system fosters recipient self-sufficiency. All Family Assistance participants undergo an assessment of their employability skills and training needs and, unless disabled, must participate in assigned work activities. Participants are covered by a new and greatly strengthened earned income disregard and also may keep a greater level of savings and other resources to help the transition from welfare.

Social services districts are required to meet Federal work activity participation targets. The Federal Department of Health and Human Services (DHHS) recently announced that New York exceeded these Federal standards for the first measurement period of July through September 1997. Reflecting scheduled increases in work participation requirements in Federal law, for FFY 1998-99, districts must place at least 35 percent of all family assistance cases in an allowable work activity for not less than 25 hours per week. State law places the focus of participant employment plans directly on work or work-like activities such as job training, community service, or workfare. This approach

## ***TEMPORARY AND DISABILITY ASSISTANCE***

---

will position the State to continue to meet or exceed required employment targets in future years. Under Federal law, the targets increase incrementally until the year 2002 when 50 percent of the Family Assistance caseload must participate in work activities for not less than 30 hours per week.

The Governor's welfare reform program also fosters individual responsibility to help break the cycle of long-term dependency. All applicants and recipients are required to participate in screening and assessment to determine if the need for welfare results from use of illegal drugs or excessive consumption of alcoholic beverages. If a participant is unable to work because of such circumstances, he or she is referred to an appropriate treatment program and welfare benefits are restricted to non-cash assistance. Students in Family Assistance cases participate in Learnfare to encourage school attendance and teen parents must attend high school or other approved education programs to receive welfare benefits.

Welfare reform also requires each social services district to screen its Family Assistance caseload for domestic violence. Acting through its designated domestic violence liaison, each district informs the individual of voluntary services which may be available. Districts waive application of welfare program rules, including but not limited to child support cooperation, work requirements, and residency requirements, if the district determines that these provisions would cause further risk or make it more difficult for the person to escape domestic violence.

The Governor's welfare reform program has strengthened child support enforcement. Improvements include automated updating of child support awards to reflect inflation; interstate reciprocity in child support proceedings; a strengthened role for child support staff in welfare case processing; and administrative authority for social services districts to order genetic tests, subpoena information, and collect relevant data from Federal, State and local agencies. For SFY 1999-2000, the Governor is proposing to increase the maximum monthly amount of child support (from \$50 to \$100) that can be passed-through to a custodial parent receiving family assistance; strengthen penalties against welfare households that refuse to cooperate with child support requirements; authorize courts to charge a fee to non-custodial parents to help offset the cost of case processing; and allow social services districts to administratively calculate the amount of the child support payment subject to court review. These initiatives will further strengthen the child support enforcement system, thus helping to ensure that parents provide for the income support of their children.

Welfare reform also protects taxpayer investments in the welfare system by strengthening sanctions for persons who refuse to comply with work requirements and prohibiting welfare payments to fugitive felons, persons who have been convicted of a felony and failed to abide by the terms of their probation or parole, or who have been convicted of fraudulently seeking to obtain benefits in two or more states. For SFY 1999-2000, the Budget incorporates existing administratively established Family Assistance shelter allowance schedules into State law through OTDA appropriations. This change will clarify the intent of the Executive and the Legislature that cash welfare grants should not be increased from current levels, thus avoiding the potential for a costly court-ordered increase in benefit payments contrary to legislative intent.

### ***SAFETY NET PROGRAM***

Article XVII of the State Constitution requires the State and its social services districts to provide for the needy. State welfare reform meets this obligation through the Safety Net program for persons who are not eligible for Family Assistance or Supplemental Security Income.

Safety Net participants, primarily single adults and childless couples, can receive cash allowances for a two year period after which benefits can be provided on a non-cash basis. Other groups that may receive non-cash benefits include families that have exhausted

## ***TEMPORARY AND DISABILITY ASSISTANCE***

their five year limit on Family Assistance, certain non-citizens, households where the adult is unable to work because of substance abuse, and households where the adult has refused to participate in drug/alcohol screening or treatment. In addition to providing for essential needs, the Safety Net is a work program which provides such services as job search, work training, and workfare. Unless prevented from doing so by a physical or mental disability, Safety Net participants must engage in assigned work activities to receive assistance.

### ***DISABILITY ASSISTANCE***

Participants in both Family Assistance and Safety Net can be exempt from work assignments, or given limited work activities, if necessary because of a medically verifiable physical or mental impairment. The social services district is responsible for determining if such a disability exists. In making this determination, the district must consider information provided by the participant's treating physician, but also can conduct its own medical examination using a provider certified by the Division of Disability Determinations.

### ***SUPPLEMENTAL SECURITY INCOME***

Federal Supplemental Security Income (SSI) provides cash assistance to the aged, visually handicapped, and disabled. New York's SSI benefit, is \$587 per month for an individual living alone in the community, including scheduled January 1999 cost-of-living adjustments in both the Federal benefit and State supplement portions of the grant. The State's SSI benefit currently is one of the highest nationally. The 1999-2000 recommendation of \$637 million funds the State cost of SSI benefits for a projected 612,000 recipients.

### ***STATE FOOD ASSISTANCE PROGRAM***

The State Welfare Reform Act of 1997 created New York's Food Assistance Program, (FAP) for non-citizens who lost Federal Food Stamps solely due to their alien status. FAP was designed to target the most vulnerable immigrants--children, disabled adults, and persons 60 years of age or older. On November 1, 1998, Federal Food Stamps were restored to children, disabled adults, and those over age 67. The 1999-2000 Aid to Localities recommendation provides \$8.2 million, combined State and local funds, to continue food benefits to an estimated 7,000 immigrant seniors, between ages 60 and 67 who remain ineligible for the Federal program.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$485,132,000	\$513,023,000	+ \$27,891,000	\$315,710,000
Aid To Localities . . . . .	4,869,975,000	4,529,800,000	-340,175,000	2,970,940,000
Capital Projects . . . . .	30,000,000	30,000,000	. . . .	124,856,000
Total . . . . .	<u>\$5,385,107,000</u>	<u>\$5,072,823,000</u>	<u>-\$312,284,000</u>	<u>\$3,411,506,000</u>

# TEMPORARY AND DISABILITY ASSISTANCE

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Executive Direction					
General Fund	22	21	....	21	-1
Legal Affairs					
General Fund	171	164	....	164	-7
Administration					
General Fund	188	180	....	180	-8
Special Revenue Funds — Federal	102	102	....	102	....
Special Revenue Funds — Other	27	....	52	52	+ 25
System Support and Information Services					
General Fund	200	163	30	193	-7
Special Revenue Funds — Federal	30	30	....	30	....
Special Revenue Funds — Other	19	19	....	19	....
Child Support Enforcement					
General Fund	60	57	....	57	-3
Temporary and Disability Assistance Programs					
General Fund	62	59	....	59	-3
Special Revenue Funds — Federal	21	....	21	21	....
Special Revenue Funds — Other	18	....	18	18	....
Disability Determinations					
Special Revenue Funds — Federal	1,360	1,360	....	1,360	....
Special Revenue Funds — Other	101	....	101	101	....
Shelter and Supported Housing					
General Fund	23	22	....	22	-1
Special Revenue Funds — Federal	2	....	2	2	....
Refugee and Immigrant Affairs					
Special Revenue Funds — Federal	19	19	....	19	....
Subtotal, Direct Funded Programs	2,425	2,196	224	2,420	-5
Suballocations:					
Special Revenue Funds — Federal	16	....	....	16	....
Total	2,441	....	....	2,436	-5

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$64,617,000	\$67,408,000	+ \$2,791,000
Special Revenue Funds — Federal	317,070,000	340,570,000	+ 23,500,000
Special Revenue Funds — Other	103,445,000	104,045,000	+ 600,000
Internal Service Funds	....	1,000,000	+ 1,000,000
Total	\$485,132,000	\$513,023,000	+ \$27,891,000
Adjustments:			
Prior Year Deficiency			
General Fund	-2,447,000	....	....
Special Revenue Funds — Other	+ 17,387,000	....	....
Transfer(s) From			
Children and Family Services, Office of			
General Fund	-2,175,000	....	....
Transfer(s) To			
Temporary and Disability Assistance, Office of			
General Fund (Aid To Localities)	+ 30,000,000	....	....
Special Revenue Other (Aid To Localities)	+ 30,000,000	....	....
Appropriated 1998-99	\$557,897,000	....	....

# TEMPORARY AND DISABILITY ASSISTANCE

---

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Executive Direction			
General Fund . . . . .	\$1,738,000	\$1,686,000	-\$52,000
Legal Affairs			
General Fund . . . . .	11,707,000	11,185,000	-522,000
Administration			
General Fund . . . . .	18,575,000	19,964,000	+ 1,389,000
Special Revenue Funds — Federal . . . . .	7,050,000	7,000,000	-50,000
Special Revenue Funds — Other . . . . .	18,350,000	18,850,000	+ 500,000
Internal Service Funds . . . . .	. . . . .	1,000,000	+ 1,000,000
System Support and Information Services			
General Fund . . . . .	86,076,000	86,275,000	+ 199,000
Special Revenue Funds — Federal . . . . .	120,000,000	160,000,000	+ 40,000,000
Special Revenue Funds — Other . . . . .	6,800,000	6,800,000	. . . . .
Child Support Enforcement			
General Fund . . . . .	4,212,000	4,164,000	-48,000
Special Revenue Funds — Federal . . . . .	2,300,000	2,300,000	. . . . .
Temporary and Disability Assistance Programs			
General Fund . . . . .	5,417,000	4,703,000	-714,000
Special Revenue Funds — Federal . . . . .	5,950,000	6,000,000	+ 50,000
Special Revenue Funds — Other . . . . .	2,500,000	2,500,000	. . . . .
Disability Determinations			
Special Revenue Funds — Federal . . . . .	156,000,000	162,500,000	+ 6,500,000
Special Revenue Funds — Other . . . . .	10,300,000	10,400,000	+ 100,000
Food Assistance Program			
Special Revenue Funds — Federal . . . . .	23,000,000	. . . . .	-23,000,000
Shelter and Supported Housing			
General Fund . . . . .	1,392,000	1,357,000	-35,000
Special Revenue Funds — Federal . . . . .	500,000	500,000	. . . . .
Departmental Administrative Reimbursement			
General Fund . . . . .	-64,500,000	-61,926,000	+ 2,574,000
Special Revenue Funds — Other . . . . .	65,495,000	65,495,000	. . . . .
Refugee and Immigrant Affairs			
Special Revenue Funds — Federal . . . . .	2,270,000	2,270,000	. . . . .
<u>Total . . . . .</u>	<u>\$485,132,000</u>	<u>\$513,023,000</u>	<u>+ \$27,891,000</u>

## **TEMPORARY AND DISABILITY ASSISTANCE**

### STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Direction . . . . .	\$1,342,000	-\$52,000	\$1,302,000	-\$52,000	\$34,000	. . . .
Legal Affairs . . . . .	8,226,000	-692,000	8,126,000	-692,000	. . . .	. . . .
Administration . . . . .	8,907,000	-111,000	8,882,000	-111,000	. . . .	. . . .
System Support and Information Services . . . . .	9,224,000	-1,051,000	8,941,000	-1,051,000	. . . .	. . . .
Child Support Enforcement . . . . .	2,961,000	-48,000	2,961,000	-48,000	. . . .	. . . .
Temporary and Disability Assistance Programs . . . . .	3,401,000	-714,000	3,188,000	-714,000	213,000	. . . .
Shelter and Supported Housing . . . . .	1,218,000	-35,000	1,218,000	-35,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$35,279,000</b>	<b>-\$2,703,000</b>	<b>\$34,618,000</b>	<b>-\$2,703,000</b>	<b>\$247,000</b>	<b>. . . .</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Direction . . . . .	\$6,000	. . . .
Legal Affairs . . . . .	100,000	. . . .
Administration . . . . .	25,000	. . . .
System Support and Information Services . . . . .	283,000	. . . .
Child Support Enforcement . . . . .	. . . .	. . . .
Temporary and Disability Assistance Programs . . . . .	. . . .	. . . .
Shelter and Supported Housing . . . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$414,000</b>	<b>. . . .</b>

# TEMPORARY AND DISABILITY ASSISTANCE

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total Change	Supplies and Materials Amount	Change
Executive Direction . . . . .	\$344,000	. . . . .	\$22,000	. . . . .
Legal Affairs . . . . .	2,959,000	+ \$170,000	158,500	. . . . .
Administration . . . . .	11,557,000	+ 1,500,000	150,300	. . . . .
System Support and Information Services . . . . .	77,051,000	+ 1,250,000	414,100	. . . . .
Child Support Enforcement . . . . .	1,203,000	. . . . .	34,000	. . . . .
Temporary and Disability Assistance Programs . . . . .	1,302,000	. . . . .	1,600	. . . . .
Shelter and Supported Housing . . . . .	139,000	. . . . .	10,400	. . . . .
Total . . . . .	\$94,555,000	+ \$2,920,000	\$790,900	. . . . .

Program	Amount	Travel Change	Contractual Services Amount	Change
Executive Direction . . . . .	\$60,800	. . . . .	\$235,000	. . . . .
Legal Affairs . . . . .	133,100	. . . . .	2,661,700	+ \$170,000
Administration . . . . .	183,300	. . . . .	4,632,900	+ 1,500,000
System Support and Information Services . . . . .	154,100	. . . . .	2,943,400	. . . . .
Child Support Enforcement . . . . .	57,800	. . . . .	446,200	. . . . .
Temporary and Disability Assistance Programs . . . . .	210,200	. . . . .	1,087,200	. . . . .
Shelter and Supported Housing . . . . .	35,500	. . . . .	87,800	. . . . .
Total . . . . .	\$834,800	. . . . .	\$12,094,200	+ \$1,670,000

Program	Amount	Equipment Change	Maintenance Undistributed Amount	Change
Executive Direction . . . . .	\$26,200	. . . . .	. . . . .	. . . . .
Legal Affairs . . . . .	5,700	. . . . .	. . . . .	. . . . .
Administration . . . . .	70,500	. . . . .	\$6,520,000	. . . . .
System Support and Information Services . . . . .	209,400	. . . . .	73,330,000	+ \$1,250,000
Child Support Enforcement . . . . .	. . . . .	. . . . .	665,000	. . . . .
Temporary and Disability Assistance Programs . . . . .	3,000	. . . . .	. . . . .	. . . . .
Shelter and Supported Housing . . . . .	5,300	. . . . .	. . . . .	. . . . .
Total . . . . .	\$320,100	. . . . .	\$80,515,000	+ \$1,250,000

# TEMPORARY AND DISABILITY ASSISTANCE

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$26,350,000	+ \$1,450,000	\$600,000	. . . .
System Support and Information Services . . . . .	166,800,000	+ 40,000,000	. . . .	. . . .
Child Support Enforcement . . . . .	2,300,000	. . . .	. . . .	. . . .
Temporary and Disability Assistance Programs . . . . .	8,500,000	+ 50,000	. . . .	. . . .
Disability Determinations . . . . .	172,900,000	+ 6,600,000	. . . .	. . . .
Food Assistance Program . . . . .	. . . .	-23,000,000	. . . .	. . . .
Shelter and Supported Housing . . . . .	500,000	. . . .	. . . .	. . . .
Refugee and Immigrant Affairs . . . . .	2,270,000	. . . .	. . . .	. . . .
Total . . . . .	\$379,620,000	+ \$25,100,000	\$600,000	. . . .

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$250,000	. . . .	\$25,500,000	+ \$1,450,000
System Support and Information Services . . . . .	. . . .	. . . .	166,800,000	+ 40,000,000
Child Support Enforcement . . . . .	. . . .	. . . .	2,300,000	. . . .
Temporary and Disability Assistance Programs . . . . .	. . . .	. . . .	8,500,000	+ 50,000
Disability Determinations . . . . .	. . . .	. . . .	172,900,000	+ 6,600,000
Food Assistance Program . . . . .	. . . .	. . . .	. . . .	-23,000,000
Shelter and Supported Housing . . . . .	. . . .	. . . .	500,000	. . . .
Refugee and Immigrant Affairs . . . . .	. . . .	. . . .	2,270,000	. . . .
Total . . . . .	\$250,000	. . . .	\$378,770,000	+ \$25,100,000

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,029,375,000	\$1,918,100,000	-\$111,275,000
Special Revenue Funds — Federal . . . . .	2,702,500,000	2,515,500,000	-187,000,000
Special Revenue Funds — Other . . . . .	132,100,000	86,200,000	-45,900,000
Fiduciary Funds . . . . .	6,000,000	10,000,000	+ 4,000,000
Total . . . . .	\$4,869,975,000	\$4,529,800,000	-\$340,175,000
Adjustments:			
Transfer(s) From			
Temporary and Disability Assistance, Office of			
General Fund (State Operations) . . . . .	-30,000,000		
Special Revenue Other (State Operations) . . . . .	-30,000,000		
Transfer(s) To			
Children and Family Services, Office of			
Special Revenue Funds — Federal . . . . .	+ 295,000,000		
Appropriated 1998-99 . . . . .	\$5,104,975,000		

# TEMPORARY AND DISABILITY ASSISTANCE

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
Special Revenue Funds — Other . . . . .	\$85,000,000	\$65,000,000	-\$20,000,000
Child Support Enforcement			
General Fund . . . . .	29,600,000	26,600,000	-3,000,000
Special Revenue Funds — Federal . . . . .	102,000,000	72,000,000	-30,000,000
Special Revenue Funds — Other . . . . .	100,000	100,000	. . . .
Temporary and Disability Assistance Programs			
General Fund . . . . .	1,477,100,000	1,384,000,000	-93,100,000
Special Revenue Funds — Federal . . . . .	2,305,000,000	2,168,000,000	-137,000,000
Special Revenue Funds — Other . . . . .	1,000,000	1,000,000	. . . .
Fiduciary Funds . . . . .	6,000,000	10,000,000	+ 4,000,000
Local Administration Program			
General Fund . . . . .	366,275,000	377,650,000	+ 11,375,000
Special Revenue Funds — Federal . . . . .	214,000,000	214,000,000	. . . .
Special Revenue Funds — Other . . . . .	6,000,000	6,000,000	. . . .
Food Assistance Program			
General Fund . . . . .	30,000,000	4,100,000	-25,900,000
Special Revenue Funds — Other . . . . .	30,000,000	4,100,000	-25,900,000
Shelter and Supported Housing			
General Fund . . . . .	120,750,000	120,750,000	. . . .
Special Revenue Funds — Federal . . . . .	40,000,000	20,000,000	-20,000,000
Special Revenue Funds — Other . . . . .	10,000,000	10,000,000	. . . .
Refugee and Immigrant Affairs			
General Fund . . . . .	5,000,000	5,000,000	. . . .
Special Revenue Funds — Federal . . . . .	41,500,000	41,500,000	. . . .
Legislative Initiatives			
General Fund . . . . .	650,000	. . . .	-650,000
<b>Total . . . . .</b>	<b><u>\$4,869,975,000</u></b>	<b><u>\$4,529,800,000</u></b>	<b><u>-\$340,175,000</u></b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Information Management Technology Program				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$361,000
Supported Housing Program				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	13,750,000
Housing Program Fund . . . . .	\$30,000,000	\$30,000,000	. . . .	110,745,000
<b>Total . . . . .</b>	<b><u>\$30,000,000</u></b>	<b><u>\$30,000,000</u></b>	<b><u>. . . .</u></b>	<b><u>\$124,856,000</u></b>

# **HIGHER EDUCATION SERVICES CORPORATION**

## **MISSION**

The Higher Education Services Corporation 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 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 to six-year terms. The ten gubernatorial appointees include two student representatives, a representative of the general public, a college financial aid administrator, a chief executive officer of a proprietary institution, two presidents of independent institutions, one chief executive officer of a proprietary school and two banking representatives. The remaining five ex-officio members include the Commissioner of Education, the Chancellors of the State University of New York and the City University of New York and student government leaders representing the public university systems.

The Corporation's chief executive officer is the President, who is nominated 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.

The agency will have a workforce of 869 employees in 1999-2000. Of this total, 710 positions (82 percent) are paid through funds received for the administration of federal student loans and 159 positions (18 percent) are paid from State funds for administration of State student financial aid programs. General administrative operations are located in Albany and Menands, while data processing operations are located in Troy.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends \$712 million in support of agency operations and programs. Of this amount, nearly \$88 million will be available to support administration of State and federal student aid programs and \$624 million will be awarded in financial aid to students or colleges to provide access to postsecondary opportunities and help maintain New York's leadership in higher education.

General Fund support of \$10.7 million is recommended for administration of State grants and scholarships, an increase of \$257,000, primarily to cover costs relating to rental space and building code compliance. Approximately \$77 million of the operating budget represents federal loan-related functions, which are supported from non-General Fund sources. Costs for shared data processing, personnel, finance and other administrative activities are allocated proportionately according to time expended for State or federal activities.

Of the \$624 million invested in financial aid and institutional grants, General Fund dollars account for more than \$614 million. Support for the remaining expenditures comes from federal funds and non-General Fund revenues.

## **STATE OPERATIONS**

The Corporation will continue to improve administrative practices in 1999-2000 through investments in enhanced employee skills, modern technological infrastructure, and

## **HIGHER EDUCATION SERVICES**

---

streamlined administrative practices as outlined in a newly-developed business plan. In addition to a renewed emphasis on providing comprehensive services to their clientele, the Corporation continues to develop partnerships with guaranty agencies from across the nation to streamline costs, improve services, and increase responsiveness through shared development efforts.

### **FINANCIAL AID PROGRAMS**

The 1999-2000 recommendation for the Tuition Assistance Program (TAP) is \$501.1 million on an academic year basis. This level of funding reflects a restructuring of the program to encourage students to progress toward timely completion of an undergraduate degree, which ensures that TAP remains available to students throughout their undergraduate college career, and reduced program expenditures attributable to income growth produced by a resurgent State economy. As a result of increases in family incomes and favorable employment opportunities, fewer students are expected to participate in TAP in the coming year, thereby generating a savings of nearly \$19 million. Restructuring TAP is expected to achieve 1999-2000 savings of \$114 million.

Major components of the restructured TAP program are as follows:

- Establishing an "expected student participation" (ESP) equal to 25 percent of tuition; providing a TAP award at the lower of \$4,125 or 75 percent of tuition. Students would meet the cost of the ESP through federal grants, campus-based aid, work-study or student loans.
- Creating a "reward" program to be known as the Achievement Incentive Dividend (AID) program, whereby the ESP is refunded for TAP recipients who graduate in a timely manner -- i.e., two years for an associate degree and four years for a baccalaureate, with additional time for certain extended baccalaureate programs and for opportunity program students. In addition, students graduating on time will be eligible for a "bonus" of the \$200 reduction currently applied against annual TAP awards after the fourth semester payment. As a result, students who complete their degree within these time frames would receive more State financial aid than at the present time.
- Redefining full-time study as 15 credits vs. the current 12 credits for receipt of TAP. Students enrolling in and earning 15 credit hours per semester would receive full TAP awards. Students enrolling in 15 credits, but earning less than 15 credits would receive 80 percent of a full-time award if they meet the satisfactory academic progress standards currently established for TAP.
- Apportioning the TAP maximum eight semester limit equally between two-year and four-year programs vs. the six semesters currently permitted for two-year programs. This will encourage students to complete their associate degree programs on a timely basis, and ensure students have not exhausted their TAP eligibility should they subsequently pursue a baccalaureate. Opportunity program students would be provided five semesters.
- Conforming TAP family income eligibility used for determining TAP awards from the current State's net taxable income (NTI) to the more widely used federal adjusted gross income (AGI) and reconciling State and federal criteria for determining a student's independent status will simplify the TAP program for both students and college financial aid officers. Setting income limits at the equivalent of \$50,500 AGI rather than the current \$50,500 NTI will ensure that TAP is targeted to those students most in need of assistance.

A total of \$10.5 million will support the continued phased implementation of the expanded Scholarships for Academic Excellence program, initially enacted in 1996. Under the expanded program, 2,000 of New York's top scholars will be eligible for annual awards of \$1,500 and 6,000 academically distinguished high school students will be eligible for

annual awards of \$500 for four years of undergraduate study. By recognizing high school achievement, this program encourages our most academically talented students to pursue their postsecondary education in New York State.

To promote the efficient delivery of higher education services, several programs promoting access to higher education opportunities will be transferred from the State Education Department to the Corporation. These include: Bundy Aid (\$44.25 million in unrestricted aid to private institutions); Higher Education Opportunity Program (\$16.4 million); Liberty Partnerships (\$11.0 million); Science and Technology Entry Program (\$7.5 million); Teacher Opportunity Corps (\$750,000); and Postsecondary Aid for Native Americans (\$635,000).

### **PROGRAM HIGHLIGHTS**

#### **STATE OPERATIONS**

The Corporation continues to streamline and improve its computer systems for the payment and tracking of student financial aid funds. The Corporation's goal is to provide payments more quickly to students, parents and colleges and to improve the accuracy of State financial aid data.

In 1999-2000, the Corporation will coordinate the State's applications for five-year grants under the new \$120 million Federal GEAR UP program with State programs, such as "New York Mentoring" and "Ready Set Go", used to meet the matching requirements for the federal funding. The Corporation will develop alliances with educational and community-based organizations to focus program activity on at-risk youth to raise college awareness, ensure high school graduation and assist in college and financial aid application.

#### **FEDERAL LOAN GUARANTEE PROGRAM**

The largest part of agency operations is the administration of the Federal Family Education Loan program. Under this program, the Corporation guarantees over \$8.8 billion in outstanding loans made by banks to students. When banks are unable to collect loan repayments, the agency intervenes to avert default. If unsuccessful, loans are purchased from banks and measures are taken to bring such defaulted loans back into repayment. The Corporation also provides customer services for lenders, schools and students, which include 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:

- \$1.57 billion in new guaranteed loans estimated for 1998-99;
- Loans guaranteed for approximately 260,000 individual borrowers; and
- Projected defaulted loan collections of over \$165 million and \$203 million defaulted loan purchases in 1998-99.

#### **FINANCIAL AID PROGRAMS**

The Corporation's State-funded responsibilities include processing student applications for State student financial aid programs, 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: \$501.1 million in aid will be provided to students in the public and private sectors.

## HIGHER EDUCATION SERVICES

- Aid for Part Time Study: \$14.6 million will be available to nearly 23,000 part-time students in all sectors of higher education.
- Scholarships and Fellowships: 5,200 recipients are projected to receive aid for special employment preparation or targeted needs under fifteen State and Federal programs; in 1999, 21,000 Scholarships for Academic Excellence will be available to students pursuing their college education in New York State.

### COLLEGE CHOICE TUITION SAVINGS PROGRAM

Signed into law in 1997, the College Choice Tuition Savings Program presents a major commitment by the State 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 education at accredited public and private colleges in New York or anywhere in the country by providing 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, more than 55,000 enrollment kits have been requested, and more than 43,000 accounts have been opened, with contributions exceeding \$146 million.

#### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$87,963,200	\$87,887,000	-\$76,200	\$750,000
Aid To Localities . . . . .	759,283,000	624,083,000	-135,200,000	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$847,246,200</u>	<u>\$711,970,000</u>	<u>-\$135,276,200</u>	<u>\$750,000</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	62	50	. . . . .	50	-12
Special Revenue Funds — Other . . . . .	241	241	. . . . .	241	. . . . .
Guaranteed Loan Programs					
Special Revenue Funds — Other . . . . .	529	469	. . . . .	469	-60
Grants and Scholarships					
General Fund . . . . .	<u>100</u>	<u>105</u>	<u>. . . . .</u>	<u>105</u>	<u>+ 5</u>
Total . . . . .	<u>932</u>	<u>865</u>	<u>. . . . .</u>	<u>865</u>	<u>-67</u>

# HIGHER EDUCATION SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$10,492,700	\$10,750,000	+ \$257,300
Special Revenue Funds — Other . . . . .	77,470,500	77,137,000	-333,500
Total . . . . .	\$87,963,200	<u>\$87,887,000</u>	<u>-\$76,200</u>
Adjustments:			
Transfer(s) From			
Education Department			
General Fund . . . . .	-250,000		
Appropriated 1998-99 . . . . .	<u>\$87,713,200</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
General Fund . . . . .	\$6,794,700	\$5,300,000	-\$1,494,700
Special Revenue Funds — Other . . . . .	30,139,500	30,637,000	+ 497,500
Guaranteed Loan Programs			
Special Revenue Funds — Other . . . . .	47,331,000	46,500,000	-831,000
Grants and Scholarships			
General Fund . . . . .	3,698,000	5,450,000	+ 1,752,000
Total . . . . .	<u>\$87,963,200</u>	<u>\$87,887,000</u>	<u>-\$76,200</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$2,700,000	-\$468,900	\$2,670,000	-\$463,200	. . . .	. . . .
Grants and Scholarships . . . . .	3,529,000	-17,400	3,494,000	-15,300	\$35,000	-\$2,100
Total . . . . .	<u>\$6,229,000</u>	<u>-\$486,300</u>	<u>\$6,164,000</u>	<u>-\$478,500</u>	<u>\$35,000</u>	<u>-\$2,100</u>

<u>Program</u>	Holiday/Overtime Pay (Annual Salaried)	
	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$30,000	-\$5,700
Grants and Scholarships . . . . .	. . . .	. . . .
Total . . . . .	<u>\$30,000</u>	<u>-\$5,700</u>

# HIGHER EDUCATION SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration . . . . .	\$2,600,000		-\$1,025,800	\$164,000	-\$500
Grants and Scholarships . . . . .	1,921,000		+ 1,769,400	61,000	+ 21,600
<b>Total . . . . .</b>	<b>\$4,521,000</b>		<b>+ \$743,600</b>	<b>\$225,000</b>	<b>+ \$21,100</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration . . . . .	\$5,000		-\$800	\$2,398,000	-\$1,024,200
Grants and Scholarships . . . . .	8,000		+ 7,400	1,832,000	+ 1,730,200
<b>Total . . . . .</b>	<b>\$13,000</b>		<b>+ \$6,600</b>	<b>\$4,230,000</b>	<b>+ \$706,000</b>

Program	Amount	Equipment	
		Amount	Change
Administration . . . . .	\$33,000		-\$300
Grants and Scholarships . . . . .	20,000		+ 10,200
<b>Total . . . . .</b>	<b>\$53,000</b>		<b>+ \$9,900</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Personal Service	
		Amount	Change	Amount	Change
Administration . . . . .	\$30,637,000		+ \$497,500	\$9,493,800	. . . . .
Guaranteed Loan Programs . . . . .	46,500,000		-831,000	16,500,000	-\$229,000
<b>Total . . . . .</b>	<b>\$77,137,000</b>		<b>-\$333,500</b>	<b>\$25,993,800</b>	<b>-\$229,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$20,643,200	-\$2,500	\$500,000	+ \$500,000
Guaranteed Loan Programs . . . . .	30,000,000	-602,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$50,643,200</b>	<b>-\$604,500</b>	<b>\$500,000</b>	<b>+ \$500,000</b>

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

Fund Type	Available	Recommended	Change
	1998-99	1999-00	
General Fund . . . . .	\$749,883,000	\$614,683,000	-\$135,200,000
Special Revenue Funds — Federal . . . . .	2,400,000	2,400,000	. . . . .
Special Revenue Funds — Other . . . . .	7,000,000	7,000,000	. . . . .
<b>Total . . . . .</b>	<b>\$759,283,000</b>	<b>\$624,083,000</b>	<b>-\$135,200,000</b>
Adjustments:			
Transfer(s) From			
Education Department			
General Fund . . . . .			-81,735,000
Appropriated 1998-99 . . . . .	\$677,548,000		

## HIGHER EDUCATION SERVICES

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
State Grant Programs			
General Fund . . . . .	\$633,600,000	\$501,100,000	-\$132,500,000
Special Revenue Funds — Federal . . . . .	2,400,000	2,400,000	. . . .
Scholarships and Fellowships			
General Fund . . . . .	19,918,000	18,418,000	-1,500,000
Special Revenue Funds — Other . . . . .	7,000,000	7,000,000	. . . .
Tuition Awards for Part-Time Students			
General Fund . . . . .	14,630,000	14,630,000	. . . .
Institutional Grants			
General Fund . . . . .	81,100,000	79,900,000	-1,200,000
Post Secondary Aid for Native Americans			
General Fund . . . . .	635,000	635,000	. . . .
Total . . . . .	<u>\$759,283,000</u>	<u>\$624,083,000</u>	<u>-\$135,200,000</u>



# DIVISION OF HUMAN RIGHTS

## MISSION

New York State holds the proud distinction of being the first state to enact a Human Rights Law, affording every citizen an equal opportunity to enjoy a full and productive life. Discriminating against others on the grounds of their race, creed, color, sex, age, national origin, disability, genetic predisposition and carrier status, or other specified classes is illegal in the State of New York.

The New York State Division of Human Rights serves as the administrative arm of the Law, with its primary mission being the enforcement and protection of human rights. Programs of the Division of Human Rights focus on ensuring equal opportunity in employment, housing, public accommodation, education and credit. The Division:

- Investigates and resolves complaints of illegal discrimination;
- Promotes human rights awareness through education and acts as a resource in the prevention and elimination of discrimination; and
- Develops human rights policy for the State.

## ORGANIZATION AND STAFFING

Under the direction of the Commissioner, the Division operates from its main office in New York City and from nine regional offices (Albany, Binghamton, Buffalo, Rochester, Brooklyn, Long Island, Lower Manhattan, Upper Manhattan and White Plains) and three satellite offices (Queens, Staten Island and Syracuse).

## BUDGET AND PROGRAM HIGHLIGHTS

In the last four years, the Division has made solid progress toward reducing its backlog of cases. Open cases totaled 9,253 at the close of the 1997-98 fiscal year, down from 16,880 when the new administration took over on January 1, 1995. However, during the current fiscal year, the caseload has again increased, primarily as a result of more inclusive case intake procedures.

The State is working vigorously with experts in the field to frame a strategy to fully eliminate the backlog and meet reasonable standards for timely case processing.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$12,448,000	\$12,758,000	+ \$310,000	\$3,740,000
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$12,448,000</u>	<u>\$12,758,000</u>	<u>+ \$310,000</u>	<u>\$3,740,000</u>

# HUMAN RIGHTS

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund	43	43	....	43	....
Legal Enforcement					
General Fund	15	15	....	15	....
Regional Affairs					
General Fund	86	86	....	86	....
Special Revenue Funds — Federal	39	....	44	44	+ 5
Subtotal, Direct Funded Programs	183	144	44	188	+ 5
Suballocations:					
General Fund	2			2	....
Total	185			190	+ 5

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$9,538,000	\$9,848,000	+ \$310,000
Special Revenue Funds — Federal	2,740,000	2,740,000	....
Special Revenue Funds — Other	120,000	120,000	....
Fiduciary Funds	50,000	50,000	....
Total	\$12,448,000	\$12,758,000	+ \$310,000

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$3,952,000	\$4,034,000	+ \$82,000
Special Revenue Funds — Other	120,000	120,000	....
Fiduciary Funds	50,000	50,000	....
Legal Enforcement			
General Fund	1,100,000	1,165,000	+ 65,000
Regional Affairs			
General Fund	4,486,000	4,649,000	+ 163,000
Special Revenue Funds — Federal	2,740,000	2,740,000	....
Total	\$12,448,000	\$12,758,000	+ \$310,000

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$2,392,000	+ \$46,000	\$2,170,000	+ \$46,000	\$220,000	. . . .
Legal Enforcement . . . . .	1,080,000	+ 61,000	1,079,000	+ 61,000	. . . .	. . . .
Regional Affairs . . . . .	4,244,000	+ 146,000	4,242,000	+ 146,000	. . . .	. . . .
Total . . . . .	<u>\$7,716,000</u>	<u>+ \$253,000</u>	<u>\$7,491,000</u>	<u>+ \$253,000</u>	<u>\$220,000</u>	<u>. . . .</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$2,000	. . . .
Legal Enforcement . . . . .	1,000	. . . .
Regional Affairs . . . . .	2,000	. . . .
Total . . . . .	<u>\$5,000</u>	<u>. . . .</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,642,000	+ \$36,000	\$8,000	+ \$1,000
Legal Enforcement . . . . .	85,000	+ 4,000	6,000	. . . .
Regional Affairs . . . . .	405,000	+ 17,000	10,000	. . . .
Total . . . . .	<u>\$2,132,000</u>	<u>+ \$57,000</u>	<u>\$24,000</u>	<u>+ \$1,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$30,000	+ \$1,000	\$1,572,000	+ \$33,000
Legal Enforcement . . . . .	26,000	-1,000	48,000	+ 4,000
Regional Affairs . . . . .	28,000	. . . .	310,000	+ 18,000
Total . . . . .	<u>\$84,000</u>	<u>. . . .</u>	<u>\$1,930,000</u>	<u>+ \$55,000</u>

Program	Equipment	
	Amount	Change
Administration . . . . .	\$32,000	+ \$1,000
Legal Enforcement . . . . .	5,000	+ 1,000
Regional Affairs . . . . .	57,000	-1,000
Total . . . . .	<u>\$94,000</u>	<u>+ \$1,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$170,000	. . . .	\$170,000	. . . .
Regional Affairs . . . . .	2,740,000	. . . .	2,740,000	. . . .
Total . . . . .	<u>\$2,910,000</u>	<u>. . . .</u>	<u>\$2,910,000</u>	<u>. . . .</u>



# ***DEPARTMENT OF LABOR***

## ***MISSION***

The Department of Labor (DOL) helps prepare the people of the State for the jobs of today and tomorrow and delivers dozens of services that help people find jobs and employers find workers. The Department administers Federal Unemployment Insurance benefits for people who have lost jobs through no fault of their own. These benefits support New York's workers and their families. DOL also enforces regulations that maintain safety and health in the workplace and ensure fair compensation.

## ***ORGANIZATION AND STAFFING***

The Department is headed by a Commissioner and is organized into six programs: Employment and Training; Occupational Safety and Health; Labor Standards; Unemployment Insurance; Employment Relations Board; and Administration.

The Department of Labor's Central Office is located in Albany. The Department also has 75 Community Service Centers located throughout the State which administer the Unemployment Insurance program and provide job training and placement services. Six community service regional offices, located in Binghamton, Hicksville, New York City, Rochester, Saratoga and White Plains, oversee the 75 community service centers. In addition, the Department has nine worker protection district offices which enforce child labor laws, foster workplace health and safety, including elimination of illegal "sweat shop" conditions, and ensure that employees are paid in accordance with provisions of the Labor Law. Offices are staffed based upon the workload in each geographic area.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Department of Labor will have a workforce of 4,589 employees in 1999-00. Approximately 87 percent of these positions are financed by Federal grants; 10 percent are supported by fees and assessments; and the remaining three percent are paid by State tax dollars from the General Fund.

General Fund appropriations, though not the major support of the Department of Labor's operations, will provide partial support for agency administration, job training, welfare employment services, and enforcement activities as well as funding for the Employment Relations Board (ERB) and Youth, Education, Employment and Training programs. ERB helps to mediate disputes between private sector employers and employees to avoid and settle strikes.

General Fund appropriations of \$8,958,700 will support the current level of Youth Education, Employment and Training program contracts that serve economically disadvantaged youth. In addition, a General Fund appropriation of \$2,287,000 will continue support for the Green Teams program contracts that provide vocational training and work experience for approximately 300 youth and 100 adults.

As the lead agency in helping people find jobs and employers find workers, the Department verifies employer tax credits by ensuring that the individuals hired qualify the employer for the tax credit. To improve the processing of tax credits for employers, the budget includes funding for the Department to serve as the single point of entry for employer tax credits. The Department currently processes tax credits that employers receive for hiring welfare recipients and hiring individuals in designated economic development zones. This budget proposes that DOL also process recently enacted employer tax credits for hiring individuals with disabilities, thereby ensuring a simple and efficient method for employers to apply for the various credits.

## **LABOR**

---

Federal Fund appropriations support approximately 26 percent of the Department's overall budget. Specific programs and activities include Unemployment Insurance, Welfare-to-Work, re-employment services for persons who may be affected by international trade agreements, and Job Training Partnership Act (JTPA) and Workforce Investment Act services.

JTPA provides job training to youth, unskilled adults and economically disadvantaged individuals to prepare them for employment. Under the recently enacted Federal Workforce Investment Act (WIA), states must convert from JTPA programs to WIA programs by July 2000. While WIA provides similar services to those under JTPA, WIA funding will be provided through three new block grants and services will be delivered through one-stop delivery systems. Federal local assistance appropriations include JTPA funding for 1999-2000 and additional authority to begin the implementation of WIA programs by July, 2000 should Federal funding become available.

Under the State Welfare Reform Act of 1997, the Department is responsible for supervising social services district operation of welfare employment programs. The programs are supported by General Fund, Federal Temporary Assistance for Needy Families (TANF) block grant dollars, and Federal Food Stamp Employment and Training monies. Highlights include a broad-based expansion of the InVEST Program which helps welfare recipients and other low-income workers upgrade their skills to strengthen employability and earn higher wages; a new hospital based wage subsidy and training demonstration program to help welfare recipients secure and retain employment in the health care industry; an expansion of Governor Pataki's Built on Pride initiative to increase apprenticeship and pre-apprenticeship training programs available to Family Assistance recipients; and a new block grant to social service districts to address specific local employment and training needs.

Federal appropriations also include funding to assist families that are the victims of natural disasters. Adjustments to Federal State Operations appropriations reflect an increase of \$51 million for the Unemployment Insurance and other employment related programs, mostly attributable to the new re-employment services program established in last year's Unemployment Insurance reform bill, partially offset by the elimination of \$22.9 million in authority for one-time payments associated with last year's North Country ice storm.

Fee revenues support approximately one percent of the Department of Labor's overall budget, funding worker protection and compensation enforcement activities and job training programs. These accounts are financed by fees the agency collects for health and safety inspections related to asbestos abatement, commercial boiler operation, amusement park rides and tramways, and penalties collected from employers who are late in paying Unemployment Insurance taxes or providing important Unemployment Insurance data. To achieve General fund savings, the budget proposes the transfer of twelve Labor Standards positions from the General Fund to the State account supported by Department fee revenues. Revenue from Workers' Compensation Board assessments on employers and insurance companies also supports worker protection and enforcement activities, as well as a workplace safety contract program. The Unemployment Insurance benefit appropriation of \$2.5 billion comprises 71 percent of the Department of Labor's overall budget. These benefits are funded from Unemployment Insurance taxes paid by employers.

The Department's budget also includes an appropriation of \$245,000 which partially finances construction projects by local governments to correct workplace hazards and is supported by the penalties assessed against public employers whose workplaces do not comply with State health and safety standards.

**PROGRAM HIGHLIGHTS****JOB SERVICES**

Through its Community Service Centers located statewide, the Department of Labor offers "One Stop Shopping" in its delivery of employment services. This approach ensures that individuals have access to a variety of employment services, including job referral and placement, education and training, resume preparation, employer information, and support services such as child care and transportation, all at one location. The Centers also benefit employers by providing them with access to worker resumes and information on tax credits, workplace safety issues and apprenticeship services. To assist with ongoing implementation, the Department has awarded \$3 million in federal grants to 24 counties and New York City to help them establish One-Stop career centers. Department of Labor employment services also help move individuals from welfare to work and help prevent public assistance dependency by focusing on disadvantaged youth, displaced homemakers, and persons who may lose their jobs because of plant closings or relocations.

Through the use of computers, the Department of Labor has made it easier for job seekers and employers to use and benefit from agency services. For example, employers can enter their job openings and review information about job seekers through the computer without needing any assistance from Department of Labor staff. Similarly, job seekers can independently review the list of job openings. Because the information is on computer, employers and job seekers do not have to visit a Department of Labor Center, but can directly access the Department's database from the Internet. These job-finding services are supported with Federal funds. In program year 1997, the Department of Labor served approximately 460,000 individuals and successfully placed an estimated 62,000 individuals in jobs.

In addition to the development of One-Stop Centers across the State, the Department is working with other State and local agencies, community colleges and others to build a workforce development system that provides access to information and services across agency lines regardless of where a person may initially go for assistance — State office, local government office, community service agency or college placement office.

**JOB TRAINING PARTNERSHIP ACT (JTPA) PROGRAM/WORKFORCE INVESTMENT ACT (WIA)**

The Job Training Partnership Act (JTPA) Program is supported by Federal dollars and provides job training services to youth, unskilled adults, welfare recipients and workers who have lost a job because of a plant closing or relocation. These services are provided by local governments and community agencies under Department of Labor supervision. It is estimated that the Department will receive approximately \$352 million in Federal JTPA dollars and in anticipated funding under the Workforce Investment Act during program year 1999.

**EMPLOYMENT RELATIONS**

The Employment Relations Board helps mediate disputes between private sector employers and employees to avoid or settle strikes. These efforts are important to New York's economy because disagreements between labor and management can cause disruption of local economies. In 1997, the Board received approximately 1,500 requests for assistance and provided help to over 600 individual employers and over 200 labor organizations.

### **WORKER PROTECTION**

Worker Protection functions are carried out by two Department of Labor programs: Occupational Safety and Health, and Labor Standards.

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 recent years show that the Division inspected 19,445 amusement park devices, 771 ski lifts, 8,804 places of public assembly (e.g., bleachers at concerts), and 31,292 commercial boilers. It also reviewed applications for 617 Radioactive Materials licenses and 57,426 asbestos licenses and certificates.

The Labor Standards program enforces the Labor Law in such areas as minimum wage, child labor, registration of garment industry employers, cash payment of wages, meal periods, and equal pay. Statistics for recent years indicate the Division inspected 1,558 businesses for compliance with child labor laws, and found actual violations in 871 cases (56 percent). It also collected over \$10 million in back wages, unpaid fringe benefits, and minimum wage underpayments for approximately 22,244 employees.

Within the Labor Standards program, the Bureau of Public Work enforces Labor Law provisions related to work performed under State and/or local government contracts. Specific provisions require payment of prevailing wages, prevent illegal "kickback" of wages to employers, and prohibit work beyond eight hours per day/five days per week without appropriate overtime compensation. Statistics for recent years indicate the Division collected \$646,320 in civil penalties, \$1,724,112 in unreported State and local payroll taxes, and \$9.7 million in underpaid wages for 6,944 employees.

### **UNEMPLOYMENT INSURANCE**

The Unemployment Insurance (UI) program makes weekly payments to eligible unemployed workers who have lost a job. These temporary payments, which are available for up to 26 weeks, help workers and their families pay bills and buy basic household items while looking for work.

To help unemployed workers find work as quickly as possible, the Department of Labor operates a Self-Employment program to help workers establish businesses and become self-employed. Workers whom the Department identifies as least likely to find another job without such assistance are referred to this program. In addition, as part of the changes enacted in last year's Unemployment Insurance reform bill, the Department will operate a re-employment services program to further strengthen efforts to move individuals back to work.

As part of Governor Pataki's continuing efforts to make government more efficient, the Department of Labor has established an initial claims system that uses computer technology to determine if applicants are eligible to receive unemployment insurance benefits with information received over the phone. The system operates through two Tele-Claims Centers in Troy and Glendale, with a third site in New York City scheduled to open shortly. This system replaces the inefficient process of requiring DOL staff to determine eligibility from paper forms filled out by applicants at local Department of Labor offices.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$2,978,721,400	\$3,008,464,000	+ \$29,742,600	\$384,765,700
Aid To Localities . . . . .	482,692,300	510,789,700	+ 28,097,400	521,155,000
Capital Projects . . . . .	.....	.....	.....	.....
<b>Total . . . . .</b>	<b>\$3,461,413,700</b>	<b>\$3,519,253,700</b>	<b>+ \$57,840,000</b>	<b>\$905,920,700</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
<b>Administration</b>					
General Fund . . . . .	76	83	.....	83	+ 7
Special Revenue Funds — Federal . . . . .	3,976	.....	3,976	3,976	.....
<b>Occupational Safety and Health</b>					
Special Revenue Funds — Other . . . . .	214	214	.....	214	.....
<b>Labor Standards</b>					
General Fund . . . . .	33	21	.....	21	-12
Special Revenue Funds — Other . . . . .	180	173	19	192	+ 12
<b>Employer Relations Board</b>					
General Fund . . . . .	14	14	.....	14	.....
<b>Employment and Training</b>					
General Fund . . . . .	15	15	.....	15	.....
Special Revenue Funds — Other . . . . .	74	.....	74	74	.....
<b>Total . . . . .</b>	<b>4,582</b>	<b>520</b>	<b>4,069</b>	<b>4,589</b>	<b>+ 7</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$10,714,900	\$10,760,900	+ \$46,000
Special Revenue Funds — Federal . . . . .	422,843,300	451,167,300	+ 28,324,000
Special Revenue Funds — Other . . . . .	45,163,200	46,535,800	+ 1,372,600
Fiduciary Funds . . . . .	2,500,000,000	2,500,000,000	.....
<b>Total . . . . .</b>	<b>\$2,978,721,400</b>	<b>\$3,008,464,000</b>	<b>+ \$29,742,600</b>

# LABOR

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$4,334,100	\$4,763,700	+ \$429,600
Special Revenue Funds — Federal . . . . .	365,843,300	417,067,300	+ 51,224,000
Occupational Safety and Health			
Special Revenue Funds — Other . . . . .	22,317,900	22,658,600	+ 340,700
Labor Standards			
General Fund . . . . .	1,566,200	995,700	-570,500
Special Revenue Funds — Other . . . . .	10,725,800	11,671,700	+ 945,900
Employer Relations Board			
General Fund . . . . .	1,618,000	1,696,700	+ 78,700
Employment and Training			
General Fund . . . . .	3,196,600	3,304,800	+ 108,200
Special Revenue Funds — Other . . . . .	12,119,500	12,205,500	+ 86,000
Unemployment Insurance Benefit Fund			
Special Revenue Funds — Federal . . . . .	57,000,000	34,100,000	-22,900,000
Fiduciary Funds . . . . .	2,500,000,000	2,500,000,000	. . . . .
<b>Total . . . . .</b>	<b>\$2,978,721,400</b>	<b>\$3,008,464,000</b>	<b>+ \$29,742,600</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,759,600	+ \$104,600	\$3,759,600	+ \$104,600	. . . . .	. . . . .
Labor Standards . . . . .	852,200	-479,500	852,200	-479,500	. . . . .	. . . . .
Employer Relations Board . . . . .	885,200	-59,300	868,500	-59,300	\$16,700	. . . . .
Employment and Training . . . . .	827,400	+ 16,200	827,400	+ 16,200	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$6,324,400</b>	<b>-\$418,000</b>	<b>\$6,307,700</b>	<b>-\$418,000</b>	<b>\$16,700</b>	<b>. . . . .</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration . . . . .	\$1,004,100		+ \$325,000	\$49,700	. . . . .
Labor Standards . . . . .	143,500		-91,000	5,500	-\$3,600
Employer Relations Board . . . . .	811,500		+ 138,000	18,200	-100
Employment and Training . . . . .	2,477,400		+ 92,000	35,000	. . . . .
<b>Total . . . . .</b>	<b>\$4,436,500</b>		<b>+ \$464,000</b>	<b>\$108,400</b>	<b>-\$3,700</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration . . . . .	\$69,600		. . . . .	\$461,600	. . . . .
Labor Standards . . . . .	7,600		-\$4,900	113,300	-\$71,800
Employer Relations Board . . . . .	62,500		. . . . .	378,900	-11,900
Employment and Training . . . . .	24,200		. . . . .	15,200	. . . . .
<b>Total . . . . .</b>	<b>\$163,900</b>		<b>-\$4,900</b>	<b>\$969,000</b>	<b>-\$83,700</b>

Program	Amount	Equipment		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration . . . . .	\$98,200		. . . . .	\$325,000	+ \$325,000
Labor Standards . . . . .	17,100		-\$10,700	. . . . .	. . . . .
Employer Relations Board . . . . .	1,900		. . . . .	350,000	+ 150,000
Employment and Training . . . . .	24,000		. . . . .	2,379,000	+ 92,000
<b>Total . . . . .</b>	<b>\$141,200</b>		<b>-\$10,700</b>	<b>\$3,054,000</b>	<b>+ \$567,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total		Personal Service	
		Amount	Change	Amount	Change
Administration . . . . .	\$417,067,300		+ \$51,224,000	. . . . .	. . . . .
Occupational Safety and Health . . . . .	22,658,600		+ 340,700	\$10,589,500	+ \$204,900
Labor Standards . . . . .	11,671,700		+ 945,900	7,956,000	+ 627,800
Employment and Training . . . . .	12,205,500		+ 86,000	. . . . .	. . . . .
Unemployment Insurance Benefit Fund . . . . .	2,534,100,000		-22,900,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$2,997,703,100</b>		<b>+ \$29,696,600</b>	<b>\$18,545,500</b>	<b>+ \$832,700</b>

Program	Amount	Nonpersonal Service		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration . . . . .	. . . . .		. . . . .	\$417,067,300	+ \$51,224,000
Occupational Safety and Health . . . . .	\$12,069,100		+ \$135,800	. . . . .	. . . . .
Labor Standards . . . . .	2,710,300		+ 318,100	1,005,400	. . . . .
Employment and Training . . . . .	. . . . .		. . . . .	12,205,500	+ 86,000
Unemployment Insurance Benefit Fund . . . . .	. . . . .		. . . . .	2,534,100,000	-22,900,000
<b>Total . . . . .</b>	<b>\$14,779,400</b>		<b>+ \$453,900</b>	<b>\$2,964,378,200</b>	<b>+ \$28,410,000</b>

# LABOR

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$37,339,300	\$33,958,700	-\$3,380,600
Special Revenue Funds — Federal . . . . .	445,108,000	476,586,000	+ 31,478,000
Special Revenue Funds — Other . . . . .	245,000	245,000	. . . .
<b>Total . . . . .</b>	<b><u>\$482,692,300</u></b>	<b><u>\$510,789,700</u></b>	<b><u>+ \$28,097,400</u></b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Occupational Safety and Health Special Revenue Funds — Other . . . . .	\$245,000	\$245,000	. . . .
Employer Relations Board General Fund . . . . .	150,000	. . . .	-\$150,000
Employment and Training General Fund . . . . .	36,938,700	33,958,700	-2,980,000
Special Revenue Funds — Federal . . . . .	445,108,000	476,586,000	+ 31,478,000
Legislative Initiatives General Fund . . . . .	250,600	. . . .	-250,600
<b>Total . . . . .</b>	<b><u>\$482,692,300</u></b>	<b><u>\$510,789,700</u></b>	<b><u>+ \$28,097,400</u></b>

# **STATE UNIVERSITY OF NEW YORK**

## **MISSION**

Created in 1948, the State University of New York 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 postsecondary educational programs of the highest quality and with the broadest possible access.

## **ORGANIZATION AND STAFFING**

The three major components of the State University's mission — teaching, public service and research — are carried out by:

- Eight campuses (including three health science centers) 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.

The University is governed by a Board of Trustees consisting of 16 members, with 15 appointed by the Governor to staggered seven-year terms and approved by the Senate, and one ex-officio trustee representing the student assembly 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, and serves at the pleasure of, the Board of Trustees. Individual college presidents are also appointed by, and serve at the pleasure of, the Board.

The State University's operating budget supports an estimated 34,150 full-time equivalent positions consisting of 22,050 positions that are supported through a combination of State tax dollars and tuition revenues and 12,100 positions supported by other funds. Community college staff are not included in these totals as they are not employees of the State.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

### **STATE-OPERATED COLLEGES**

The 1999-2000 Executive Budget recommends over \$3.1 billion to support the operations of the State University's campuses, central administration and University-wide programs. In addition to \$946 million in support from the General Fund (\$821 million for operations and \$125 million for certain fringe benefit costs), the University's budget includes approximately \$2.0 billion in activities funded by other revenues. Revenue-generating entities and programs include: three teaching hospitals at Brooklyn,

Stony Brook and Syracuse; the Long Island Veterans' Home administered by the Stony Brook Health Science Center; dormitory operations; food services; and tuition-supported activities, including summer session and overseas academic studies.

The State University's general operating budget for the 1999-2000 academic year is \$1,589 million, essentially the same level of funding as in 1998-99. The budget ensures sufficient resources are available to maintain essential academic programs and services and anticipates continued efforts by the University to improve its overall cost-efficiency.

In 1998, the SUNY hospitals received significant additional operational flexibility with the enactment of Chapter 363. This legislation permits SUNY hospitals to enter into networking and managed care contracts and provides the hospitals with greater autonomy in contracting for management services and purchasing goods and services. However, if the SUNY hospitals are to remain competitive in today's changing health care environment, further steps must be taken to effect structural changes that provide these hospitals with additional managerial and operational flexibility. The University's legislative agenda for the coming year will include additional statutory changes necessary to ensure the continued financial stability and viability of SUNY's hospitals.

For 1999-2000, federal funding of \$129 million supports the Pell grant program and various other student financial aid programs, while fiduciary funding of \$49 million provides for low-interest loans to needy students and the expenditure of earnings on SUNY endowment funds.

### **COMMUNITY COLLEGES**

SUNY community colleges have three primary funding sources — State aid, support from local sponsors and tuition revenue. The recommended State aid of \$291.3 million, an increase of \$1.6 million over 1998-99, will provide full annual funding to support the \$150 per full-time student base aid enhancement provided for the 1998-99 academic year. Components of State aid include: basic operating aid (\$281.3 million), rental aid (\$4.8 million), child care (\$1.1 million), workforce training (\$1.0 million) and reimbursement to counties outside New York City for payments made to the Fashion Institute of Technology (\$3.1 million).

General Fund support for community colleges reflects the discontinuation of the State's reimbursement to counties for their cost of resident students attending the Fashion Institute of Technology (FIT). However, funding is included to pay off the balance due on current year FIT chargeback obligations.

### ***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 nearly \$2.9 million in continued State support for this program.

### **CAPITAL**

The 1999-2000 Executive Budget recommendations represent the second-year of the Governor's Capital Investment Program that will provide over \$2.0 billion for facility and infrastructure improvements at SUNY State-operated and community college campuses, consistent with needs and priorities established by the University.

Overall capital recommendations for State-operated colleges total \$330 million, including \$287 million in bonded projects for academic and other facilities and \$43 million in hard dollar capital funding. The \$224 million included for educational facility bond sales reflects the awarding of major construction contracts anticipated in the coming year.

Capital spending will address not only critical health, safety and preservation needs, but also the construction and renovation of facilities necessary to meet the educational and technological challenges of the next millennium.

Community college capital projects are funded through State aid and direct sponsor support. Recommendations for 1999-2000 total \$40 million, including \$35 million in high priority bonded projects for which financial commitments have already been obtained from local sponsors. The remaining \$5 million will fund hard dollar projects addressing critical health, safety and preservation issues

**PROGRAM HIGHLIGHTS**

The State University of New York serves as a major resource for education, research service and economic stimulus in the State and ranks as the largest comprehensive higher education system in the county. As a comprehensive public university — with 64 geographically dispersed campuses — SUNY provides high quality educational programs to a broad spectrum of individuals. More than 367,000 full-time and part-time students — 187,000 at State-operated campuses and 180,000 in community colleges — are pursuing study in traditional classrooms or at home through such innovative institutions as the SUNY Learning Network and Empire State College, a leader in non-traditional education and distance learning for over 25 years.

Because of its structure and comprehensive programs, the University offers students a wide diversity of educational options: short-term vocational and technical courses; certificate programs; baccalaureate degrees, graduate degrees and post-doctoral studies. SUNY offers access to almost every field of academic or professional study within its system — nearly 5,000 programs of study in all.

As part of SUNY's commitment to attract the very best and brightest scholars, scientists, artists and professionals, the University's faculty is recruited from graduate schools and universities throughout the United States and around the world. SUNY's faculty includes individuals who have gained national and international prominence through the receipt of prestigious awards and honors. In 1998, Dr. Robert Furchgott, a medical researcher at the State University Health Science Center at Brooklyn, became the third State University faculty member to win the Nobel Prize.

The State University's 30 locally-sponsored community colleges offer programs that are directly and immediately job-related, as well as degree programs that may lead to baccalaureate study. Serving as an essential source of skilled employees, community colleges play a critical 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 post-secondary education for all New Yorkers.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$3,184,506,500	\$3,193,603,000	+ \$9,096,500	\$57,050,000
Aid To Localities . . . . .	292,985,600	294,164,600	+ 1,179,000	. . . . .
Capital Projects . . . . .	2,147,750,000	. . . . .	-2,147,750,000	2,558,815,000
Total . . . . .	<u>\$5,625,242,100</u>	<u>\$3,487,767,600</u>	<u>-\$2,137,474,500</u>	<u>\$2,615,865,000</u>

# STATE UNIVERSITY

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$944,815,500	\$946,412,000	+ \$1,596,500
Special Revenue Funds — Federal . . . . .	117,600,000	129,100,000	+ 11,500,000
Special Revenue Funds — Other . . . . .	2,077,791,000	2,063,791,000	-14,000,000
Internal Service Funds . . . . .	. . . . .	5,000,000	+ 5,000,000
Fiduciary Funds . . . . .	44,300,000	49,300,000	+ 5,000,000
<b>Total . . . . .</b>	<b>\$3,184,506,500</b>	<b>\$3,193,603,000</b>	<b>+ \$9,096,500</b>
Adjustments:			
Transfer(s) From			
Economic Development, Department of			
General Fund . . . . .	-333,000		
Alcoholism and Substance Abuse Services, Office			
of			
General Fund . . . . .	-2,413,500		
Appropriated 1998-99 . . . . .	<u>\$3,181,760,000</u>		

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$292,985,600	\$294,164,600	+ \$1,179,000
<b>Total . . . . .</b>	<b>\$292,985,600</b>	<b>\$294,164,600</b>	<b>+ \$1,179,000</b>
Adjustments:			
Recommended Deficiency			
General Fund . . . . .	-12,800,000		
Appropriated 1998-99 . . . . .	<u>\$280,185,600</u>		

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Community Colleges			
General Fund . . . . .	\$289,665,000	\$291,302,000	+ \$1,637,000
County Cooperative Extension Program - Cornell			
University			
General Fund . . . . .	2,862,600	2,862,600	. . . . .
Other Community Projects			
General Fund . . . . .	458,000	. . . . .	-458,000
<b>Total . . . . .</b>	<b>\$292,985,600</b>	<b>\$294,164,600</b>	<b>+ \$1,179,000</b>

# STATE UNIVERSITY

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Senior Colleges				
General Maintenance and Improvements				
Capital Projects Fund . . . . .	\$122,750,000	. . . .	-\$122,750,000	\$161,729,000
Capital Projects Fund - Advances . . . . .	1,475,000,000	. . . .	-1,475,000,000	1,759,609,000
State University Capital Projects Fund - 384				
State University Capital Projects Fund . . . . .	100,000,000	. . . .	-100,000,000	100,000,000
State University Residence Hall Rehabilitation Fund - 074				
State University Residence Hall Rehabilitation Fund . . . . .	250,000,000	. . . .	-250,000,000	280,920,000
Subtotal . . . . .	<u>\$1,947,750,000</u>	<u>. . . .</u>	<u>-\$1,947,750,000</u>	<u>\$2,302,258,000</u>
Community Colleges				
General Maintenance and Improvements				
Capital Projects Fund . . . . .	\$25,000,000	. . . .	-\$25,000,000	\$36,891,000
Capital Projects Fund - Advances . . . . .	175,000,000	. . . .	-175,000,000	200,000,000
New Facilities				
Capital Projects Fund - Advances . . . . .	. . . .	<u>. . . .</u>	<u>. . . .</u>	<u>19,666,000</u>
Subtotal . . . . .	<u>\$200,000,000</u>	<u>. . . .</u>	<u>-\$200,000,000</u>	<u>\$256,557,000</u>
Total . . . . .	<u><u>\$2,147,750,000</u></u>	<u><u>. . . .</u></u>	<u><u>-\$2,147,750,000</u></u>	<u><u>\$2,558,815,000</u></u>



# **STATE UNIVERSITY CONSTRUCTION FUND**

## **MISSION**

The State University Construction Fund is a public benefit corporation established in 1962 to serve as the construction agent for academic buildings, dormitories and other 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 agency will continue to maintain a workforce of 107 positions for 1999-2000, supported entirely from proceeds of revenue bonds issued to finance the construction and reconstruction of academic facilities.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The State University Construction Fund is supported by proceeds from the sale of State University Educational Facilities Revenue bonds. The 1999-2000 Executive Budget recommendation of \$9,400,000 will maintain the Fund's operating budget at its current level.

## **PROGRAM HIGHLIGHTS**

The 1998-99 Budget authorized a \$2.0 billion investment in the infrastructure and facilities of the State University of New York system. This strategic infrastructure investment will enable the State University to remain competitive into the 21<sup>st</sup> Century. Both appropriation levels and bonding authority are sufficient to allow the University to develop and implement a comprehensive multi-year construction program that addresses both the current and future capital needs of the University.

As of March 31, 1998, the Fund has completed more than 3,680 academic, dormitory and dining hall capital projects with a replacement value exceeding \$11.3 billion. During the 1998-99 State fiscal year, the Fund initiated the design of 169 projects for a total value of \$47 million and began construction of 129 projects at an estimated cost of \$235.7 million. This reflects a 275 percent increase in the number of design starts and a 30 percent increase in the number of construction starts over the prior year. Additionally, the Fund continues work on 143 projects — at an estimated cost of \$288 million — under construction prior to 1998-99 and 168 projects in various stages of design.

In addition to design and construction of new and rehabilitated academic facilities, other key agency functions 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.

# STATE UNIVERSITY CONSTRUCTION

- Development and maintenance of energy conservation and telecommunications programs.
- Development and maintenance of on-line interactive data processing systems on space and property inventories, real property, State building codes, and other related plant management functions.
- Management and administration of University-wide programs including minor rehabilitation and repair accounts, dormitory rehabilitation and other programs.

## ALL FUNDS APPROPRIATIONS

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$9,400,000	\$9,400,000	. . . .	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b><u>\$9,400,000</u></b>	<b><u>\$9,400,000</u></b>	<b><u>. . . .</u></b>	<b><u>. . . .</u></b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Other . . . . .	\$9,400,000	\$9,400,000	. . . .
<b>Total . . . . .</b>	<b><u>\$9,400,000</u></b>	<b><u>\$9,400,000</u></b>	<b><u>. . . .</u></b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
Special Revenue Funds — Other . . . . .	\$9,400,000	\$9,400,000	. . . .
<b>Total . . . . .</b>	<b><u>\$9,400,000</u></b>	<b><u>\$9,400,000</u></b>	<b><u>. . . .</u></b>

# ***DIVISION OF VETERANS' AFFAIRS***

## ***MISSION***

The Division of Veterans' Affairs assists veterans, members of the armed forces and their families and dependents in securing benefits earned through military service. The Division coordinates veterans' programs and services offered by other State agencies, works closely with the Federal Department of Veterans Affairs and advocates State and Federal actions to meet veterans' needs. The Division serves more than 1.4 million New Yorkers who are veterans, as well as their dependents and those on active 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 Albany, Hauppauge and Buffalo. The Division is also supported by a network of approximately 60 community field offices in nearly all of the State's counties and New York City.

The Division will have a workforce of 126 employees during 1999-2000. Approximately 86 percent of these positions are paid for by State tax dollars from the General Fund and 14 percent of the staff are supported by Federal Medicaid or Veterans' Education funds.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 1999-2000 recommendation of \$9.0 million for the Division of Veterans' Affairs will fund veterans' counseling services at current levels and will fully fund the 1998 expansion of the Blind Veteran Annuity Assistance Program to include all unremarried spouses of deceased blind veterans. In addition, State aid to local county and city veterans service agencies, which defrays the operating costs of these organizations, is continued. The reduction in Federal funds will more accurately reflect actual Federal support for the Veterans' Education Program.

## ***PROGRAM HIGHLIGHTS***

During 1999-2000, the Division of Veterans' Affairs will operate four principal programs. The largest provides veterans' counseling and claims services. A statewide network of approximately 60 State Veterans' Counselors — all veterans — and 35 support staff review eligibility and help veterans complete applications for benefits and services, obtain necessary documentation and file for Federal, State, local and private veterans' benefits. Counselors also serve constituents through outreach to Veterans Affairs Medical Centers, senior centers, State Veterans' Homes and local nursing homes, public assistance offices and correctional facilities.

Since 1995-96, the Division of Veterans' Affairs has expanded its community outreach activities through senior citizens seminars, an inaugural cable television program aired on three dozen local cable outlets, and collaboration with the Department of Health and US Department of Veterans Affairs in the development and opening of a 126-bed long-term health care facility for veterans in western New York.

The Division of Veterans' Affairs is responsible for securing a substantial portion of the nearly \$1 billion in recurring Federal VA payments made directly to New York State veterans and dependents. During 1997, State Veterans' Counselors made more than 155,000 contacts — an average of approximately 2,600 a year per counselor — and provided some 267,000 services, filing nearly 13,100 applications for benefits for New

# VETERANS' AFFAIRS

York's veterans and dependents. In doing so, State Veterans' Counselors obtained 7,200 VA benefits awards worth more than \$60 million in Federal payments, most of which are recurring.

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

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$6,894,400	\$6,561,000	-\$333,400	\$3,426,800
Aid To Localities . . . . .	3,027,697	2,425,000	-602,697	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$9,922,097</b>	<b>\$8,986,000</b>	<b>-\$936,097</b>	<b>\$3,426,800</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	7	7	. . . .	7	. . . .
Veteran Counseling Services Program					
General Fund . . . . .	108	108	. . . .	108	. . . .
HIGH ED SVC					
Special Revenue Funds — Federal . . . . .	11	11	. . . .	11	. . . .
<b>Total . . . . .</b>	<b>126</b>	<b>126</b>	<b>. . . .</b>	<b>126</b>	<b>. . . .</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$4,917,000	\$5,097,000	+ \$180,000
Special Revenue Funds — Federal . . . . .	1,977,400	1,464,000	-513,400
<b>Total . . . . .</b>	<b>\$6,894,400</b>	<b>\$6,561,000</b>	<b>-\$333,400</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$468,000	\$444,000	-\$24,000
Veteran Counseling Services Program			
General Fund . . . . .	4,449,000	4,653,000	+ 204,000
Special Revenue Funds — Federal . . . . .	264,000	264,000	. . . .
HIGH ED SVC			
Special Revenue Funds — Federal . . . . .	1,713,400	1,200,000	-513,400
<b>Total . . . . .</b>	<b>\$6,894,400</b>	<b>\$6,561,000</b>	<b>-\$333,400</b>

# VETERANS' AFFAIRS

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total Personal Service Amount	Change	Personal Service Regular (Annual Salaried) Amount	Change
Administration . . . . .	\$339,000	-\$24,000	\$339,000	-\$24,000
Veteran Counseling Services Program . . .	4,597,000	+ 204,000	4,597,000	+ 204,000
<b>Total . . . . .</b>	<b>\$4,936,000</b>	<b>+ \$180,000</b>	<b>\$4,936,000</b>	<b>+ \$180,000</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total Change	Supplies and Materials Amount	Change
Administration . . . . .	\$105,000	. . . .	\$15,000	. . . .
Veteran Counseling Services Program . . . . .	320,000	. . . .	30,000	. . . .
<b>Total . . . . .</b>	<b>\$425,000</b>	<b>. . . .</b>	<b>\$45,000</b>	<b>. . . .</b>

Program	Amount	Travel Change	Contractual Services Amount	Change
Administration . . . . .	\$27,000	. . . .	\$52,000	. . . .
Veteran Counseling Services Program . . . . .	58,000	. . . .	152,000	. . . .
<b>Total . . . . .</b>	<b>\$85,000</b>	<b>. . . .</b>	<b>\$204,000</b>	<b>. . . .</b>

Program	Amount	Equipment Change	Maintenance Undistributed Amount	Change
Administration . . . . .	\$11,000	. . . .	. . . .	. . . .
Veteran Counseling Services Program . . . . .	15,000	. . . .	\$65,000	. . . .
<b>Total . . . . .</b>	<b>\$26,000</b>	<b>. . . .</b>	<b>\$65,000</b>	<b>. . . .</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total Change	Personal Service Amount	Change
Veteran Counseling Services Program . . . . .	\$264,000	. . . .	. . . .	. . . .
HIGH ED SVC . . . . .	1,200,000	-\$513,400	\$700,000	-\$335,900
<b>Total . . . . .</b>	<b>\$1,464,000</b>	<b>-\$513,400</b>	<b>\$700,000</b>	<b>-\$335,900</b>

Program	Nonpersonal Service Amount	Change	Maintenance Undistributed Amount	Change
Veteran Counseling Services Program . . . . .	. . . .	. . . .	\$264,000	. . . .
HIGH ED SVC . . . . .	\$500,000	-\$177,500	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$500,000</b>	<b>-\$177,500</b>	<b>\$264,000</b>	<b>. . . .</b>

# VETERANS' AFFAIRS

---

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$3,027,697	\$2,425,000	-\$602,697
Total . . . . .	<u>\$3,027,697</u>	<u>\$2,425,000</u>	<u>-\$602,697</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Veteran Counseling Services Program			
General Fund . . . . .	\$1,040,000	\$725,000	-\$315,000
Blind Veteran Annuity Assistance			
General Fund . . . . .	1,200,000	1,700,000	+ 500,000
Legislative Initiatives			
General Fund . . . . .	<u>787,697</u>	<u>. . . .</u>	<u>-787,697</u>
Total . . . . .	<u>\$3,027,697</u>	<u>\$2,425,000</u>	<u>-\$602,697</u>

# **OFFICE OF WELFARE INSPECTOR GENERAL**

## **MISSION**

The Office of Welfare Inspector General was established in 1992 to investigate, prevent, and prosecute public assistance fraud. The agency acts on allegations that welfare recipients are dishonestly receiving benefits for which they are not eligible, or that Medicaid, day care or other providers or administrators of services are accepting payments fraudulently.

The Office works closely with the Office of Temporary and Disability Assistance, local social services offices, the Office of Children and Family Services, the Department of Law and others to effectively prevent and prosecute fraudulent activity in the welfare system.

## **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. In addition to the Inspector General, personnel include fraud investigators, counsel and administrative support. The Welfare Inspector General's statewide operations are administered from its New York City office, and it has currently expanded its operation by opening an office in Albany.

The Office will have a workforce of 12 for SFY 1999-2000, which is consistent with SFY 1998-99 staffing levels.

## **BUDGET HIGHLIGHTS**

The SFY 1999-2000 General Fund support for the Office of Welfare Inspector General is \$356,000. This represents a decrease of \$26,000 compared with SFY 1998-99 levels. Approximately 52 percent of the Office's operations are supported by the General Fund and the remaining 48 percent are supported by funds the agency receives from the Federal government for fraud investigations related to welfare, Food Stamps and Medicaid. The All Funds appropriation for the Office will increase by \$39,000 in SFY 1999-2000, including funding to support financial auditing of institutional service providers.

## **PROGRAM HIGHLIGHTS**

In the current year, the number of complaints of alleged fraud and abuse within the welfare system reported to the Office of Welfare Inspector General remained consistently high as the agency continued its aggressive anti-fraud effort. In addition, recently enacted Welfare Reform legislation now provides more effective tools to prevent and prosecute welfare fraud including increased penalties for fraudulent activities, such as receiving welfare benefits in more than one state.

In 1998, the Office received approximately 650 complaints about alleged welfare fraud originating from citizens, government agencies, or the Office's own related investigations. Fraud investigations generate savings for the State, local and Federal governments by uncovering unreported income or inappropriate claiming practices by those who provide day care, employment, health care or other services to welfare recipients. The Office of Welfare Inspector General completes hundreds of new investigations each year which substantiate allegations of some form of fraudulent activity by a member of a household receiving welfare.

# WELFARE INSPECTOR GENERAL

In addition to these investigations of individual welfare recipients, the Office completes investigations to uncover patterns of abuse within the welfare system including investigation of internal corruption within social services offices. The Office also has worked with the Department of Law to strengthen welfare fraud prosecution and through its newly formed prosecutions unit, has achieved a significant increase in the numbers of convictions for welfare fraud. These efforts will continue throughout the coming year. In addition to fraud investigations, the Office of Welfare Inspector General's activities include making recommendations to the Department of Family Assistance and county and New York City social services offices so that welfare programs and services are more effectively administered throughout the State.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$651,000	\$690,000	+ \$39,000	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$651,000</u>	<u>\$690,000</u>	<u>+ \$39,000</u>	<u>. . . .</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Welfare Inspector General, Office of the General Fund . . . . .	12	12	. . . .	12	. . . .
Total . . . . .	<u>12</u>	<u>12</u>	<u>. . . .</u>	<u>12</u>	<u>. . . .</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$382,000	\$356,000	-\$26,000
Special Revenue Funds — Other . . . . .	269,000	334,000	+ 65,000
Total . . . . .	<u>\$651,000</u>	<u>\$690,000</u>	<u>+ \$39,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Welfare Inspector General, Office of the General Fund . . . . .	\$382,000	\$356,000	-\$26,000
Special Revenue Funds — Other . . . . .	269,000	334,000	+ 65,000
Total . . . . .	<u>\$651,000</u>	<u>\$690,000</u>	<u>+ \$39,000</u>

# WELFARE INSPECTOR GENERAL

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Total Personal Service Amount</u>	<u>Change</u>	<u>Personal Service Regular (Annual Salaried) Amount</u>	<u>Change</u>
Welfare Inspector General, Office of the .....	\$641, <del>000</del> ,000	\$641,000	+ \$74,000	
Total .....	<u>\$641,000</u>	<u>+ \$74,000</u>	<u>\$641,000</u>	<u>+ \$74,000</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Amount</u>	<u>Total Change</u>	<u>Supplies and Materials Amount</u>	<u>Change</u>
Welfare Inspector General, Office of the .....	\$49,000	-\$35,000	\$10,000	.....
Total .....	<u>\$49,000</u>	<u>-\$35,000</u>	<u>\$10,000</u>	<u>.....</u>

<u>Program</u>	<u>Amount</u>	<u>Travel Change</u>	<u>Contractual Services Amount</u>	<u>Change</u>
Welfare Inspector General, Office of the .....	\$14,000	.....	\$23,000	.....
Total .....	<u>\$14,000</u>	<u>.....</u>	<u>\$23,000</u>	<u>.....</u>

<u>Program</u>	<u>Amount</u>	<u>Equipment Change</u>
Welfare Inspector General, Office of the .....	\$2,000	-\$35,000
Total .....	<u>\$2,000</u>	<u>-\$35,000</u>



# **WORKERS' COMPENSATION BOARD**

## **MISSION**

Most private and public sector employers in New York are required to carry workers' compensation and disability benefits insurance for their employees or demonstrate their ability to self-insure. The Workers' Compensation Board reviews claims for workers' compensation payments and assists in resolving disputed claims. In performing these responsibilities, the Board administers provisions of the following laws: the Workers' Compensation Law, the Disability Benefits Law, the Civil Defense Volunteers' Law, the Volunteer Firefighters' Benefit Law and the Volunteer Ambulance Workers' Benefit Law.

Because of its broad mission, the Board is responsible for implementing many of the reforms included in the Governor's New York Employment, Safety and Security Act that made historic reforms in the workers' compensation system. The Act has improved workplace safety and reduced employer premiums by an average of 18 percent in 1996. Premiums were further reduced by 8 percent in 1997 and by 6 percent in 1998, increasing the reduction to 32 percent since enactment of the reforms.

The Board has continued to institute several efficiencies during 1998 that have reduced costs and improved services. Among other advances, the Board increased the number of hearings held, made greater use of such electronic tools as video conferencing and created a new, expedited hearing process. The Board also, as required by the Governor's reform bill, created a new Workers' Compensation Inspector General with staff located across the State.

## **ORGANIZATION AND STAFFING**

The Board is headed by a Chairperson selected by the Governor and includes 12 additional full-time members nominated by the Governor and confirmed by the Senate for seven year terms. District offices are located in Albany, Brooklyn, Binghamton, Buffalo, Hempstead, Rochester, and Syracuse, with administrative offices in Albany. To make the hearing process as convenient as possible, the Board has hearing locations throughout the State. The Board's authorized staffing for 1999-2000 is 1,773 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Board is funded with assessments on the Workers' Compensation and Disability Benefits insurance industry and with revenues produced by various services provided by the Board. The assessments paid by insurers are allocated to three major programs: Workers' Compensation, Disability Benefits and Systems Modernization.

The 1999-2000 Executive Budget recommends approximately \$140.2 million for the Board, a decrease of \$4.8 million resulting from the planned elimination of one-time funding related to the upgrading of the Board's technology. The recommended funding will enable the Board to continue to fulfill the Governor's commitment to revamp the operations of the Board and thereby improve services to businesses and injured workers. Major recommendations for 1999-2000 are as follows:

- \$9.5 million to complete the conversion from a paper-based, manual claims processing operation to a paperless "electronic case folder" that will streamline Board operations and improve customer service. The electronic case file system will be fully operational during 1999-2000.
- \$3.5 million to complete the restructuring of the Board's administrative and district offices. The Board's administrative offices were consolidated in Albany in 1998-99 and new district offices will be opened in Peekskill and Long Island to improve

# **WORKERS' COMPENSATION**

---

customer access to Board services. This Budget also maintains funding for additional regional service centers statewide and to address the cost of relocating the Buffalo and Syracuse district offices to larger, more accessible locations.

## **PROGRAM HIGHLIGHTS**

### **WORKERS' COMPENSATION PROGRAM**

The Workers' Compensation Board reviews worker's claims for benefits, reports of injury filed by employers and medical reports from physicians and other health care providers. The Board adjudicates all issues, and law judges make awards and findings to ensure that an entitled claimant promptly receives benefits and medical treatment. The decisions by the law judges may subsequently be appealed to Board panels and eventually to the courts. The Board, through its Bureau of Compliance, also monitors employers to ensure that they properly provide coverage for their employees and levies penalties on those employers who fail to do so. In addition, the Board's Regulatory Services Bureau authorizes physicians to treat compensation cases, awards licenses to medical providers and arbitrates disputed medical bills.

### **DISABILITY BENEFITS PROGRAM**

Disability Benefits provide cash payments in lieu of lost wages to temporarily disabled employees. Coverage is required for employers of one or more employees with such selected exceptions as agricultural enterprises and public employers. Weekly statutory cash benefits equal one-half of a disabled worker's weekly wage, with a maximum of \$170 per week for a 26 week period.

### **SYSTEMS MODERNIZATION PROGRAM**

The Office for Systems Modernization manages a multi-year effort to overhaul the Board's capacity to manage and use information. This program also maintains computerized systems vital to various Board operations and collects and analyzes data that measure performance and identify potential problems. When the modernization program is complete, the Board will have a new Workers' Compensation Board Information System that will automate current claims-related activities. This will increase productivity by enhancing the Board's capacity to process the millions of pieces of information it receives each year.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$145,014,900	\$140,210,300	-\$4,804,600	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<u>\$145,014,900</u>	<u>\$140,210,300</u>	<u>-\$4,804,600</u>	<u>. . . .</u>

# WORKERS' COMPENSATION

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

Program	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	Change
Workers' Compensation					
Special Revenue Funds — Other . . . . .	1,626	1,613	. . . .	1,613	-13
Disability Benefits					
Special Revenue Funds — Other . . . . .	75	75	. . . .	75	. . . .
Systems Modernization					
Special Revenue Funds — Other . . . . .	85	85	. . . .	85	. . . .
Total . . . . .	1,786	1,773	. . . .	1,773	-13

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Other . . . . .	\$145,014,900	\$140,210,300	-\$4,804,600
Total . . . . .	\$145,014,900	\$140,210,300	-\$4,804,600

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Workers' Compensation			
Special Revenue Funds — Other . . . . .	\$98,494,600	\$99,427,600	+ \$933,000
Disability Benefits			
Special Revenue Funds — Other . . . . .	6,835,400	6,959,200	+ 123,800
Systems Modernization			
Special Revenue Funds — Other . . . . .	39,684,900	33,823,500	-5,861,400
Total . . . . .	\$145,014,900	\$140,210,300	-\$4,804,600

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Workers' Compensation . . . . .	\$99,427,600	+ \$933,000	\$59,290,400	+ \$915,200
Disability Benefits . . . . .	6,959,200	+ 123,800	4,206,300	+ 94,200
Systems Modernization . . . . .	33,823,500	-5,861,400	3,958,500	+ 94,200
Total . . . . .	\$140,210,300	-\$4,804,600	\$67,455,200	+ \$1,103,600

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Workers' Compensation . . . . .	\$39,203,800	+ \$1,752,900	\$933,400	-\$1,735,100
Disability Benefits . . . . .	2,752,900	+ 29,600	. . . .	. . . .
Systems Modernization . . . . .	29,865,000	-5,955,600	. . . .	. . . .
Total . . . . .	\$71,821,700	-\$4,173,100	\$933,400	-\$1,735,100



***PUBLIC PROTECTION,  
HEALTH AND  
MENTAL HYGIENE***



# **OFFICE OF ADVOCATE FOR PERSONS WITH DISABILITIES**

## **MISSION**

The Office of Advocate for Persons with Disabilities assists persons with disabilities in seeking opportunities to be productive, active citizens and provides access to emerging technology and current information on the legal rights, services and programs available to them.

## **ORGANIZATION AND STAFFING**

Headed by the State Advocate who is appointed by the Governor, the agency is administered from Albany.

The Advocate will have a workforce of 21 positions for 1999-2000. Approximately 62 percent of these positions are paid by State tax dollars from the General Fund and 38 percent are financed by Federal grants and other funding sources.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 All Funds Executive Budget recommendation of \$1,687,000 — while maintaining the Advocate's ability to disseminate comprehensive information on services and programs available to persons with disabilities and to collaborate with other agencies to increase the effectiveness of public and private sector services — reflects a \$95,000 reduction from 1998-99 funding levels, due to a 25 percent (\$229,000) reduction in the Federal Technology-Related Assistance for Individuals with Disabilities (TRAID) grant for Federal Fiscal Year 1999. To partially offset this reduction, a General Fund increase of \$115,000 to support the TRAID program is included in the overall recommendations. However, an additional 25 percent Federal reduction is anticipated in FFY 2000. Recent Federal legislation has extended the life of the TRAID grant through September 2003, with Federal funding continued at the FFY 2000 level.

## **PROGRAM HIGHLIGHTS**

The State Advocate operates a statewide clearinghouse through which individuals can access information and obtain referrals to a variety of disability-related services. Key components of the system are a statewide telephone hotline (800-522-4369, voice/TTY/Spanish) and an electronic bulletin board service (BBS). It is anticipated that more than 25,000 individuals will seek information through the hotline in 1999-2000, and that the BBS will receive more than 10,000 inquiries. A worldwide website, launched by the agency in 1997, is expected to be accessed 10,000 times in 1999-2000. Both the hotline and the BBS are supported by a number of information and technical assistance databases, including SATIRN III, developed by the Advocate's Office, which contains more than 8,500 Federal, State, and local referral resources. Overall, the State Advocate has experienced a 36 percent increase in information and referral activity since 1995-96 and has met this demand without requiring additional resources.

The TRAID Project supports a statewide system to help New Yorkers with disabilities access technology devices and services to strengthen their ability to participate in the mainstream workplace and community. Since 1995-96, the program has been enhanced and coordinated through an Interagency Partnership on Assistive Technology and twelve regional TRAID centers, which are funded collaboratively with the Department of Health.

## ADVOCATE FOR PERSONS WITH DISABILITIES

The Advocate's programs of comprehensive education, public awareness and technical assistance promote increased voluntary compliance with the Americans with Disabilities Act (ADA). During 1999-2000, more than 4,800 individuals are expected to participate in ADA-related activities conducted by the State Advocate, which will include public presentations, conferences, seminars and workshops statewide. During 1999-2000, the Advocate will provide training and technical assistance to community advocates, small businesses and local governments to aid them in improving access for persons with disabilities to public and private sector programs and services.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$1,782,000	\$1,687,000	-\$95,000	\$800,000
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$1,782,000</b>	<b>\$1,687,000</b>	<b>-\$95,000</b>	<b>\$800,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Advocate for the Disabled					
General Fund . . . . .	14	13	. . . . .	13	-1
Special Revenue Funds — Federal . . . . .	5	5	. . . . .	5	. . . . .
Fiduciary Funds . . . . .	1	1	. . . . .	1	. . . . .
Subtotal, Direct Funded Programs . . . . .	20	19	. . . . .	19	-1
Suballocations:					
Special Revenue Funds — Federal . . . . .	1			2	+ 1
<b>Total . . . . .</b>	<b>21</b>			<b>21</b>	<b>. . . . .</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$890,000	\$1,015,000	+ \$125,000
Special Revenue Funds — Federal . . . . .	800,000	580,000	-220,000
Enterprise Funds . . . . .	15,000	15,000	. . . . .
Fiduciary Funds . . . . .	77,000	77,000	. . . . .
<b>Total . . . . .</b>	<b>\$1,782,000</b>	<b>\$1,687,000</b>	<b>-\$95,000</b>

# ADVOCATE FOR PERSONS WITH DISABILITIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Advocate for the Disabled			
General Fund . . . . .	\$890,000	\$1,015,000	+ \$125,000
Special Revenue Funds — Federal . . . . .	800,000	580,000	-220,000
Enterprise Funds . . . . .	15,000	15,000	. . . .
Fiduciary Funds . . . . .	77,000	77,000	. . . .
Total . . . . .	\$1,782,000	\$1,687,000	-\$95,000

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Advocate for the Disabled . . . . .	\$895,000	+ \$135,000	\$889,000	+ \$135,000	\$6,000	. . . .
Total . . . . .	\$895,000	+ \$135,000	\$889,000	+ \$135,000	\$6,000	. . . .

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Advocate for the Disabled . . . . .	\$120,000	-\$10,000	\$18,000	+ \$1,000
Total . . . . .	\$120,000	-\$10,000	\$18,000	+ \$1,000

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Advocate for the Disabled . . . . .	\$23,000	+ \$1,000	\$76,900	-\$12,100
Total . . . . .	\$23,000	+ \$1,000	\$76,900	-\$12,100

Program	Equipment	
	Amount	Change
Advocate for the Disabled . . . . .	\$2,100	+ \$100
Total . . . . .	\$2,100	+ \$100

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Advocate for the Disabled . . . . .	\$672,000	-\$220,000	\$672,000	-\$220,000
Total . . . . .	\$672,000	-\$220,000	\$672,000	-\$220,000



# **STATE OFFICE FOR THE AGING**

## **MISSION**

The New York State Office for the Aging is responsible for stimulating, promoting, coordinating and administering State, Federal and local programs and services for 3.2 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 and is composed of four divisions: Executive, Finance and Administration, Local Program Operations, and Policy and Program Development. The Office will have a workforce of 159 employees during SFY 1999-2000, 142 funded within the agency, and an additional 17 positions funded by other State agencies. Approximately 35 percent of agency operations are funded by the General Fund, and the remaining 65 percent is financed by Federal grants and grants from private organizations.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

State funding is used to match Older Americans Act and other Federal funding and to establish a service-delivery network that attracts other sources of private and public funding. Thus, the investment of almost \$60 million in State tax dollars results in total network spending of over \$320 million. This does not include the value of volunteer labor, which is estimated at \$35 million.

The 1999-2000 recommendation of \$170 million supports the continued operation of all of the agency's major community-based programs for elderly New Yorkers. Of this amount, \$70 million supports nutrition programs, with the remaining amount used to fund in-home care and other community services. Two programs, SSI Outreach and Elderly Abuse Education and Outreach, which provided limited period grants, are not included in the recommended State funding. Outreach activities carried out under these programs have been, and continue to be, allowable under the Community Services for the Elderly Program. The other change recommended for 1999-2000 is the consolidation of all components of the Community Services Program and the Expanded In-home Services for the Elderly Program under a unified 75 percent reimbursement formula.

## **PROGRAM HIGHLIGHTS**

Programs of the Office for the Aging are aimed at keeping seniors independent as long as possible by utilizing family and other informal caregivers, as well as through the limited use of formal support services. These community-based services help keep people healthy and in their homes and out of hospitals and nursing homes.

## **NUTRITION SERVICES**

Through a combination of State tax dollars and Federal grants, the State annually provides nearly 25 million congregate and home-delivered meals or other nutritional services to non-institutionalized frail elderly clients. These people are at risk of malnutrition because they are no longer able to obtain an adequate diet without assistance. The Office receives \$29 million in appropriation authority for Federal grants in support of congregate meals, \$8 million in support of home-delivered meals, and \$17 million to support the

purchase of food. The State counterpart to these Federal programs — the Supplemental Nutrition Assistance Program (SNAP) — provides another \$16 million. The SNAP program serves approximately 3.9 million meals annually, at an average cost of only \$4.56 per meal.

### **STATEWIDE COMMUNITY-BASED ASSISTANCE**

In addition to the nutrition programs, the State supports other statewide aging programs administered through Area Agencies on Aging from a combination of State and Federal funding.

The Community Services for the Elderly (CSE) Program fills gaps in services and provides funding to support the needs of the elderly, their families and informal caregivers. Unlike the State Office for the Aging's other major programs that deliver prescribed, targeted services, CSE provides the most flexible funding stream and program structure available to local Area Agencies on Aging. Locally determined services available under the Community Services for the Elderly Program include: transportation, shopping assistance and escort services; homemaking/personal care and housekeeping/chore services; home health aide services; adult day care, counseling and senior center services; and other services necessary to maximize an older person's independence. Over 86,500 persons are served by this program.

The Expanded In-home Services for the Elderly Program (EISEP) provides non-medical in-home services, case management, respite and ancillary services to the most frail elderly who are largely low income but are not eligible for Medicaid. Recipients are required to cost-share, based on their annual income level, for EISEP program services received. Over 28,000 persons are served under this program.

The Congregate Services Initiative (CSI) provides services in community settings where people come together for services and activities, including information and assistance; counseling; transportation; support services for families/caregivers; volunteer opportunities and employment information; and health promotion and disease prevention services.

### **PARTNERSHIPS AND TARGETED PROGRAMS**

The Office participates in a number of partnerships with businesses, foundations and not-for-profit organizations, and also coordinates programs targeted for special populations.

The term "Naturally Occurring Retirement Community" (NORC) describes a phenomenon experienced by certain housing complexes, cooperatives and apartment buildings where the population has "aged in place". The NORC Supportive Service Program was created to deliver on-site services, thereby allowing residents to continue to remain independent. Fourteen such programs exist, with the State's public funds matched dollar for dollar by private contributions from the retirement communities themselves. Now in its fifth year, this public/private partnership cares for an estimated 20,000 clients.

Under the Caregiver Assistance Program, 17 Caregiver Resource Centers provide a single focal point of assistance for family members and other informal providers of long-term care to homebound elderly. The primary responsibilities of the Centers are to assist caregivers through training programs, support groups and counseling; and to link them with Area Agency on Aging services, as well as other community services. Over 7,500 people are served by this program.

Through its network of Area Agencies on Aging and local not-for-profit agencies, the Office also provides State grant funding for long-term respite care, the Retired and Senior Volunteer Program and the Foster Grandparent Program.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$14,003,600	\$13,971,000	-\$32,600	\$5,453,000
Aid To Localities . . . . .	162,254,883	155,457,000	-6,797,883	90,712,000
Capital Projects . . . . .	.....	.....	.....	.....
<b>Total . . . . .</b>	<b>\$176,258,483</b>	<b>\$169,428,000</b>	<b>-\$6,830,483</b>	<b>\$96,165,000</b>

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

1999-00 Recommended Average Fill Level

Program	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	Change
<b>Administration</b>					
General Fund . . . . .	22	21	.....	21	-1
Special Revenue Funds — Federal . . . . .	45	45	.....	45	.....
<b>Community Services</b>					
General Fund . . . . .	25	25	.....	25	.....
Special Revenue Funds — Federal . . . . .	51	51	.....	51	.....
<b>Subtotal, Direct Funded Programs . . . . .</b>	<b>143</b>	<b>142</b>	<b>.....</b>	<b>142</b>	<b>-1</b>
<b>Suballocations:</b>					
General Fund . . . . .	5			5	.....
Special Revenue Funds — Federal . . . . .	12			12	.....
<b>Total . . . . .</b>	<b>160</b>			<b>159</b>	<b>-1</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,652,000	\$2,619,000	-\$33,000
Special Revenue Funds — Federal . . . . .	10,198,600	10,199,000	+ 400
Enterprise Funds . . . . .	200,000	200,000	.....
Fiduciary Funds . . . . .	953,000	953,000	.....
<b>Total . . . . .</b>	<b>\$14,003,600</b>	<b>\$13,971,000</b>	<b>-\$32,600</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
<b>Administration</b>			
General Fund . . . . .	\$1,202,000	\$1,165,000	-\$37,000
Special Revenue Funds — Federal . . . . .	2,615,000	2,615,000	.....
Enterprise Funds . . . . .	200,000	200,000	.....
<b>Community Services</b>			
General Fund . . . . .	1,450,000	1,454,000	+ 4,000
Special Revenue Funds — Federal . . . . .	7,583,600	7,584,000	+ 400
Fiduciary Funds . . . . .	953,000	953,000	.....
<b>Total . . . . .</b>	<b>\$14,003,600</b>	<b>\$13,971,000</b>	<b>-\$32,600</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$988,000	-\$48,000	\$986,000	-\$47,000	. . . . .	. . . . .
Community Services . . . . .	1,266,000	+ 2,000	1,257,000	+ 1,000	\$3,000	+ \$500
Total . . . . .	<u>\$2,254,000</u>	<u>-\$46,000</u>	<u>\$2,243,000</u>	<u>-\$46,000</u>	<u>\$3,000</u>	<u>+ \$500</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$2,000	-\$1,000
Community Services . . . . .	6,000	+ 500
Total . . . . .	<u>\$8,000</u>	<u>-\$500</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$177,000	+ \$11,000	\$17,000	+ \$1,000
Community Services . . . . .	188,000	+ 2,000	22,000	. . . . .
Total . . . . .	<u>\$365,000</u>	<u>+ \$13,000</u>	<u>\$39,000</u>	<u>+ \$1,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$32,000	+ \$2,000	\$122,000	+ \$7,000
Community Services . . . . .	52,000	. . . . .	111,000	+ 2,000
Total . . . . .	<u>\$84,000</u>	<u>+ \$2,000</u>	<u>\$233,000</u>	<u>+ \$9,000</u>

Program	Equipment	
	Amount	Change
Administration . . . . .	\$6,000	+ \$1,000
Community Services . . . . .	3,000	. . . . .
Total . . . . .	<u>\$9,000</u>	<u>+ \$1,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$2,815,000	. . . .	\$2,369,000	. . . .
Community Services . . . . .	8,537,000	+ \$400	5,749,000	-\$700
Total . . . . .	<u>\$11,352,000</u>	<u>+ \$400</u>	<u>\$8,118,000</u>	<u>-\$700</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$246,000	. . . .	\$200,000	. . . .
Community Services . . . . .	1,835,000	+ \$1,100	953,000	. . . .
Total . . . . .	<u>\$2,081,000</u>	<u>+ \$1,100</u>	<u>\$1,153,000</u>	<u>. . . .</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$63,554,883	\$56,757,000	-\$6,797,883
Special Revenue Funds — Federal . . . . .	95,600,000	95,600,000	. . . .
Fiduciary Funds . . . . .	3,100,000	3,100,000	. . . .
Total . . . . .	<u>\$162,254,883</u>	<u>\$155,457,000</u>	<u>-\$6,797,883</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Community Services			
General Fund . . . . .	\$58,913,350	\$56,757,000	-\$2,156,350
Special Revenue Funds — Federal . . . . .	95,600,000	95,600,000	. . . .
Fiduciary Funds . . . . .	3,100,000	3,100,000	. . . .
Legislative Initiatives			
General Fund . . . . .	4,641,533	. . . .	-4,641,533
Total . . . . .	<u>\$162,254,883</u>	<u>\$155,457,000</u>	<u>-\$6,797,883</u>



# CAPITAL DEFENDER OFFICE

## MISSION

The Capital Defender Office, which has been in operation since September 1, 1995, is authorized to defend any indigent person charged with a capital crime. With the restoration of the death penalty, persons convicted of first-degree murder may be sentenced to death by lethal injection, life imprisonment without parole, or 20 to 25 years in prison. To be sentenced to death a person must be found guilty of first-degree murder which includes the killing of a police officer, killing for hire, and certain other heinous murders.

## ORGANIZATION AND STAFFING

A three-member board oversees the work of the Capital Defender Office. The Board members are appointed, one each by the Temporary President of the Senate, the Speaker of the Assembly and the Chief Judge of the Court of Appeals. The Office has a staff of 65 located in a central office in New York City and regional offices in Albany and Rochester.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

A total of \$14.8 million in State tax dollars is recommended to fund death penalty defense costs in 1999-2000. This will support the agency's staff attorneys, investigators and experts as well as legal aid societies and private attorneys appointed to represent indigent defendants in capital cases.

## PROGRAM HIGHLIGHTS

The purpose of the Capital Defender Office is to ensure that offenders who face the death penalty receive the full legal protection to which they are entitled under law. The Capital Defender Office is required to provide legal, investigative and expert services to indigent defendants charged with crimes eligible for the death penalty. Since not all defendants in capital cases will be represented by the Office, the law also requires the agency to set minimum standards for lawyers appointed to defend such cases, provide training and assistance to these attorneys and provide judges with lists of qualified lawyers.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$13,582,600	\$14,756,500	+ \$1,173,900	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$13,582,600</u>	<u>\$14,756,500</u>	<u>+ \$1,173,900</u>	<u>. . . .</u>

# CAPITAL DEFENDER

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

<u>Program</u>	1999-00 Recommended Average Fill Level				<u>Change</u>
	<u>Available 1998-99</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	
Capital Defense					
General Fund .....	65	65	.....	65	.....
<b>Total .....</b>	<u>65</u>	<u>65</u>	<u>.....</u>	<u>65</u>	<u>.....</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$13,582,600	\$14,756,500	+ \$1,173,900
<b>Total .....</b>	<u>\$13,582,600</u>	<u>\$14,756,500</u>	<u>+ \$1,173,900</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Capital Defense			
General Fund .....	\$13,582,600	\$14,756,500	+ \$1,173,900
<b>Total .....</b>	<u>\$13,582,600</u>	<u>\$14,756,500</u>	<u>+ \$1,173,900</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense .....	\$4,000,700	+ \$155,700	\$4,000,700	+ \$155,700
<b>Total .....</b>	<u>\$4,000,700</u>	<u>+ \$155,700</u>	<u>\$4,000,700</u>	<u>+ \$155,700</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Supplies and Materials</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense . . . . .	\$10,755,800	+ \$1,018,200		\$175,000	. . . .
Total . . . . .	<u>\$10,755,800</u>	<u>+ \$1,018,200</u>		<u>\$175,000</u>	<u>. . . .</u>

<u>Program</u>	<u>Amount</u>	<u>Travel</u>		<u>Contractual Services</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense . . . . .	\$295,000	. . . .		\$1,528,000	-\$334,600
Total . . . . .	<u>\$295,000</u>	<u>. . . .</u>		<u>\$1,528,000</u>	<u>-\$334,600</u>

<u>Program</u>	<u>Amount</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Capital Defense . . . . .	\$150,000	. . . .		\$8,607,800	+ \$1,352,800
Total . . . . .	<u>\$150,000</u>	<u>. . . .</u>		<u>\$8,607,800</u>	<u>+ \$1,352,800</u>



# STATE COMMISSION OF CORRECTION

## MISSION

The State Commission of Correction regulates and oversees the operation and management of State and local correctional facilities. The agency's role is to promote a safe, secure and stable correctional system and to provide for the accountability of corrections officials. As a result of legislation enacted in 1996, the Commission's role has expanded to include the oversight of secure youth facilities operated by the Office of Children and Family Services.

## ORGANIZATION AND STAFFING

The Commission is made up of three members appointed by the Governor, one of whom is designated Chair. The other Commissioners respectively chair the Citizens Policy and Complaint Review Council, which reviews grievances and complaints against correctional facilities, and the Medical Review Board, which investigates inmate deaths and oversees health care services.

Regional teams of review specialists are responsible for visiting and inspecting local and State correctional facilities. They investigate unusual events at facilities, provide technical assistance to improve facility management and monitor facilities for compliance with standards and regulations.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Commission of Correction is supported by approximately \$2.2 million in State tax dollars in 1999-2000. Funding is continued for the multi-agency Jail Management Assistance Team, — operated in conjunction with the Division of Criminal Justice Services and the Division of Probation and Correctional Alternatives — as an initiative to assist localities in analyzing operational issues in local correctional facilities.

## PROGRAM HIGHLIGHTS

The Commission monitors 70 State correctional facilities, 63 county jails, 18 New York City correctional facilities, 182 police lockups (outside New York City) and more than 800 cells operated by the New York City Police Department and Port Authority Police.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$2,204,800	\$2,204,200	-\$600	. . . . .
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$2,204,800</u>	<u>\$2,204,200</u>	<u>-\$600</u>	<u>. . . . .</u>

# CORRECTION

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Improvement of Correctional Facilities					
General Fund	36	36	....	36	....
Subtotal, Direct Funded Programs	36	36	....	36	....
Suballocations:					
Special Revenue Funds — Federal	3			3	....
Total	39			39	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$2,204,800	\$2,204,200	-\$600
Total	\$2,204,800	\$2,204,200	-\$600

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Improvement of Correctional Facilities			
General Fund	\$2,204,800	\$2,204,200	-\$600
Total	\$2,204,800	\$2,204,200	-\$600

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Improvement of Correctional Facilities	\$1,795,300	-\$18,700	\$1,795,300	-\$18,700
Total	\$1,795,300	-\$18,700	\$1,795,300	-\$18,700

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Supplies and Materials</u>	
		<u>Change</u>	<u>Amount</u>	<u>Change</u>	
Improvement of Correctional Facilities . . . . .	\$408,900	+ \$18,100	\$16,100	+ \$500	
<b>Total . . . . .</b>	<u>\$408,900</u>	<u>+ \$18,100</u>	<u>\$16,100</u>	<u>+ \$500</u>	

<u>Program</u>	<u>Amount</u>	<u>Travel</u>		<u>Contractual Services</u>	
		<u>Change</u>	<u>Amount</u>	<u>Change</u>	
Improvement of Correctional Facilities . . . . .	\$153,100	+ \$4,600	\$215,500	+ \$12,300	
<b>Total . . . . .</b>	<u>\$153,100</u>	<u>+ \$4,600</u>	<u>\$215,500</u>	<u>+ \$12,300</u>	

<u>Program</u>	<u>Amount</u>	<u>Equipment</u>	
		<u>Change</u>	
Improvement of Correctional Facilities . . . . .	\$24,200	+ \$700	
<b>Total . . . . .</b>	<u>\$24,200</u>	<u>+ \$700</u>	

## ***CORRECTION***

---

# **DEPARTMENT OF CORRECTIONAL SERVICES**

## **MISSION**

The Department of Correctional Services (DOCS) is responsible for the secure confinement of convicted felons and the preparation of these individuals for successful reintegration into the community upon release.

## **ORGANIZATION AND STAFFING**

The Department, headed by a Commissioner, has more than 31,000 employees to operate 70 facilities housing approximately 72,000 inmates. Each correctional facility is headed by a Superintendent and executive staff to oversee the daily operation of the nation's third largest state prison system.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Over the past four years, penalties for violent crime have increased significantly in New York State. Jenna's Law, enacted in August 1998, together with Truth-in-Sentencing legislation enacted in 1995, ensure that violent offenders will serve 85 percent of their sentence in prison. In addition, violent offenders have been barred from participation in work release programs, and sentences lengthened for assault crimes. These initiatives, ensuring that violent offenders remain in prison for longer periods commensurate with their crimes, are coupled with opportunities for treatment and rehabilitation in an effort to reduce recidivism once inmates are released back to the community.

The passage of legislation to assure that violent offenders serve longer prison terms has required expansion of secure housing. The Executive Budget recommendations for 1999-2000 provide funding for full annual operation of eight 100 cell modular units opened in 1998, and for the 750 cell Upstate Correctional Facility scheduled to open in July 1999 in Franklin County. In addition, the Budget continues funding originally provided in the 1998-99 budget for construction of a second 750 cell maximum security prison scheduled to open in 2000, and includes new funding to build a third such prison to be ready for use in 2001.

Funding increases related to new capacity are partially offset by increased efficiencies and program restructuring. Expansion of the Department's food production center will result in lower food costs in 1999-2000. Excess capacity in the work release program will be used to house inmates who otherwise would be sent to residential drug treatment programs. Housing, as well as treatment, will be provided by the Department. Parkside Correctional Facility, a New York City work release facility, will be closed and its residents transferred to an under-used facility also in New York City. Infirmaries in proximate facilities will be consolidated, allowing the Department to more efficiently deliver its quality health services. Medium security inmates will no longer be routinely deployed on work crews outside prison boundaries, saving the costs associated with escorting the crews. Legislation is also recommended that will expand eligibility of non-violent inmates for the Shock Incarceration Program by raising the maximum age of eligibility from 34 to 39.

- State tax dollars finance 88 percent of the Department's State Operations Budget.
- State tax dollars support 100 percent of the Department's Aid to Localities Budget. The \$55.9 million appropriation allows the State to reimburse counties for housing inmates awaiting transfer to State prison. In addition, the 1999-2000 Budget funds contracts with localities to house non-violent offenders on a short term basis. This measure helps ease overcrowding until planned new prison capacity is constructed.

## ***DEPARTMENT OF CORRECTIONAL SERVICES***

---

- Effective April 1, 1999, reimbursement to localities for housing low level felons sentenced to local jails will be eliminated.
- Federal funds support 5.2 percent of the Department's State Operations Budget, including an anticipated \$86 million to offset costs of housing illegal alien felons.
  - Correctional Facilities Capital Improvement Fund appropriations of \$443 million ensure that all housing, medical buildings and support space remain functional, safe and secure, and include funds to construct a new 750 cell maximum security prison by Spring 2001.
  - The DOCS Internal Service Fund appropriates \$70.3 million related to operation of the Correctional Industries program (Corcraft). This inmate vocational program gives individuals an opportunity to learn employment skills to improve their chance of successful reintegration to the community, while contributing to the production of commodities, and prison maintenance and rehabilitation projects.

### ***PROGRAM HIGHLIGHTS***

The Department operates correctional facilities with a wide range of security measures. Violent inmates who exhibit behavior problems while in custody can be housed in maximum security cells for nearly 23 hours a day. Other inmates are housed in less restrictive settings with available programming to afford offenders an opportunity for rehabilitation aimed at reducing recidivism.

Additionally, the Department, in cooperation with the Division of Parole, began to operate the Willard Drug Treatment Center in Seneca County in 1995. Through this program, courts have the option to remand low level, nonviolent offenders to treatment — an option expected to stop the cycle of drug-related criminal activity at far less cost to the taxpayers than traditional incarceration.

### ***ADMINISTRATION***

Administrative staff formulate and oversee agency policy and provide operational support to correctional facilities. The responsibilities of this program include the direction of inmate classification and movement, labor relations, personnel and financial transactions, and the Department's legal affairs.

### ***SUPPORT SERVICES***

The Support Services Program provides all resources necessary for the operation of the 70 facilities housing individuals remanded to State custody. This includes the employment of all facility managers and centrally assigned staff essential to operate and maintain the agency's physical plant. Through this program, the agency also provides inmate food and transportation services, and enters into cooperative agreements with local governments for sewer/water systems. The agency has been increasingly successful in implementing initiatives to improve energy use efficiency, including inmate work crew weatherization, heating system rehabilitation projects, and energy performance contracts.

Transportation services related to inmate reception, changes in assigned housing and emergency medical services have become increasingly complex as the prison system has expanded over the past decade. The Department has designed an inmate movement system to address the requirements of the vast correctional network spread across the State. Chief among the improvements are system-wide transportation scheduling and a contractually provided inmate transport fleet guaranteeing vehicles on an as needed basis.

## **DEPARTMENT OF CORRECTIONAL SERVICES**

---

### ***SUPERVISION OF INMATES***

The Department employs over 21,000 correctional officers to ensure a secure environment for employees and inmates within the correctional setting and to protect the safety of surrounding communities. The Department continues to maintain one of the best officer-to-inmate ratios in the United States.

### ***PROGRAM SERVICES***

The majority of inmates entering State prison have histories of substance abuse and severe educational deficits — two factors highly predictive of criminal behavior. To counter this problem, the agency's rehabilitation efforts focus on basic education and simple vocational skill achievement to ready inmates for employment upon release. The agency's Comprehensive Alcohol and Substance Abuse Treatment program (CASAT) will continue to provide over 5,100 offenders each year with 6 months of residential treatment and follow-up care. Resources to coordinate the agency's sex offender treatment programs and enhanced treatment for mentally ill inmates will enable the Department to better treat and stabilize these growing prison populations.

### ***HEALTH SERVICES***

Offenders entering prison present a significant need for health care because of high rates of opportunistic disease related to AIDS, tuberculosis and other infectious conditions. The recommended budget ensures that the Department has the resources to meet the full need for AIDS screening and interventions, and all other requirements to prevent the spread of disease and treat critical illness.

The Department's approach to health care has kept pace with the national trend toward cost efficient managed care programs. A statewide system for contracted health services has allowed the Department to contain escalating costs of appropriate health care for the inmate population. In addition to the existing regional medical units on the grounds of Mohawk, Coxsackie and Wende correctional facilities, units at Fishkill and Bedford Hills correctional facilities will be opened in 1999.

The 1999-2000 budget recommendations fully support the provision of pharmaceutical treatment for HIV-positive inmates according to established standards of care. It is expected that comprehensive early treatment results in a healthier HIV/AIDS population, reducing illness and the need for hospitalization. Notably, the number of inmates dying annually from HIV related disease plummeted by 77 percent since 1995.

### ***CAPITAL PROJECTS***

The Department of Correctional Services operates an institutional network of 70 correctional facilities, a number of which were converted during prison expansion in the 1980's from very old facilities initially built for other uses. The Capital Projects Fund supports the completion of construction of previously authorized maximum security capacity and provides resources to address critical physical plant maintenance and rehabilitation projects and improve medical units. New appropriation authority is recommended to fund the construction of a 750 cell maximum security prison for use by Spring 2001.

# **DEPARTMENT OF CORRECTIONAL SERVICES**

---

## **DEPARTMENT OF CORRECTIONAL SERVICES MALE FACILITIES**

### **Maximum Security**

Attica Correctional Facility	(Wyoming County)
Auburn Correctional Facility	(Cayuga County)
Clinton Correctional Facility	(Clinton County)
Coxsackie Correctional Facility	(Greene County)
Downstate Correctional Facility	(Dutchess County)
Eastern Correctional Facility	(Ulster County)
Elmira Correctional Facility	(Chemung County)
Green Haven Correctional Facility	(Dutchess County)
Great Meadow Correctional Facility	(Washington County)
Shawangunk Correctional Facility	(Ulster County)
Sing Sing Correctional Facility	(Westchester County)
Southport Correctional Facility	(Chemung County)
Sullivan Correctional Facility	(Sullivan County)
Upstate Correctional Facility	(Franklin County)
Wende Correctional Facility	(Erie County)

### **Medium Security**

Adirondack Correctional Facility	(Clinton County)
Altona Correctional Facility	(Clinton County)
Arthurkill Correctional Facility & CASAT**	(Richmond County)
Bare Hill Correctional Facility	(Franklin County)
Butler CASAT	(Wayne County)
Cape Vincent Correctional Facility & CASAT	(Jefferson County)
Cayuga Correctional Facility	(Cayuga County)
Chateaugay CASAT	(Franklin County)
Collins Correctional Facility	(Erie County)
Fishkill Correctional Facility	(Dutchess County)
Franklin Correctional Facility	(Franklin County)
Gouverneur Correctional Facility	(St. Lawrence County)
Gowanda Correctional Facility	(Erie County)
Greene Correctional Facility	(Greene County)
Groveland Correctional Facility	(Livingston County)
Hale Creek CASAT	(Fulton County)
Hudson Correctional Facility	(Columbia County)
Livingston Correctional Facility	(Livingston County)
Marcy Correctional Facility & CASAT Annex	(Oneida County)
Mid-Orange Correctional Facility	(Orange County)
Mid-State Correctional Facility	(Oneida County)
Mohawk Correctional Facility	(Oneida County)
Mt. McGregor Correctional Facility	(Saratoga County)
Ogdensburg Correctional Facility	(St. Lawrence County)
Oneida Correctional Facility	(Oneida County)
Orleans Correctional Facility	(Orleans County)
Otisville Correctional Facility	(Orange County)
Riverview Correctional Facility	(St. Lawrence County)
Ulster Correctional Facility	(Ulster County)
Walkkill Correctional Facility	(Ulster County)
Washington Correctional Facility	(Washington County)
Watertown Correctional Facility	(Jefferson County)

## ***DEPARTMENT OF CORRECTIONAL SERVICES***

---

Woodbourne Correctional Facility (Sullivan County)  
Wyoming Correctional Facility (Wyoming County)

### **Minimum Security**

Butler Correctional Facility (Wayne County)  
Lyon Mountain Correctional Facility (Clinton County)

### **Minimum Work Release**

Buffalo Correctional Facility (Erie County)  
Edgecombe Correctional Facility (New York County)  
Fishkill Correctional Facility\* (Dutchess County)  
Fulton Correctional Facility (Bronx County)  
Hudson Correctional Facility\* (Columbia County)  
Lincoln Correctional Facility (New York County)  
Queensboro Correctional Facility (Queens County)  
Rochester Correctional Facility (Monroe County)

### **Camps**

Camp Gabriels (Franklin County)  
Camp Georgetown (Madison County)  
Camp Mt. McGregor\* (Saratoga County)  
Camp Pharsalia (Chenango County)  
Camp Fallsburg\* (Sullivan County)

### **Shock Incarceration**

Lakeview Shock Incarceration Facility (Chautauqua County)  
Monterey Shock Incarceration Facility (Schuyler County)  
Moriah Shock Incarceration Facility (Essex County)  
Summit Shock Incarceration Facility (Schoharie County)

### **Drug Treatment Campus**

Willard Drug Treatment Campus (Seneca County)

## ***DEPARTMENT OF CORRECTIONAL SERVICES FEMALE FACILITIES***

### **Maximum Security**

Bedford Hills Correctional Facility (Westchester County)

### **Medium Security**

Albion Correctional Facility (Orleans County)  
Bayview Correctional Facility (New York County)  
Taconic Correctional Facility & CASAT (Westchester County)

## ***DEPARTMENT OF CORRECTIONAL SERVICES***

---

### **Minimum Security**

Beacon Correctional Facility (Dutchess County)

### **Minimum Work Release**

Albion Correctional Facility\* (Orleans County)  
Bayview Correctional Facility\* (New York County)  
Parkside Correctional Facility (New York County)

### **Shock Incarceration**

Lakeview Shock Incarceration Facility (Chautauqua County)

### **Drug Treatment Campus**

Willard Drug Treatment Campus (Seneca County)

\* Indicates programs are operating as part of a larger correctional facility listed under the same name.

\*\* CASAT is an acronym for Comprehensive Alcohol and Substance Abuse Treatment.

## DEPARTMENT OF CORRECTIONAL SERVICES

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$1,761,289,900	\$1,831,570,000	+ \$70,280,100	\$52,500,000
Aid To Localities . . . . .	60,216,000	55,902,800	-4,313,200	. . . . .
Capital Projects . . . . .	429,062,000	443,000,000	+ 13,938,000	983,871,000
<b>Total . . . . .</b>	<b>\$2,250,567,900</b>	<b>\$2,330,472,800</b>	<b>+ \$79,904,900</b>	<b>\$1,036,371,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
<b>Administration</b>					
General Fund . . . . .	266	266	. . . . .	266	. . . . .
Special Revenue Funds — Federal . . . . .	814	833	. . . . .	833	+ 19
<b>Support Services</b>					
General Fund . . . . .	3,413	3,435	. . . . .	3,435	+ 22
<b>Supervision of Inmates</b>					
General Fund . . . . .	21,041	21,094	. . . . .	21,094	+ 53
<b>Program Services</b>					
General Fund . . . . .	3,434	3,444	. . . . .	3,444	+ 10
Enterprise Funds . . . . .	204	204	. . . . .	204	. . . . .
<b>Capacity Expansion</b>					
General Fund . . . . .	. . . . .	482	. . . . .	482	+ 482
<b>Health Services</b>					
General Fund . . . . .	1,447	1,520	. . . . .	1,520	+ 73
Enterprise Funds . . . . .	31	31	. . . . .	31	. . . . .
<b>Correctional Industries</b>					
Internal Service Funds . . . . .	522	522	. . . . .	522	. . . . .
<b>Facilities Planning and Development</b>					
Capital Project Funds . . . . .	35	35	. . . . .	35	. . . . .
<b>Subtotal, Direct Funded Programs . . . . .</b>	<b>31,207</b>	<b>31,866</b>	<b>. . . . .</b>	<b>31,866</b>	<b>+ 659</b>
<b>Suballocations:</b>					
General Fund . . . . .	3			3	. . . . .
Special Revenue Funds — Federal . . . . .	41			41	. . . . .
<b>Total . . . . .</b>	<b>31,251</b>			<b>31,910</b>	<b>+ 659</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$1,537,494,900	\$1,611,760,000	+ \$74,265,100
Special Revenue Funds — Federal . . . . .	96,947,000	95,387,000	-1,560,000
Enterprise Funds . . . . .	56,485,000	54,060,000	-2,425,000
Internal Service Funds . . . . .	70,345,000	70,345,000	. . . . .
Fiduciary Funds . . . . .	18,000	18,000	. . . . .
<b>Total . . . . .</b>	<b>\$1,761,289,900</b>	<b>\$1,831,570,000</b>	<b>+ \$70,280,100</b>
<b>Adjustments:</b>			
Prior Year Deficiency			
General Fund . . . . .	+ 53,620,000		
Transfer(s) From			
Debt Service			
Debt Service Funds . . . . .	-2,900,000		
<b>Appropriated 1998-99 . . . . .</b>	<b>\$1,812,009,900</b>		

# **DEPARTMENT OF CORRECTIONAL SERVICES**

---

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$19,079,400	\$18,714,000	-\$365,400
Special Revenue Funds — Federal . . . . .	96,947,000	95,387,000	-1,560,000
Enterprise Funds . . . . .	1,029,000	1,800,000	+ 771,000
Support Services			
General Fund . . . . .	290,188,000	288,338,000	-1,850,000
Supervision of Inmates			
General Fund . . . . .	868,651,600	912,754,000	+ 44,102,400
Program Services			
General Fund . . . . .	192,357,400	186,650,000	-5,707,400
Enterprise Funds . . . . .	37,546,700	36,830,000	-716,700
Fiduciary Funds . . . . .	18,000	18,000	. . . .
Capacity Expansion			
General Fund . . . . .	. . . .	31,376,000	+ 31,376,000
Health Services			
General Fund . . . . .	167,218,500	173,928,000	+ 6,709,500
Enterprise Funds . . . . .	17,909,300	15,430,000	-2,479,300
Correctional Industries			
Internal Service Funds . . . . .	70,345,000	70,345,000	. . . .
Total . . . . .	<u>\$1,761,289,900</u>	<u>\$1,831,570,000</u>	<u>+ \$70,280,100</u>

# DEPARTMENT OF CORRECTIONAL SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$13,871,000	-\$364,900	\$13,695,000	-\$364,500	\$10,000	-\$300
Support Services . . . . .	123,523,000	-274,400	118,198,000	+ 1,203,400	159,000	-1,716,500
Supervision of Inmates . . . . .	894,666,000	+ 44,239,700	859,388,000	+ 43,315,000	3,961,000	+ 924,700
Program Services . . . . .	144,091,000	+ 975,000	132,547,000	+ 729,900	8,793,000	+ 151,300
Capacity Expansion . . . . .	24,401,000	+ 24,401,000	24,401,000	+ 24,401,000	. . . . .	. . . . .
Health Services . . . . .	73,870,000	+ 906,200	67,935,000	+ 905,600	3,570,000	+ 100
<b>Total . . . . .</b>	<b>\$1,274,422,000</b>	<b>+ \$69,882,600</b>	<b>\$1,216,164,000</b>	<b>+ \$70,190,400</b>	<b>\$16,493,000</b>	<b>-\$640,700</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$166,000	-\$100
Support Services . . . . .	5,166,000	+ 238,700
Supervision of Inmates . . . . .	31,317,000	. . . . .
Program Services . . . . .	2,751,000	+ 93,800
Capacity Expansion . . . . .	. . . . .	. . . . .
Health Services . . . . .	2,365,000	+ 500
<b>Total . . . . .</b>	<b>\$41,765,000</b>	<b>+ \$332,900</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$4,843,000	-\$500	\$137,000	-\$400
Support Services . . . . .	164,815,000	-1,575,600	89,958,000	-5,288,200
Supervision of Inmates . . . . .	18,088,000	-137,300	5,448,000	-137,820
Program Services . . . . .	42,559,000	-6,682,400	14,103,000	+ 400
Capacity Expansion . . . . .	6,975,000	+ 6,975,000	6,975,000	+ 6,975,000
Health Services . . . . .	100,058,000	+ 5,803,300	32,671,000	+ 6,028,000
<b>Total . . . . .</b>	<b>\$337,338,000</b>	<b>+ \$4,382,500</b>	<b>\$149,292,000</b>	<b>+ \$7,576,980</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$562,000	+ \$100	\$2,807,000	-\$567,800
Support Services . . . . .	2,742,000	. . . . .	66,218,000	+ 2,962,200
Supervision of Inmates . . . . .	2,550,000	+ 53,600	9,364,000	-53,280
Program Services . . . . .	358,000	-400	27,583,000	-6,682,900
Capacity Expansion . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Health Services . . . . .	154,000	-200	66,869,000	-224,400
<b>Total . . . . .</b>	<b>\$6,366,000</b>	<b>+ \$53,100</b>	<b>\$172,841,000</b>	<b>-\$4,566,180</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$769,000	-\$400	\$568,000	+ \$568,000
Support Services . . . . .	5,897,000	+ 750,400	. . . . .	. . . . .
Supervision of Inmates . . . . .	726,000	+ 200	. . . . .	. . . . .
Program Services . . . . .	515,000	+ 500	. . . . .	. . . . .
Capacity Expansion . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Health Services . . . . .	364,000	-100	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$8,271,000</b>	<b>+ \$750,600</b>	<b>\$568,000</b>	<b>+ \$568,000</b>

# DEPARTMENT OF CORRECTIONAL SERVICES

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$97,187,000	-\$789,000	\$69,268,300	+ \$10,643,300
Program Services . . . . .	36,848,000	-716,700	4,052,000	+ 2,000,100
Health Services . . . . .	15,430,000	-2,479,300	1,940,000	-400
Correctional Industries . . . . .	70,345,000	. . . .	21,633,000	+ 374,000
Total . . . . .	<u>\$219,810,000</u>	<u>-\$3,985,000</u>	<u>\$96,893,300</u>	<u>+ \$13,017,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$23,578,700	-\$15,772,300	\$4,340,000	+ \$4,340,000
Program Services . . . . .	32,796,000	-2,716,800	. . . .	. . . .
Health Services . . . . .	13,490,000	-2,478,900	. . . .	. . . .
Correctional Industries . . . . .	48,712,000	-374,000	. . . .	. . . .
Total . . . . .	<u>\$118,576,700</u>	<u>-\$21,342,000</u>	<u>\$4,340,000</u>	<u>+ \$4,340,000</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$60,216,000	\$55,902,800	-\$4,313,200
Total . . . . .	<u>\$60,216,000</u>	<u>\$55,902,800</u>	<u>-\$4,313,200</u>

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Support Services			
General Fund . . . . .	\$59,504,000	\$55,902,800	-\$3,601,200
Program Services			
General Fund . . . . .	712,000	. . . .	-712,000
Total . . . . .	<u>\$60,216,000</u>	<u>\$55,902,800</u>	<u>-\$4,313,200</u>

### CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund . . . . .	. . . .	\$3,000,000	+ \$3,000,000	. . . .
Federal Capital Projects Fund . . . . .	\$64,062,000	80,000,000	+ 15,938,000	\$68,233,000
Correctional Facilities Capital Improvement Fund - 399 . . . . .	365,000,000	360,000,000	-5,000,000	667,815,000
UDC Financed and Other New Facility Capacity Expansion				
Correctional Facilities Capital Improvement Fund - 399 . . . . .	. . . .	. . . .	. . . .	247,823,000
Total . . . . .	<u>\$429,062,000</u>	<u>\$443,000,000</u>	<u>+ \$13,938,000</u>	<u>\$983,871,000</u>

# **CRIME VICTIMS BOARD**

## **MISSION**

The Crime Victims Board serves as the lead State agency in assisting persons who have been the victims of crime, particularly crimes of a violent nature.

The agency's principal mission is to provide financial assistance to victims for financial losses they suffer as a result of crime. The Board also provides grants to local agencies which assist witnesses and victims, and it serves as the State's advocate for crime victims' rights, needs and interests.

## **ORGANIZATION AND STAFFING**

The Board consists of five members, appointed by the Governor to seven-year terms, who work full-time to administer the agency and to make final decisions on victim compensation awards. The Governor designates one member of the Board to be the Chair. The agency has primary offices in Albany and New York City and has a satellite office in Buffalo. Each office processes victim claims and provides grant program aid and advocacy services on a regional basis in support of the Board's mission. In addition to the five Board members, the agency will have 80 staff positions.

In an effort to further consolidate the administrative functions of criminal justice agencies, it is recommended that the personnel and fiscal functions of the agency be transferred to the Division of Criminal Justice Services (DCJS). This is consistent with the successful Division of Probation and Correctional Alternatives and State Commission of Correction administrative mergers with DCJS in 1997. This will reduce the agency's workforce by four positions, one of which will be transferred to DCJS to assist with the increased workload of that agency as a result of the organizational change.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

During 1999-2000, \$2.9 million in State tax dollars will be spent to operate the agency. Approximately \$37.4 million in Federal aid and fine revenue will support compensation payments to victims and local grants to programs assisting victims with treatment and other services.

## **PROGRAM HIGHLIGHTS**

The Crime Victims Board operates with three programs. The Payment to Victims Program compensates individual crime victims for crime-related losses. The Victim and Witness Assistance Program administers grants to local agencies. The Administration Program provides executive direction and administrative support to the compensation program, as well as advocacy services for crime victims.

## **PAYMENTS TO VICTIMS**

The agency annually reviews more than 20,000 cases of persons who may have suffered financial losses as the result of violent crime or, in the case of the elderly and disabled, any crime. Payments are made to crime victims who have suffered out-of-pocket financial losses for which no other source of compensation is available. Categories in which payments are made include medical expenses, lost wages due to work missed

## CRIME VICTIMS

because of an injury, stolen or damaged essential personal property and the costs of counseling to relieve the traumatic effects of victimization. Survivors of a victim also may be eligible for these services including reimbursement for funeral expenses for a crime victim.

### VICTIM AND WITNESS ASSISTANCE

The Crime Victims Board currently administers more than 130 contracts with local governments and not-for-profit agencies which provide direct services to crime victims and witnesses. Services provided by these local agencies include crisis intervention, counseling and assistance in filing victim compensation claims.

### ADVOCACY

The agency is responsible by law to "coordinate state programs and activities relating to crime victims" and "to advise and assist the Governor in developing policies designed to recognize the legitimate rights, needs and interests of crime victims." To those ends, the agency provides legal and technical assistance to other State agencies and to local organizations involved with crime victims. In addition, the Crime Victims Board sponsors an annual statewide conference on crime victim issues.

The State's "Son of Sam Law" prevents convicted persons from profiting from their crimes, including the sale of publishing or film rights to their stories. Any such profits can, by law, be payable to the persons who were victims of the crimes. The agency is charged with notifying victims of a convicted person that a "Son of Sam" situation exists, and may also act on the victims' behalf to prevent the profits from being spent or otherwise put beyond the reach of the victims while a recovery suit is pending.

#### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$4,452,700	\$4,593,350	+ \$140,650	. . . . .
Aid To Localities . . . . .	37,937,200	37,357,600	-579,600	\$4,500,000
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$42,389,900</u>	<u>\$41,950,950</u>	<u>-\$438,950</u>	<u>\$4,500,000</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	73	69	. . . . .	69	-4
Special Revenue Funds — Federal . . . . .	14	14	. . . . .	14	. . . . .
Special Revenue Funds — Other . . . . .	2	2	. . . . .	2	. . . . .
Total . . . . .	<u>89</u>	<u>85</u>	<u>. . . . .</u>	<u>85</u>	<u>-4</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$3,003,900	\$2,953,450	-\$50,450
Special Revenue Funds — Federal . . . . .	813,600	991,700	+ 178,100
Special Revenue Funds — Other . . . . .	635,200	648,200	+ 13,000
<b>Total . . . . .</b>	<u>\$4,452,700</u>	<u>\$4,593,350</u>	<u>+ \$140,650</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$3,003,900	\$2,953,450	-\$50,450
Special Revenue Funds — Federal . . . . .	813,600	991,700	+ 178,100
Special Revenue Funds — Other . . . . .	635,200	648,200	+ 13,000
<b>Total . . . . .</b>	<u>\$4,452,700</u>	<u>\$4,593,350</u>	<u>+ \$140,650</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Administration . . . . .	\$2,716,900	-\$45,200	\$2,716,900	-\$45,200
<b>Total . . . . .</b>	<u>\$2,716,900</u>	<u>-\$45,200</u>	<u>\$2,716,900</u>	<u>-\$45,200</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$236,550	-\$5,250	\$25,875	-\$4,125
<b>Total . . . . .</b>	<u>\$236,550</u>	<u>-\$5,250</u>	<u>\$25,875</u>	<u>-\$4,125</u>

<u>Program</u>	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$32,600	. . . .	\$173,075	-\$1,125
<b>Total . . . . .</b>	<u>\$32,600</u>	<u>. . . .</u>	<u>\$173,075</u>	<u>-\$1,125</u>

<u>Program</u>	Equipment	
	Amount	Change
Administration . . . . .	\$5,000	. . . .
<b>Total . . . . .</b>	<u>\$5,000</u>	<u>. . . .</u>

# CRIME VICTIMS

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,639,900	+ \$191,100	\$710,600	+ \$172,400
Total . . . . .	<u>\$1,639,900</u>	<u>+ \$191,100</u>	<u>\$710,600</u>	<u>+ \$172,400</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$922,300	+ \$11,700	\$7,000	+ \$7,000
Total . . . . .	<u>\$922,300</u>	<u>+ \$11,700</u>	<u>\$7,000</u>	<u>+ \$7,000</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Federal . . . . .	\$19,897,900	\$19,318,300	-\$579,600
Special Revenue Funds — Other . . . . .	17,999,300	17,999,300	. . . .
Fiduciary Funds . . . . .	40,000	40,000	. . . .
Total . . . . .	<u>\$37,937,200</u>	<u>\$37,357,600</u>	<u>-\$579,600</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Payment to Victims			
Special Revenue Funds — Federal . . . . .	\$3,780,300	\$3,200,700	-\$579,600
Special Revenue Funds — Other . . . . .	13,550,000	13,550,000	. . . .
Victim and Witness Assistance			
Special Revenue Funds — Federal . . . . .	16,117,600	16,117,600	. . . .
Special Revenue Funds — Other . . . . .	4,449,300	4,449,300	. . . .
Fiduciary Funds . . . . .	40,000	40,000	. . . .
Total . . . . .	<u>\$37,937,200</u>	<u>\$37,357,600</u>	<u>-\$579,600</u>

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

## ***MISSION***

The Division of Criminal Justice Services (DCJS) maintains computerized criminal history and statistical data for Federal, State and local law enforcement agencies, identifies criminals through fingerprints, provides training and management services to local police departments, conducts criminal justice research and analysis, and administers and distributes State and Federal funding to various entities within the criminal justice system.

## ***ORGANIZATION AND STAFFING***

The Division, located in Albany, is headed by a Commissioner who is appointed by the Governor. The Commissioner also serves as the Governor's Director of Criminal Justice, overseeing policy development and operations for all State criminal justice agencies and programs.

A workforce of 746 positions is recommended for 1999-2000. Approximately 85 percent of these positions will be supported by State tax dollars, with the remaining financed by Federal grants, conference fees and seized assets.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

To assist the Division in processing fingerprints, new funding is recommended to replace outdated technology vital to the State Automated Fingerprint System. Improved digital technology will expedite access to information for local police departments, and bring the State into compliance with Federal Bureau of Investigation standards, thereby creating expanded links to national databases and those of other states across the country. The system will also enable the agency to process the increased number of requests for civil fingerprints expected to result from the enactment of Kieran's Law and other recently introduced legislation designed to open access to the criminal history of persons in contact with certain vulnerable populations.

The budget recommendation consolidates units of the Division of Probation and Correctional Alternatives and the Division of Parole that are charged with reviewing requests for interstate transfer of probationers and parolees. These units will be transferred to the Division of Criminal Justice Services to address an expanding workload without increasing costs, as well as to encourage uniformity in interstate transfer decisions.

The transfer of personnel and fiscal responsibilities from the Crime Victims Board to DCJS, along with one associated position, is also recommended. In 1997, a similar consolidation of the Division of Probation and Correctional Alternatives, the State Commission on Correction and DCJS support functions proved to be successful and cost effective.

The recommendation reflects the transfer of positions and functions previously funded through the Department of State Business and Licensing Services Account to the General Fund to better reflect the current functions and responsibilities of this unit. This action will have no impact on current employees. A transfer of revenue from the Licensing Account to the General Fund will offset this cost.

## **CRIMINAL JUSTICE SERVICES**

---

### **PROGRAM HIGHLIGHTS**

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

### **IDENTIFICATION SERVICES**

The Division identifies individuals through fingerprint comparison and provides prior criminal history records to authorized representatives of Federal, State and local criminal justice agencies and processes over 90 percent of New York City criminal fingerprints in under 3 hours. Modern technology provides speed and accuracy in fingerprint identification and allows police to solve more crimes more quickly. Criminal activity is tracked by computer beginning with the arrest and ending with the decision by a judge and/or jury. Additionally, the Division operates CRIMNET which is the highest capacity, lowest cost government telecommunications network functioning in New York today. The Division also processes noncriminal fingerprint and name searches for certain employment, license and permit applications.

### **CRIMINAL JUSTICE SUPPORT**

The Division provides technical support, training and funding to localities to support criminal justice functions such as law enforcement, prosecution, defense, and crime laboratories. The agency provides financial aid to District Attorneys prosecuting death penalty cases, assures the implementation of requirements for accreditation of public forensic service laboratories and maintains a DNA Identification Index.

The Division also conducts extensive criminal justice statistical research and policy analysis, including the production of New York's Uniform Crime Reports.

In addition, the agency acts as the State Planning Agency for the receipt and processing of Federal Juvenile Justice and Delinquency Prevention funding. These funds support programs addressing youth who are at risk of criminal and/or delinquent behavior. The Division also administers other Federal programs including Anti-Drug Abuse funds which support a statewide anti-drug strategy of prosecution and preventive enforcement efforts, Violence Against Women funds which focus on prosecution, law enforcement and victim services related to domestic violence, and Law Enforcement funds which provide assistance to local police departments.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$56,821,900	\$75,657,650	+ \$18,835,750	\$41,489,000
Aid To Localities . . . . .	117,198,604	109,495,900	-7,702,704	119,591,500
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$174,020,504</u>	<u>\$185,153,550</u>	<u>+ \$11,133,046</u>	<u>\$161,080,500</u>

# CRIMINAL JUSTICE SERVICES

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

Program	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	1999-00 Recommended Average Fill Level Total Recommended 1999-00	Change
Administration					
General Fund	73	76	. . . .	76	+ 3
Special Revenue Funds — Other	1	. . . .	. . . .	. . . .	-1
Operation and Systems					
General Fund	407	431	. . . .	431	+ 24
Special Revenue Funds — Other	30	. . . .	. . . .	. . . .	-30
Funding and Program Assistance					
Special Revenue Funds — Federal	114	115	. . . .	115	+ 1
Justice Systems					
General Fund	41	41	. . . .	41	. . . .
Public Safety					
General Fund	55	75	. . . .	75	+ 20
Special Revenue Funds — Other	5	. . . .	. . . .	. . . .	-5
Subtotal, Direct Funded Programs	726	738	. . . .	738	+ 12
Suballocations:					
Special Revenue Funds — Federal	8			8	. . . .
Total	734			746	+ 12

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$34,537,200	\$39,370,750	+ \$4,833,550
Special Revenue Funds — Federal	19,682,100	34,836,900	+ 15,154,800
Special Revenue Funds — Other	2,302,600	300,000	-2,002,600
Fiduciary Funds	300,000	1,150,000	+ 850,000
Total	\$56,821,900	\$75,657,650	+ \$18,835,750

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$11,147,900	\$11,973,150	+ \$825,250
Special Revenue Funds — Other	251,500	. . . .	-251,500
Operation and Systems			
General Fund	18,470,700	21,390,200	+ 2,919,500
Special Revenue Funds — Other	1,355,800	. . . .	-1,355,800
Funding and Program Assistance			
Special Revenue Funds — Federal	19,682,100	34,836,900	+ 15,154,800
Special Revenue Funds — Other	300,000	300,000	. . . .
Fiduciary Funds	200,000	200,000	. . . .
Justice Systems			
General Fund	2,123,900	2,233,000	+ 109,100
Public Safety			
General Fund	2,794,700	3,774,400	+ 979,700
Special Revenue Funds — Other	395,300	. . . .	-395,300
Fiduciary Funds	100,000	950,000	+ 850,000
Total	\$56,821,900	\$75,657,650	+ \$18,835,750

# CRIMINAL JUSTICE SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,433,000	+ \$161,400	\$3,386,400	+ \$159,300	\$9,500	. . . . .
Operation and Systems . . . . .	15,424,800	+ 1,465,500	14,815,700	+ 1,091,200	. . . . .	. . . . .
Justice Systems . . . . .	2,055,200	+ 105,700	2,048,800	+ 105,300	6,400	+ \$400
Public Safety . . . . .	2,995,400	+ 716,400	2,988,800	+ 716,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$23,908,400</b>	<b>+ \$2,449,000</b>	<b>\$23,239,700</b>	<b>+ \$2,071,800</b>	<b>\$15,900</b>	<b>+ \$400</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$37,100	+ \$2,100
Operation and Systems . . . . .	609,100	+ 374,300
Justice Systems . . . . .	. . . . .	. . . . .
Public Safety . . . . .	6,600	+ 400
<b>Total . . . . .</b>	<b>\$652,800</b>	<b>+ \$376,800</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$8,540,150	+ \$663,850	\$287,263	+ \$4,063
Operation and Systems . . . . .	5,965,400	+ 1,454,000	313,700	+ 4,000
Justice Systems . . . . .	177,800	+ 3,400	51,400	. . . . .
Public Safety . . . . .	779,000	+ 263,300	93,700	+ 37,600
<b>Total . . . . .</b>	<b>\$15,462,350</b>	<b>+ \$2,384,550</b>	<b>\$746,063</b>	<b>+ \$45,663</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$136,900	. . . . .	\$4,987,487	-\$669,613
Operation and Systems . . . . .	5,800	. . . . .	5,622,600	+ 1,441,400
Justice Systems . . . . .	10,100	. . . . .	98,500	+ 2,900
Public Safety . . . . .	175,800	+ \$48,700	404,600	+ 148,400
<b>Total . . . . .</b>	<b>\$328,600</b>	<b>+ \$48,700</b>	<b>\$11,113,187</b>	<b>+ \$923,087</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,328,500	+ \$1,084,300	\$1,800,000	+ \$245,100
Operation and Systems . . . . .	23,300	+ 8,600	. . . . .	. . . . .
Justice Systems . . . . .	17,800	+ 500	. . . . .	. . . . .
Public Safety . . . . .	104,900	+ 28,600	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$1,474,500</b>	<b>+ \$1,122,000</b>	<b>\$1,800,000</b>	<b>+ \$245,100</b>

# CRIMINAL JUSTICE SERVICES

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	. . . .	-\$251,500	. . . .	-\$46,300
Operation and Systems . . . . .	. . . .	-1,355,800	. . . .	-771,700
Funding and Program Assistance . . . . .	\$35,336,900	+ 15,154,800	. . . .	. . . .
Public Safety . . . . .	950,000	+ 454,700	. . . .	-178,400
Total . . . . .	\$36,286,900	+ \$14,002,200	. . . .	-\$996,400

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	. . . .	-\$205,200	. . . .	. . . .
Operation and Systems . . . . .	. . . .	-584,100	. . . .	. . . .
Funding and Program Assistance . . . . .	\$500,000	. . . .	\$34,836,900	+ \$15,154,800
Public Safety . . . . .	. . . .	-216,900	950,000	+ 850,000
Total . . . . .	\$500,000	-\$1,006,200	\$35,786,900	+ \$16,004,800

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$71,447,004	\$61,449,300	-\$9,997,704
Special Revenue Funds — Federal . . . . .	43,551,600	45,846,600	+ 2,295,000
Special Revenue Funds — Other . . . . .	2,200,000	2,200,000	. . . .
Total . . . . .	\$117,198,604	\$109,495,900	-\$7,702,704

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Funding and Program Assistance			
General Fund . . . . .	\$68,371,900	\$61,449,300	-\$6,922,600
Special Revenue Funds — Federal . . . . .	43,551,600	45,846,600	+ 2,295,000
Special Revenue Funds — Other . . . . .	2,200,000	2,200,000	. . . .
Legislative Initiatives			
General Fund . . . . .	3,075,104	. . . .	-3,075,104
Total . . . . .	\$117,198,604	\$109,495,900	-\$7,702,704



# ***DEVELOPMENTAL DISABILITIES PLANNING COUNCIL***

## ***MISSION***

The New York State Developmental Disabilities Planning Council is fully funded under the Federal Disabilities Assistance and Bill of Rights Act of 1975 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 is composed of 38 members, who have been appointed by the Governor to three-year staggered terms. Federal law requires that at least 50 percent of the Council membership be composed of persons with developmental disabilities, parents and guardians of children with developmental disabilities, and immediate relatives and guardians of adults with mentally impairing disabilities who cannot advocate for themselves. Other required members represent State agencies, educational and training providers, and local public and private services agencies.

The Chairperson of the Council is appointed by the Governor from the membership. In addition, a full-time staff of 18, under the leadership of an Executive Director, will assist the Council in carrying out its duties in 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Council's operations are completely federally funded. These Federal funds support both State staff 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.

The 1999-2000 recommendation of \$4,250,000 in Federal funds represents no change from the prior year, based on a projection of level Federal funding. The 1999-2000 recommendation supports the Council's role in coordinating information about persons with developmental disabilities and the services available to them, and in overseeing grant funds.

## ***PROGRAM HIGHLIGHTS***

Through its Council membership of State agency heads, including the Commissioner of the Office of Mental Retardation and Developmental Disabilities, the Council employs an interagency approach to advocate improved and enhanced services, supports and assistance for the developmentally disabled. Its activities include quarterly meetings, task forces, white papers, conferences, training, technical assistance and the development of a three-year State Plan. The Council also works closely with public and private entities that provide services for individuals with developmental disabilities and their families to jointly design new service delivery methods and share insights and approaches that may have statewide application.

# DEVELOPMENTAL DISABILITIES PLANNING COUNCIL

## ALL FUNDS APPROPRIATIONS

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$4,250,000	\$4,250,000	. . . .	\$5,750,000
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b><u>\$4,250,000</u></b>	<b><u>\$4,250,000</u></b>	<b><u>. . . .</u></b>	<b><u>\$5,750,000</u></b>

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

<u>Program</u>	<u>Available 1998-99</u>	1999-00 Recommended Average Fill Level			<u>Change</u>
		<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	
Developmental Disabilities Planning Special Revenue Funds — Federal . . . . .	17	18	. . . .	18	+ 1
<b>Total . . . . .</b>	<b><u>17</u></b>	<b><u>18</u></b>	<b><u>. . . .</u></b>	<b><u>18</u></b>	<b><u>+ 1</u></b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Federal . . . . .	\$4,250,000	\$4,250,000	. . . .
<b>Total . . . . .</b>	<b><u>\$4,250,000</u></b>	<b><u>\$4,250,000</u></b>	<b><u>. . . .</u></b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Developmental Disabilities Planning Special Revenue Funds — Federal . . . . .	\$4,250,000	\$4,250,000	. . . .
<b>Total . . . . .</b>	<b><u>\$4,250,000</u></b>	<b><u>\$4,250,000</u></b>	<b><u>. . . .</u></b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Developmental Disabilities Planning . . . . .	\$4,250,000	. . . .	\$4,250,000	. . . .
<b>Total . . . . .</b>	<b><u>\$4,250,000</u></b>	<b><u>. . . .</u></b>	<b><u>\$4,250,000</u></b>	<b><u>. . . .</u></b>

# **DEPARTMENT OF HEALTH**

## **MISSION**

The Department of Health strives to ensure 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 sound and cost-effective quality medical care for all residents; and,
- Reducing infectious diseases such as tuberculosis, measles, mumps and rubella and chronic disabling illnesses such as heart disease, cancer, stroke and respiratory diseases.

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.

## **ORGANIZATION AND STAFFING**

Under the direction of the Commissioner, the Department of Health meets its responsibilities through the Office of Medicaid Management, the Office of Managed Care, the Office of Continuing Care, the centers located in the Office of Public Health, and the Office of Health Systems Management. These entities provide policy and management direction to the Department's system of regional offices. Department staff located in regional offices conduct health facility surveillance, public health monitoring and direct services, and oversee county health department activities.

Additionally, the Department is responsible for five health care facilities engaged in advanced medical research and patient care including the Roswell Park Cancer Institute in Buffalo, the Helen Hayes Hospital in West Haverstraw, and three nursing homes for the care of veterans and their dependents in Oxford, New York City and Batavia. Construction will begin in 1999 on a fourth veterans' nursing home which will be located in Montrose. In early 1999, responsibility for the operations of the Roswell Park Cancer Institute was transferred to a public benefit corporation, the Roswell Park Cancer Institute Corporation, pursuant to an operating agreement between the Corporation and the Department. This will provide Roswell with the flexibility needed to compete more effectively in a changing health care environment.

The Department of Health will have a workforce of approximately 7,200 positions in 1999-2000, with almost twenty percent of those positions employed in the Department's health care facilities. Since 1995-96, the number of positions has increased by approximately 850, reflecting the transfer to the Department of more than 950 positions for Medicaid program and audit activities, and new program initiatives such as the safe drinking water program, offset by the impact of attrition and early retirements.

- Approximately 14.5 percent of these positions are paid exclusively by the General Fund;
- 11 percent are directly supported by fees;
- 60 percent are supported by third party, private patient care and Federal reimbursement; and,
- The remaining 14.5 percent are directly funded by Federal grants.

## **MEDICAID**

Absent any new cost savings measures, total Medicaid spending in New York will exceed \$29 billion next year. While the State's efforts to control the growth of Medicaid spending over the last four years have been successful, with growth rates now held to

a level comparable to other states, New York still leads the nation by far in Medicaid spending. New York continues to be number one in total spending, spending per capita, program cost per recipient, rates paid to providers, and in almost every Medicaid service spending category.

The 1999-2000 Medicaid budget reflects a continued commitment to an effective and affordable delivery system that promotes quality health care, protects patients, assures access to appropriate services, maintains a wide array of optional services and seeks to restructure the program to support the following key principles:

- Consistent with the program's original purpose, Medicaid funds will be used to meet the health care needs of the State's neediest residents.
- Access to quality health care services will be improved through continued expansion of managed care.

These key principles will not only improve the health care system, but together with the budget's proposed restructuring of Medicaid rates, make New York's expenditures more comparable to other states.

### ***Acute Care***

Medicaid spending for hospitals and clinics for the Federal fiscal year ending September 1997 totaled approximately \$8.6 billion — more than any other state in the nation. Hospitals will continue to rely on the landmark Health Care Reform Act of 1996 as the basis for their funding. This Act encourages competition in the health care industry by allowing most non-Medicaid payors to negotiate rates with hospitals.

In addition, the State's Medicaid managed care waiver will continue to help hospitals adapt to changes in the acute care delivery system through the Community Health Care Conversion Demonstration Project. This project distributes Federal funding of \$250 million each year for five years to assist hospitals and their affiliated providers in making the transition to this new managed care environment.

The 1999-2000 Executive Budget builds on these attributes by transitioning Medicaid into the market-oriented hospital system that most other payors have operated under since 1997. Medicaid hospital reimbursement rates will be restructured to make New York's spending more affordable, while maintaining high quality service delivery. This restructuring includes providing comprehensive alcohol and substance abuse treatment in outpatient and community-based settings, eliminating rate enhancements that are no longer appropriate in the current health care system environment, and reforming Graduate Medical Education funding.

### ***Long-Term Care***

Spending on long-term care services continues to be one of the fastest growing components of the Medicaid budget. For the Federal fiscal year ending September 1997, New York's Medicaid spending on nursing homes and other long-term care services reached \$8.8 billion — \$5.3 billion on nursing homes and \$3.5 billion on community-based care. The spending level for these services is the highest in the nation. New York now spends more than three times as much as California on long term care.

New York State's long-term care system is primarily publicly-funded. For example, Medicaid provides approximately 75 percent of the funding for New York's nursing homes — as opposed to the rest of the nation, where less than half of all long-term care funding is public. As a result, increasing the proportion of less expensive private funding is an important goal.

Progress has been made in meeting this goal by implementing the provisions of the Long-Term Care Integration and Finance Act of 1997. Continuing Care Retirement Communities are providing the elderly with more affordable and accessible options for comprehensive, independent living arrangements that include a wide array of home care,

nursing care and other medical services. The Managed Long Term Care program is developing a broader and more integrated continuum of long term care service options.

In addition, the Partnership for Long Term Care is providing long term care insurance that protects individuals from having to spend down their assets to qualify for Medicaid in the event of a lengthy illness. This innovative Partnership, used in three other states, now represents a significant portion of the New York's long term care insurance market.

The 1999-2000 budget will build on the significant progress made in delivering a broader range of long-term care services, while achieving the efficiencies and cost savings necessary to make New York's spending for these services more comparable with other states. Rates paid to long term care providers will be restructured to control costs by transitioning to a more market-oriented reimbursement system. This will include the move to a simpler, more regionally-based rate setting system for nursing homes and the reduction of home health care and Long Term Home Health Care Program rates so that they are more comparable to those in other states.

### ***Managed Care***

The 1999-2000 budget reflects the continued mandatory enrollment of Medicaid recipients in managed care. Federal approval of New York's 1115 managed care waiver in July 1997 set the stage for mandatory enrollment to commence in October 1997. Mandatory enrollment has already begun in eleven counties — Albany, Broome, Columbia, Erie, Greene, Monroe, Niagara, Onondaga, Ontario, Rensselaer and Saratoga. New York City enrollment is anticipated to begin in early 1999 in Staten Island, and in parts of Manhattan and Brooklyn. The remainder of the State will be phased in at four-month intervals subject to Federal approval. Each phase will include groups of counties and parts of New York City.

During the first half of 1998-99, voluntary enrollment remained nearly level. Enrollment is projected to reach approximately 725,000 by the end of 1998-99 and 1.3 million by the end of 1999-2000. When fully implemented, approximately three-quarters of all Medicaid recipients are expected to be enrolled in mandatory managed care. As a result of existing managed care enrollment, New York State has already seen increased primary care use, lower emergency room use, and fewer inpatient days.

The State's Medicaid Managed Care program ensures that the neediest people receive high quality, accessible health care. Legislation passed in 1996 authorizes the State to certify special managed care plans to provide comprehensive services to individuals infected with the HIV virus or who have a serious mental illness. These Special Needs Plans will begin operation in 1999-2000. Start-up grant funding will be provided to facilitate implementation of these plans. Medicaid Managed Care also incorporates a comprehensive set of consumer protections to ensure that recipients obtain enrollment assistance and quality care, and understand their rights and responsibilities under managed care plans.

### ***Medicaid Administration***

The Department of Health is responsible for overall management of the Medicaid program and the State's interaction with Federal and local governments, health care providers and Medicaid recipients. Counties will continue their role in making Medicaid eligibility determinations. Payments to health care providers also continue to be made through the State's computerized Medicaid Management Information System (MMIS) which is operated by a private agency with oversight by State personnel. The Department is now in the final stage of re-procuring management and development services for a Replacement Medicaid System (RMS) to replace both MMIS and the Electronic Medicaid Eligibility Verification System (EMEVS). The RMS will replace out-of-date technology

and bring New York State into compliance with new Federal reporting requirements. In addition, the new system will substantially enhance front-end detection of Medicaid fraud.

### **CHILD HEALTH PLUS**

New York's Child Health Plus program continues to set a national standard for children's health insurance coverage. The Child Health Plus program was significantly expanded with passage of legislation under Governor Pataki's leadership in both 1996 and 1998. Funding levels have increased dramatically and, since 1996, enrollment has increased significantly and benefits have been expanded to include hospitalization and dental, vision, speech, hearing, mental health and substance abuse services for adolescents up to age 19.

New York is eligible for approximately \$256 million in Federal funds in 1999-2000. These funds, when combined with State Health Care Reform Act (HCRA) moneys, will facilitate access to comprehensive Child Health Plus coverage to virtually all eligible children in our State.

### **OTHER PUBLIC HEALTH PROGRAMS**

Excluding Medicaid program costs, General Fund appropriations finance 40 percent of the Department of Health's budget in 1999-2000, down from a high of 62 percent in the mid-1980's.

Other revenue, including 1) reimbursement for patient care provided at the Department's health care facilities; 2) regulatory fees and audit recoveries; 3) management fees for hospital and nursing home construction projects financed through bond proceeds; and, 4) registration, testing and certification fees for various public health services, support 19 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 41 percent is provided by Federal grants and Fiduciary and Enterprise funds.

Capital Projects appropriations preserve and maintain the Department's hospitals, nursing homes and the three separate laboratory facilities in Albany County which constitute the Wadsworth Center for Laboratories and Research. The cost of projects at the health care facilities are funded from facility revenues, the General Fund, or the proceeds from the sale of bonds issued by the New York State Dormitory Authority. The debt service costs for the bonds are financed by patient care revenue.

As the health care delivery system changes, this recommendation ensures public health priorities are preserved. As such, the 1999-2000 budget:

- Expands the program for diabetes prevention and control in New York State initiated in 1997-98. In 1999-2000 the program will give more emphasis to the problems of childhood diabetes. Over 600,000 individuals are diagnosed with diabetes, and another 600,000 are unaware of their condition. This program increases public awareness and practitioner management of the condition;
- Provides \$200,000 in new funding to support pilot projects to provide asthmatic children with care and to conduct a statewide education campaign to increase awareness of the dangers of asthma;
- Maintains State funding at current levels of over \$13.8 million for critical public health needs including school health, lead poisoning prevention, breast cancer detection and prenatal care;
- Sustains the State's commitment to fighting the AIDS epidemic by continuing statewide spending at about \$1.98 billion, including almost \$106 million to be spent by the AIDS Institute. Emphasis will continue to be placed on prevention and specialized services which target resources to populations with the greatest risk of infection;

- Includes approximately \$147.9 million in General Fund spending to reimburse counties and New York City for providing public health services such as childhood immunizations, primary health care, and control of communicable diseases such as tuberculosis and sexually-transmitted diseases;
- Supports the optional State supplementation of the Federal nutrition assistance program for women, infants and children (WIC) with \$28 million. New York continues to be one of only thirteen states to augment Federal nutrition funds;
- Continues the Elderly Pharmaceutical Insurance Coverage program, which will help approximately 105,000 elderly persons next year with their out-of-pocket prescription expenses;
- Provides Early Intervention services such as speech and physical therapy to infants and toddlers under the age of three who have developmental delays; and,
- Continues funding of \$2.6 million for programs to promote sexual abstinence among adolescents.

## **PROGRAM HIGHLIGHTS**

### **MEDICAID**

Originally established in 1965 by the Federal government as a health insurance program for the poor, New York's Medicaid program grew to \$28 billion in 1998-99, providing coverage to approximately 2.8 million New Yorkers. In addition to the federally-mandated services — inpatient and outpatient hospital care, nursing facility care, physician services, home health care, family planning, laboratory and x-ray services — New York also provides almost all federally permissible optional services.

Traditionally, the Federal government has paid for 50 percent of the State's Medicaid program. The State pays about 35 percent of the remaining costs and counties pay about 15 percent. The Federal government has matched, on an unlimited basis, each State dollar expended on Medicaid.

### **ACCESS TO QUALITY HEALTH CARE**

The Department develops and implements programs to ensure that residents of New York have access to high quality health care. Over the last three years, significant legislation has been enacted that will enhance the availability of appropriate care to all New Yorkers:

- The landmark Health Care Reform Act of 1996 deregulated inpatient hospital reimbursement and introduced a market-based system which allows commercial insurers, managed care entities and self-insured plans to establish rates of payment directly through negotiations with hospitals and without State intervention. While this Act expires on December 31, 1999, successor legislation will retain the State's commitment to ensuring that the hospital system adapts to the changing health care environment;
- Pioneering Consumer Managed Care legislation enacted in 1996 — the Managed Care Bill of Rights — ensures that consumers will be appropriately informed about managed care choices, benefits and guarantees that providers can discuss all appropriate health care options;
- Enhanced consumer protections were added in External Review legislation enacted in 1998 which provide health plan enrollees the opportunity to request an external appeal when coverage of health care services is denied on the grounds that the service is not medically necessary, or that it is experimental or investigational; and

## **HEALTH**

---

- The Long-Term Care Integration and Finance Act of 1997 authorizes various managed long-term care models for evaluation, expands service options, increases available financing streams for long-term care, and ensures the tax deductibility of long-term care insurance.

### **PUBLIC HEALTH**

Efforts such as education, research and prevention of injuries and disease 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, 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. Screening programs conducted in the Labs annually report nearly three million test results to providers. These programs encompass such public health concerns as HIV, tuberculosis, and genetic disorders in newborns. Ongoing research, largely funded by external grants, is carried out for public health problems such as AIDS, Lyme disease, cancer and the toxic effects of chemical substances and radiation. In addition, the Wadsworth Center regulates over 800 environmental laboratories and over 1,800 clinical laboratories and blood banks to ensure testing quality, and the public's health and safety.

### **RESPONSE TO THE AIDS EPIDEMIC**

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. Since 1983, cases of AIDS in New York State total more than 124,000, one-fifth of the U.S. total. 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. New York State will spend \$1.98 billion to combat HIV/AIDS next year.

### **HEALTH SYSTEMS MANAGEMENT**

The Department assures 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 reimbursement rate methodologies, rate setting, and review and monitoring of health facility plans for construction and expansion. Federal reimbursement for surveillance and certification, and fees for overseeing facilities to assure that bonded debt is repaid, help to offset program costs.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$3,134,062,950	\$3,320,591,700	+ \$186,528,750	\$2,910,187,226
Aid To Localities . . . . .	22,774,151,781	23,160,954,500	+ 386,802,719	16,702,274,137
Capital Projects . . . . .	156,906,000	98,877,000	-58,029,000	225,167,000
<b>Total . . . . .</b>	<b>\$26,065,120,731</b>	<b>\$26,580,423,200</b>	<b>+ \$515,302,469</b>	<b>\$19,837,628,363</b>

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

1999-00 Recommended Average Fill Level

Program	Available	Personal	Maintenance	Total	Change
	1998-99	Service (Regular)		Undistributed	
<b>Administration and Executive Direction</b>					
General Fund . . . . .	201	188	....	188	-13
Special Revenue Funds — Federal . . . . .	159	159	....	159	....
Special Revenue Funds — Other . . . . .	213	200	....	200	-13
<b>Environmental Health</b>					
General Fund . . . . .	137	120	....	120	-17
Special Revenue Funds — Federal . . . . .	143	134	....	134	-9
Special Revenue Funds — Other . . . . .	65	90	....	90	+ 25
<b>Community Health</b>					
General Fund . . . . .	78	76	....	76	-2
Special Revenue Funds — Federal . . . . .	619	639	....	639	+ 20
Special Revenue Funds — Other . . . . .	....	1	....	1	+ 1
<b>AIDS Institute</b>					
General Fund . . . . .	186	186	....	186	....
Special Revenue Funds — Other . . . . .	20	20	....	20	....
<b>Laboratories and Research</b>					
General Fund . . . . .	422	407	....	407	-15
Special Revenue Funds — Federal . . . . .	91	86	....	86	-5
Special Revenue Funds — Other . . . . .	164	164	....	164	....
<b>Institution Management</b>					
Special Revenue Funds — Other . . . . .	2,709	2,709	....	2,709	....
<b>Health Care Financing</b>					
General Fund . . . . .	95	87	....	87	-8
Special Revenue Funds — Other . . . . .	73	74	....	74	+ 1
<b>Health Care Standards and Surveillance</b>					
General Fund . . . . .	281	276	....	276	-5
Special Revenue Funds — Other . . . . .	235	235	....	235	....
<b>Elderly Pharmaceutical Insurance Coverage</b>					
General Fund . . . . .	20	20	....	20	....
<b>Child Health Insurance Program</b>					
Special Revenue Funds — Other . . . . .	46	46	....	46	....
<b>Medicaid Assistance</b>					
General Fund . . . . .	422	422	....	422	....
Special Revenue Funds — Other . . . . .	5	5	....	5	....
<b>Office of Medicaid Audit and Fraud Prevention</b>					
General Fund . . . . .	228	228	....	228	....
Special Revenue Funds — Federal . . . . .	244	244	....	244	....
Special Revenue Funds — Other . . . . .	27	27	....	27	....
<b>Office of Continuing Care</b>					
General Fund . . . . .	369	369	....	369	....
Special Revenue Funds — Other . . . . .	2	2	....	2	....
<b>Managed Care</b>					
General Fund . . . . .	152	152	....	152	....
Special Revenue Funds — Other . . . . .	3	3	....	3	....
<b>Subtotal, Direct Funded Programs . . . . .</b>	<b>7,409</b>	<b>7,369</b>	<b>....</b>	<b>7,369</b>	<b>-40</b>
<b>Suballocations:</b>					
Special Revenue Funds — Federal . . . . .	22			22	....
Special Revenue Funds — Other . . . . .	106			106	....
Enterprise Funds . . . . .	16			16	....
<b>Total . . . . .</b>	<b>7,553</b>			<b>7,513</b>	<b>-40</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$136,798,500	\$151,516,000	+ \$14,717,500
Special Revenue Funds — Federal . . . . .	2,541,162,250	2,747,447,600	+ 206,285,350
Special Revenue Funds — Other . . . . .	453,367,200	418,893,100	-34,474,100
Enterprise Funds . . . . .	10,000	10,000	. . . .
Fiduciary Funds . . . . .	<u>2,725,000</u>	<u>2,725,000</u>	. . . .
Total . . . . .	\$3,134,062,950	<u>\$3,320,591,700</u>	<u>+ \$186,528,750</u>
Adjustments:			
Recommended Deficiency			
Special Revenue Funds — Other . . . . .	-2,000,000		
Transfer(s) From			
Health, Department of			
General Fund . . . . .	-937,200		
Transfer(s) To			
Health, Department of			
Special Revenue Funds — Other . . . . .	<u>+ 937,200</u>		
Appropriated 1998-99 . . . . .	<u>\$3,132,062,950</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Administration and Executive Direction			
General Fund . . . . .	\$15,720,000	\$15,809,900	+ \$89,900
Special Revenue Funds — Federal . . . . .	13,774,600	15,666,400	+ 1,891,800
Special Revenue Funds — Other . . . . .	20,093,200	19,609,000	-484,200
Environmental Health			
General Fund . . . . .	8,991,100	8,335,600	-655,500
Special Revenue Funds — Federal . . . . .	12,232,000	12,755,500	+ 523,500
Special Revenue Funds — Other . . . . .	12,123,100	13,247,600	+ 1,124,500
Community Health			
General Fund . . . . .	7,454,100	7,475,900	+ 21,800
Special Revenue Funds — Federal . . . . .	74,633,550	87,366,100	+ 12,732,550
Special Revenue Funds — Other . . . . .	622,900	593,800	-29,100
AIDS Institute			
General Fund . . . . .	14,533,500	15,509,900	+ 976,400
Special Revenue Funds — Federal . . . . .	356,700	200,000	-156,700
Special Revenue Funds — Other . . . . .	1,858,000	1,967,600	+ 109,600
Laboratories and Research			
General Fund . . . . .	27,542,400	27,420,100	-122,300
Special Revenue Funds — Federal . . . . .	7,599,600	7,599,600	. . . . .
Special Revenue Funds — Other . . . . .	19,068,100	27,556,500	+ 8,488,400
Fiduciary Funds . . . . .	2,000,000	2,000,000	. . . . .
Institution Management			
Special Revenue Funds — Other . . . . .	244,101,900	195,460,800	-48,641,100
Enterprise Funds . . . . .	10,000	10,000	. . . . .
Fiduciary Funds . . . . .	325,000	325,000	. . . . .
Health Care Financing			
General Fund . . . . .	5,726,000	5,681,600	-44,400
Special Revenue Funds — Other . . . . .	6,783,400	6,951,500	+ 168,100
Health Care Standards and Surveillance			
General Fund . . . . .	22,985,100	22,668,100	-317,000
Special Revenue Funds — Federal . . . . .	14,600,000	13,400,000	-1,200,000
Special Revenue Funds — Other . . . . .	37,055,400	37,231,300	+ 175,900
Elderly Pharmaceutical Insurance Coverage			
General Fund . . . . .	5,844,100	5,864,500	+ 20,400
Child Health Insurance			
Special Revenue Funds — Federal . . . . .	14,601,000	13,000,000	-1,601,000
Special Revenue Funds — Other . . . . .	6,620,000	7,000,000	+ 380,000
Maintenance Undistributed			
General Fund . . . . .	-94,924,900	-89,148,900	+ 5,776,000
Special Revenue Funds — Other . . . . .	94,924,900	89,148,900	-5,776,000
Medicaid Assistance			
General Fund . . . . .	39,893,800	41,111,000	+ 1,217,200
Special Revenue Funds — Federal . . . . .	2,340,861,800	2,528,131,000	+ 187,269,200
Special Revenue Funds — Other . . . . .	1,350,000	1,350,000	. . . . .
Fiduciary Funds . . . . .	400,000	. . . . .	-400,000
Medicaid Management Information System			
General Fund . . . . .	35,457,000	42,880,000	+ 7,423,000
Special Revenue Funds — Federal . . . . .	28,491,000	42,153,000	+ 13,662,000
Office of Medicaid Audit and Fraud Prevention			
General Fund . . . . .	13,892,100	14,809,000	+ 916,900
Special Revenue Funds — Federal . . . . .	34,012,000	27,176,000	-6,836,000
Special Revenue Funds — Other . . . . .	4,500,000	14,500,000	+ 10,000,000
Office of Continuing Care			
General Fund . . . . .	20,074,700	20,041,300	-33,400
Special Revenue Funds — Other . . . . .	3,567,200	3,567,100	-100
Fiduciary Funds . . . . .	. . . . .	400,000	+ 400,000
Managed Care			
General Fund . . . . .	13,609,500	13,058,000	-551,500
Special Revenue Funds — Other . . . . .	699,100	709,000	+ 9,900
<u>Total . . . . .</u>	<u>\$3,134,062,950</u>	<u>\$3,320,591,700</u>	<u>+ \$186,528,750</u>

# HEALTH

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration and Executive						
Direction . . . . .	\$9,644,700	+ \$89,900	\$9,416,700	+ \$89,900	\$125,000	. . . .
Environmental Health . . . . .	6,399,400	-144,500	6,202,600	-144,500	186,300	. . . .
Community Health . . . . .	3,500,000	+ 21,800	3,421,200	+ 21,800	60,000	. . . .
AIDS Institute . . . . .	8,815,800	+ 386,400	8,800,800	+ 386,400	. . . .	. . . .
Laboratories and Research . . . . .	18,800,000	+ 38,700	18,478,500	+ 38,700	64,200	. . . .
Health Care Financing . . . . .	4,813,300	-44,400	4,781,300	-44,400	. . . .	. . . .
Health Care Standards and Surveillance . . . . .	14,521,400	-223,000	14,422,300	-223,000	20,000	. . . .
Elderly Pharmaceutical Insurance Coverage . . . . .	1,039,300	+ 20,400	1,038,300	+ 20,400	. . . .	. . . .
Medicaid Assistance . . . . .	21,168,000	+ 152,100	20,948,000	+ 152,100	70,000	. . . .
Office of Medicaid Audit and Fraud Prevention . . . . .	12,273,000	+ 648,100	12,192,200	+ 648,100	48,500	. . . .
Office of Continuing Care . . . . .	18,742,700	-33,400	18,742,700	-33,400	. . . .	. . . .
Managed Care . . . . .	8,382,000	-551,600	8,382,000	-551,600	. . . .	. . . .
Total . . . . .	<u>\$128,099,600</u>	<u>+ \$360,500</u>	<u>\$126,826,600</u>	<u>+ \$360,500</u>	<u>\$574,000</u>	<u>. . . .</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration and Executive		
Direction . . . . .	\$103,000	. . . .
Environmental Health . . . . .	10,500	. . . .
Community Health . . . . .	18,800	. . . .
AIDS Institute . . . . .	15,000	. . . .
Laboratories and Research . . . . .	257,300	. . . .
Health Care Financing . . . . .	32,000	. . . .
Health Care Standards and Surveillance . . . . .	79,100	. . . .
Elderly Pharmaceutical Insurance Coverage . . . . .	1,000	. . . .
Medicaid Assistance . . . . .	150,000	. . . .
Office of Medicaid Audit and Fraud Prevention . . . . .	32,300	. . . .
Office of Continuing Care . . . . .	. . . .	. . . .
Managed Care . . . . .	. . . .	. . . .
Total . . . . .	<u>\$699,000</u>	<u>. . . .</u>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration and Executive					
Direction	\$6,165,200		.....	\$740,000	.....
Environmental Health	1,936,200		-\$511,000	133,600	.....
Community Health	3,975,900		.....	319,800	.....
AIDS Institute	6,694,100		+ 590,000	1,474,000	.....
Laboratories and Research	8,620,100		-161,000	3,117,700	.....
Health Care Financing	868,300		.....	12,200	.....
Health Care Standards and					
Surveillance	8,146,700		-94,000	41,400	.....
Elderly Pharmaceutical					
Insurance Coverage	4,825,200		.....	18,600	-\$1,600
Medicaid Assistance	19,943,000		+ 1,065,100	91,320	+ 100
Medicaid Management					
Information System	42,880,000		+ 7,423,000	.....	.....
Office of Medicaid Audit and					
Fraud Prevention	2,536,000		+ 268,800	85,300	.....
Office of Continuing Care	1,298,600		.....	106,800	.....
Managed Care	4,676,000		+ 100	122,100	+ 100
Total	<u>\$112,565,300</u>		<u>+ \$8,581,000</u>	<u>\$6,262,820</u>	<u>-\$1,400</u>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration and Executive					
Direction	\$262,200		.....	\$5,112,000	.....
Environmental Health	374,400		.....	1,322,600	-\$511,000
Community Health	139,500		.....	3,478,200	.....
AIDS Institute	256,600		.....	3,709,500	.....
Laboratories and Research	76,000		.....	5,071,900	-161,000
Health Care Financing	38,400		.....	804,000	.....
Health Care Standards and					
Surveillance	380,400		.....	6,765,800	.....
Elderly Pharmaceutical					
Insurance Coverage	9,700		.....	4,723,000	+ 1,600
Medicaid Assistance	320,800		.....	3,597,080	.....
Medicaid Management					
Information System	.....		.....	42,880,000	+ 7,423,000
Office of Medicaid Audit and					
Fraud Prevention	180,000		.....	1,095,200	+ 268,500
Office of Continuing Care	766,900		.....	377,400	.....
Managed Care	292,000		.....	3,861,400	.....
Total	<u>\$3,096,900</u>		<u>.....</u>	<u>\$82,798,080</u>	<u>+ \$7,021,100</u>

# HEALTH

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration and Executive				
Direction . . . . .	\$51,000	. . . .	. . . .	. . . .
Environmental Health . . . . .	105,600	. . . .	. . . .	. . . .
Community Health . . . . .	38,400	. . . .	. . . .	. . . .
AIDS Institute . . . . .	214,000	. . . .	. . . .	. . . .
Laboratories and Research . . . . .	354,500	. . . .	. . . .	. . . .
Health Care Financing . . . . .	13,700	. . . .	. . . .	. . . .
Health Care Standards and Surveillance . . . . .	147,400	. . . .	\$811,700	-\$94,000
Elderly Pharmaceutical Insurance Coverage . . . . .	3,500	. . . .	. . . .	. . . .
Medicaid Assistance . . . . .	68,800	. . . .	. . . .	. . . .
Medicaid Management Information System . . . . .	. . . .	. . . .	. . . .	. . . .
Office of Medicaid Audit and Fraud Prevention . . . . .	26,500	. . . .	. . . .	. . . .
Office of Continuing Care . . . . .	47,500	. . . .	. . . .	. . . .
Managed Care . . . . .	400,500	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$1,471,400</b>	<b>. . . .</b>	<b>\$811,700</b>	<b>-\$94,000</b>

Program	Maintenance Undistributed	
	Amount	Change
Administration and Executive		
Direction . . . . .	. . . .	. . . .
Environmental Health . . . . .	. . . .	. . . .
Community Health . . . . .	. . . .	. . . .
AIDS Institute . . . . .	\$1,040,000	+ \$590,000
Laboratories and Research . . . . .	. . . .	. . . .
Health Care Financing . . . . .	. . . .	. . . .
Health Care Standards and Surveillance . . . . .	. . . .	. . . .
Elderly Pharmaceutical Insurance Coverage . . . . .	70,400	. . . .
Medicaid Assistance . . . . .	15,865,000	+ 1,065,000
Medicaid Management Information System . . . . .	. . . .	. . . .
Office of Medicaid Audit and Fraud Prevention . . . . .	1,149,000	+ 300
Office of Continuing Care . . . . .	. . . .	. . . .
Managed Care . . . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$18,124,400</b>	<b>+ \$1,655,300</b>

**STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration and Executive				
Direction . . . . .	\$35,275,400	+ \$1,407,600	\$10,505,200	-\$535,500
Environmental Health . . . . .	26,003,100	+ 1,648,000	3,200,200	+ 551,400
Community Health . . . . .	87,959,900	+ 12,703,450	25,000	-14,800
AIDS Institute . . . . .	2,167,600	-47,100	764,300	. . . .
Laboratories and Research . . . . .	37,156,100	+ 8,488,400	8,288,500	-5,100
Institution Management . . . . .	195,795,800	-48,641,100	. . . .	. . . .
Health Care Financing . . . . .	6,951,500	+ 168,100	4,131,300	-151,900
Health Care Standards and				
Surveillance . . . . .	50,631,300	-1,024,100	11,702,300	+ 458,800
Child Health Insurance . . . . .	20,000,000	-1,221,000	2,174,000	-1,837,400
Office of Medicaid Management . . . . .	2,529,481,000	+ 186,869,200	. . . .	. . . .
Medicaid Management				
Information System . . . . .	42,153,000	+ 13,662,000	. . . .	. . . .
Office of Medicaid Audit and				
Fraud Prevention . . . . .	41,676,000	+ 3,164,000	. . . .	. . . .
Office of Continuing Care . . . . .	3,967,100	+ 399,900	121,800	. . . .
Managed Care . . . . .	709,000	+ 9,900	120,000	+ 6,100
<b>Total . . . . .</b>	<b>\$3,079,926,800</b>	<b>+ \$177,587,250</b>	<b>\$41,032,600</b>	<b>-\$1,528,400</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Executive				
Direction . . . . .	\$9,103,800	+ \$51,300	\$15,666,400	+ \$1,891,800
Environmental Health . . . . .	8,022,400	-364,700	14,780,500	+ 1,461,300
Community Health . . . . .	115,400	-14,300	87,819,500	+ 12,732,550
AIDS Institute . . . . .	1,203,300	+ 109,600	200,000	-156,700
Laboratories and Research . . . . .	10,768,000	-6,500	18,099,600	+ 8,500,000
Institution Management . . . . .	. . . .	. . . .	195,795,800	-48,641,100
Health Care Financing . . . . .	2,820,200	+ 320,000	. . . .	. . . .
Health Care Standards and				
Surveillance . . . . .	10,216,500	-282,900	28,712,500	-1,200,000
Child Health Insurance . . . . .	17,826,000	+ 4,526,100	. . . .	-3,909,700
Office of Medicaid Management . . . . .	. . . .	. . . .	2,529,481,000	+ 186,869,200
Medicaid Management				
Information System . . . . .	. . . .	. . . .	42,153,000	+ 13,662,000
Office of Medicaid Audit and				
Fraud Prevention . . . . .	10,000,000	+ 10,000,000	31,676,000	-6,836,000
Office of Continuing Care . . . . .	3,445,300	-100	400,000	+ 400,000
Managed Care . . . . .	89,000	+ 3,800	500,000	. . . .
<b>Total . . . . .</b>	<b>\$73,609,900</b>	<b>+ \$14,342,300</b>	<b>\$2,965,284,300</b>	<b>+ \$164,773,350</b>

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

Fund Type	Available	Recommended	Change
	1998-99	1999-00	
General Fund . . . . .	\$6,157,602,331	\$6,104,789,500	-\$52,812,831
Special Revenue Funds — Federal . . . . .	15,148,400,950	15,631,996,500	+ 483,595,550
Special Revenue Funds — Other . . . . .	1,093,148,500	924,168,500	-168,980,000
Fiduciary Funds . . . . .	375,000,000	500,000,000	+ 125,000,000
<b>Total . . . . .</b>	<b>\$22,774,151,781</b>	<b>\$23,160,954,500</b>	<b>+ \$386,802,719</b>
Adjustments:			
Recommended Deficiency			
General Fund . . . . .		-97,973,000	
Appropriated 1998-99 . . . . .	\$22,676,178,781		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Administration and Executive Direction			
General Fund . . . . .	\$869,300	\$869,300	. . . .
Environmental Health			
Special Revenue Funds — Federal . . . . .	2,487,400	2,487,400	. . . .
Special Revenue Funds — Other . . . . .	200,000	200,000	. . . .
Community Health			
General Fund . . . . .	317,101,100	339,316,100	+ \$22,215,000
Special Revenue Funds — Federal . . . . .	473,204,750	561,603,300	+ 88,398,550
Special Revenue Funds — Other . . . . .	18,647,000	18,647,000	. . . .
AIDS Institute			
General Fund . . . . .	74,393,200	77,217,200	+ 2,824,000
Special Revenue Funds — Other . . . . .	10,933,500	10,933,500	. . . .
Laboratories and Research			
General Fund . . . . .	1,171,000	1,071,000	-100,000
Special Revenue Funds — Federal . . . . .	2,059,800	2,059,800	. . . .
Health Care Standards and Surveillance			
General Fund . . . . .	9,513,900	9,184,900	-329,000
Elderly Pharmaceutical Insurance Coverage			
General Fund . . . . .	120,500,000	138,000,000	+ 17,500,000
Child Health Insurance			
Special Revenue Funds — Federal . . . . .	369,399,000	243,000,000	-126,399,000
Special Revenue Funds — Other . . . . .	157,380,000	200,000,000	+ 42,620,000
Maintenance Undistributed			
General Fund . . . . .	-41,988,000	-44,388,000	-2,400,000
Special Revenue Funds — Other . . . . .	41,988,000	44,388,000	+ 2,400,000
Medicaid Assistance			
General Fund . . . . .	5,553,182,000	5,497,600,000	-55,582,000
Special Revenue Funds — Federal . . . . .	14,059,550,000	14,500,000,000	+ 440,450,000
Special Revenue Funds — Other . . . . .	864,000,000	650,000,000	-214,000,000
Fiduciary Funds . . . . .	375,000,000	500,000,000	+ 125,000,000
Medical Assistance Administration			
General Fund . . . . .	111,150,000	79,650,000	-31,500,000
Special Revenue Funds — Federal . . . . .	241,700,000	322,846,000	+ 81,146,000
Office of Continuing Care			
General Fund . . . . .	6,269,000	6,269,000	. . . .
Legislative Initiatives			
General Fund . . . . .	5,440,831	. . . .	-5,440,831
<b>Total . . . . .</b>	<u>\$22,774,151,781</u>	<u>\$23,160,954,500</u>	<u>+ \$386,802,719</u>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Rehabilitation And Improvements				
Capital Projects Fund	\$3,750,000	.....	-\$3,750,000	\$5,177,000
St. Albans Rehabilitation & Improvement	.....	\$200,000	+ 200,000	.....
Oxford Rehabilitation & Improvement	.....	1,000,000	+ 1,000,000	.....
Helen Hayes Rehabilitation & Improvement	.....	9,700,000	+ 9,700,000	.....
Batavia Rehabilitation & Improvement	.....	500,000	+ 500,000	.....
Laboratories and Research				
Capital Projects Fund	1,250,000	3,700,000	+ 2,450,000	3,697,000
Maintenance and Improvements of Existing Institutions				
Capital Projects Fund	750,000	.....	-750,000	13,815,000
New Institution Construction				
Capital Projects Fund - Advances	.....	.....	.....	26,500,000
Department of Health Facilities Capital Improvement Fund	.....	.....	.....	28,724,000
Water Resources				
Federal Capital Projects Fund	101,156,000	33,777,000	-67,379,000	144,590,000
Safe Drinking Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	50,000,000	50,000,000	.....	.....
Design and Construction Supervision				
Capital Projects Fund	.....	.....	.....	2,664,000
<b>Total</b>	<u>\$156,906,000</u>	<u>\$98,877,000</u>	<u>-\$58,029,000</u>	<u>\$225,167,000</u>



# **INTEREST ON LAWYER ACCOUNT**

## **MISSION**

The Interest on Lawyer Account (IOLA) was established in 1983 to finance civil legal services for the poor. Revenues are derived from the interest earned on small trust accounts which attorneys hold for their clients. Banks transfer the interest earned on these accounts to IOLA to fund grants to not-for-profit, tax-exempt entities providing civil legal services to the poor, elderly and disabled. Legislation enacted in 1988 made participation in IOLA mandatory for attorneys in private practice who hold nominal short-term escrow accounts for clients.

## **ORGANIZATION AND STAFFING**

A 15-member board of trustees appointed by the Governor administers IOLA. Board members serve without compensation. Day-to-day operations are handled by a workforce of eight located in New York City.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Budget recommendations enable a grant level of \$15 million in each of calendar years 1999 and 2000 dependent upon revenue generating efforts. Grant levels continue to rise as a result of ongoing revenue maximization efforts including initiatives intended to reduce administrative costs at participating banks. Approximately \$4 million of the anticipated annual grants are contingent upon these initiatives to increase interest earnings.

## **PROGRAM HIGHLIGHTS**

At least 75 percent of the grant funds distributed by IOLA must be used to deliver civil legal services to the poor. The balance must be allocated to purposes related to the improvement of the administration of justice, including the provision of civil legal services to under served groups such as the elderly and disabled. In 1999, IOLA will award grants to an estimated 120 organizations.

<u>Category</u>	<b>ALL FUNDS APPROPRIATIONS</b>			
	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$1,016,000	\$999,900	-\$16,100	. . . .
Aid To Localities . . . . .	14,950,000	14,950,000	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$15,966,000</b>	<b>\$15,949,900</b>	<b>-\$16,100</b>	<b>. . . .</b>

# INTEREST ON LAWYER ACCOUNT

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
New York Interest on Lawyer Account					
Fiduciary Funds . . . . .	9	8	....	8	-1
Total . . . . .	9	8	....	8	-1

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
Fiduciary Funds . . . . .	\$1,016,000	\$999,900	-\$16,100
Total . . . . .	\$1,016,000	\$999,900	-\$16,100

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
New York Interest on Lawyer Account			
Fiduciary Funds . . . . .	\$1,016,000	\$999,900	-\$16,100
Total . . . . .	\$1,016,000	\$999,900	-\$16,100

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
New York Interest on Lawyer Account				
Account . . . . .	\$999,900	-\$16,100	\$473,900	-\$16,200
Total . . . . .	\$999,900	-\$16,100	\$473,900	-\$16,200

Program	Nonpersonal Service Amount	Change
New York Interest on Lawyer Account		
Account . . . . .	\$526,000	+ \$100
Total . . . . .	\$526,000	+ \$100

# ***INTEREST ON LAWYER ACCOUNT***

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Fiduciary Funds . . . . .	\$14,950,000	\$14,950,000	. . . .
Total . . . . .	<u>\$14,950,000</u>	<u>\$14,950,000</u>	<u>. . . .</u>

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

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
New York Interest on Lawyer Account Fiduciary Funds . . . . .	\$14,950,000	\$14,950,000	. . . .
Total . . . . .	<u>\$14,950,000</u>	<u>\$14,950,000</u>	<u>. . . .</u>

***INTEREST ON LAWYER ACCOUNT***

---

# TEMPORARY STATE COMMISSION OF INVESTIGATION

## MISSION

The Temporary State Commission of Investigation was established in 1958 to serve as a bipartisan fact-finding agency investigating and reporting on organized crime and racketeering, the conduct of public officers, and other matters affecting public peace, safety and justice.

## ORGANIZATION AND STAFFING

The Commission has six salaried members, two each appointed by the Governor, the Temporary President of the Senate and the Speaker of the Assembly. In addition to the 6 commissioners, there will be 28 staff positions at the Commission, which has its main office in New York City.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

In 1999-00 a total of \$2.3 million in State tax dollars and \$200,000 in anticipated asset forfeitures will support the expenses of the Commission.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$2,481,800	\$2,549,500	+ \$67,700	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$2,481,800</u>	<u>\$2,549,500</u>	<u>+ \$67,700</u>	<u>. . . .</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Investigation General Fund . . . . .	34	34	. . . .	34	. . . .
Total . . . . .	<u>34</u>	<u>34</u>	<u>. . . .</u>	<u>34</u>	<u>. . . .</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,281,800	\$2,349,500	+ \$67,700
Special Revenue Funds — Other . . . . .	200,000	200,000	. . . .
Total . . . . .	<u>\$2,481,800</u>	<u>\$2,549,500</u>	<u>+ \$67,700</u>

# INVESTIGATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Investigation			
General Fund . . . . .	\$2,281,800	\$2,349,500	+ \$67,700
Special Revenue Funds — Other . . . . .	200,000	200,000	. . . . .
Total . . . . .	<u>\$2,481,800</u>	<u>\$2,549,500</u>	<u>+ \$67,700</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Investigation . . . . .	\$2,126,600	+ \$67,700	\$2,095,200	+ \$67,700	\$31,400	. . . . .
Total . . . . .	<u>\$2,126,600</u>	<u>+ \$67,700</u>	<u>\$2,095,200</u>	<u>+ \$67,700</u>	<u>\$31,400</u>	<u>. . . . .</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Investigation . . . . .	\$222,900	. . . . .	\$36,300	. . . . .
Total . . . . .	<u>\$222,900</u>	<u>. . . . .</u>	<u>\$36,300</u>	<u>. . . . .</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Investigation . . . . .	\$55,800	. . . . .	\$100,800	. . . . .
Total . . . . .	<u>\$55,800</u>	<u>. . . . .</u>	<u>\$100,800</u>	<u>. . . . .</u>

Program	Equipment	
	Amount	Change
Investigation . . . . .	\$30,000	. . . . .
Total . . . . .	<u>\$30,000</u>	<u>. . . . .</u>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Investigation . . . . .	\$200,000	. . . . .	\$200,000	. . . . .
Total . . . . .	<u>\$200,000</u>	<u>. . . . .</u>	<u>\$200,000</u>	<u>. . . . .</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. The Commission will have 26 staff in 1999-2000. Its main office is in New York City, with branches in Albany and Rochester. Its budget of \$1.9 million is supported entirely by State tax dollars from the General Fund.

## **COMMISSION ON JUDICIAL NOMINATION**

The State Constitution established the Commission on Judicial Nomination to evaluate candidates and make recommendations to the Governor for appointment to the Court of Appeals, the State's highest court.

The Commission on Judicial Nomination has 12 members appointed by the Governor, the Chief Judge of the Court of Appeals and the Legislature. These members serve without pay and conduct the search for qualified candidates upon formal notification of a vacancy on the Court of Appeals. They are supported by volunteer legal staff also serving without pay.

## **GOVERNOR'S JUDICIAL SCREENING COMMITTEES**

The Governor's Judicial Screening Committees are established by Executive Order to evaluate the qualifications of candidates and make recommendations to the Governor for appointment to judgeships other than those on the Court of Appeals. The Committees are located throughout the State. In 1999-2000, a total of \$150,000 in State tax dollars will support the Committees.

# JUDICIAL COMMISSIONS

## ALL FUNDS APPROPRIATIONS

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$2,055,900	\$2,107,500	+ \$51,600	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$2,055,900</b>	<b>\$2,107,500</b>	<b>+ \$51,600</b>	<b>. . . .</b>

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

Program	Available 1998-99	Personal Service (Regular)	1999-00 Recommended Average Fill Level		Change
			Maintenance Undistributed	Total Recommended 1999-00	
Judicial Conduct General Fund . . . . .	26	26	. . . .	26	. . . .
<b>Total . . . . .</b>	<b>26</b>	<b>26</b>	<b>. . . .</b>	<b>26</b>	<b>. . . .</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,055,900	\$2,107,500	+ \$51,600
<b>Total . . . . .</b>	<b>\$2,055,900</b>	<b>\$2,107,500</b>	<b>+ \$51,600</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Judicial Conduct General Fund . . . . .	\$1,875,900	\$1,947,500	+ \$71,600
Judicial Nomination, Commission on General Fund . . . . .	30,000	10,000	-20,000
Judicial Screening Committees General Fund . . . . .	150,000	150,000	. . . .
<b>Total . . . . .</b>	<b>\$2,055,900</b>	<b>\$2,107,500</b>	<b>+ \$51,600</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Judicial Conduct . . . . .	\$1,558,100	+ \$63,400	\$1,540,400	+ \$63,400	\$17,700	. . . .
<b>Total . . . . .</b>	<b>\$1,558,100</b>	<b>+ \$63,400</b>	<b>\$1,540,400</b>	<b>+ \$63,400</b>	<b>\$17,700</b>	<b>. . . .</b>

# JUDICIAL COMMISSIONS

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total Change	Supplies and Materials Amount	Change
Judicial Conduct . . . . .	\$389,400	+ \$8,200	\$29,600	. . . .
Judicial Nomination, Commission on . . . . .	10,000	-20,000	. . . .	. . . .
Judicial Screening Committees . . .	150,000	. . . .	. . . .	. . . .
Total . . . . .	\$549,400	-\$11,800	\$29,600	. . . .

Program	Amount	Travel Change	Contractual Services Amount	Change
Judicial Conduct . . . . .	\$29,600	. . . .	\$317,300	+ \$8,200
Judicial Nomination, Commission on . . . . .	. . . .	. . . .	. . . .	. . . .
Judicial Screening Committees . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	\$29,600	. . . .	\$317,300	+ \$8,200

Program	Amount	Equipment Change	Maintenance Undistributed Amount	Change
Judicial Conduct . . . . .	\$12,900	. . . .	. . . .	. . . .
Judicial Nomination, Commission on . . . . .	. . . .	. . . .	\$10,000	-\$20,000
Judicial Screening Committees . . .	. . . .	. . . .	150,000	. . . .
Total . . . . .	\$12,900	. . . .	\$160,000	-\$20,000



# DEPARTMENT OF MENTAL HYGIENE

The Department of Mental Hygiene operates through three independent agencies: the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, and the Office of Alcoholism and Substance Abuse Services. These agencies oversee and provide services for the treatment and rehabilitation of mental illness, developmental disabilities and alcoholism and substance abuse. The Department retains certain capital appropriations that support the activities of the agencies.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$17,736,000	. . . .	-\$17,736,000	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	\$19,347,000
Total . . . . .	<u>\$17,736,000</u>	<u>. . . .</u>	<u>-\$17,736,000</u>	<u>\$19,347,000</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Other . . . . .	\$17,736,000	. . . .	-\$17,736,000
Total . . . . .	<u>\$17,736,000</u>	<u>. . . .</u>	<u>-\$17,736,000</u>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Community Facilities				
Mental Hygiene Capital Improvement Fund - 389 . . . . .	. . . .	. . . .	. . . .	\$19,347,000
Total . . . . .	<u>. . . .</u>	<u>. . . .</u>	<u>. . . .</u>	<u>\$19,347,000</u>



# **OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

## **MISSION**

The Office of Alcoholism and Substance Abuse Services is responsible for licensing and evaluating service providers, and for implementing and advocating policies and programs for the prevention, early intervention and treatment of alcoholism and substance abuse. In conjunction with local governments, providers and communities, the Office works to ensure that a full range of necessary and cost-effective services are provided for addicted persons and those at risk of addiction.

## **ORGANIZATION AND STAFFING**

The Office of Alcoholism and Substance Abuse Services is headed by a Commissioner, who is nominated by the Governor and confirmed by the Senate. The agency will have a workforce of 1,027 employees by the end of 1999-2000, approximately half of which provide clinical treatment services within a statewide system of 13 Addiction Treatment Centers (ATCs).

The 1999-2000 Budget reflects a reduction of 51 positions from prior authorized levels. The majority of this reduction reflects the transfer of 44 positions to the State University of New York, in connection with the transfer of the Research Institute on Addictions to SUNY Buffalo. The remaining reduction reflects agency efficiencies accomplished through the further consolidation and streamlining of both agency operations and the community-based system at large.

## **FISCAL BACKGROUND**

A total of \$481 million in State funding for the treatment and prevention of chemical dependence is appropriated in the Office of Alcoholism and Substance Abuse Services budget. In addition, the Office plays a role in overseeing drug and alcohol programming supported by other State agency budgets, including the welfare, criminal justice, and Medicaid budgets. Accordingly, OASAS has an integral part in the State's welfare reform, criminal justice and Medicaid managed care agendas.

The Office of Alcoholism and Substance Abuse Services budget receives 64 percent of its funding from State tax dollars, with Federal funds and other revenues comprising the rest. Overall, 8 percent supports administrative functions, such as licensing, quality assurance, and the provision of expertise to county governments and providers. The remaining 92 percent supports prevention and treatment services. In 1999-2000, a total of \$318.5 million will fund the delivery of treatment, while another \$98.4 million will be dedicated to prevention programs.

## **BUDGET HIGHLIGHTS**

A total of \$17 million in new initiatives will be undertaken as part of the 1999-2000 Budget. These initiatives are recommended to be funded with a mix of resources, including asset forfeiture revenues, and Federal Substance Abuse Prevention and Treatment (SAPT) grants. The initiatives are intended to strengthen the existing system and increase the effectiveness of prevention and treatment services. Highlights of these initiatives include:

- \$4 million to intensify outpatient services for women with children, persons needing HIV services, and other special populations;

## ***ALCOHOLISM AND SUBSTANCE ABUSE SERVICES***

---

- \$3 million to enhance vocational services;
- \$3 million in targeted prevention grants to strengthen school-, college-, and community-based programs;
- \$2.5 million for training of providers in the care of special populations;
- \$2.5 million to maintain appropriate staffing in the community treatment system; and
- \$2 million to support the transition of newly employed public assistance recipients to full self-sufficiency.

These recommendations also incorporate a 2.5 percent salary-related cost-of-living increase enacted by the Legislature in 1998-99 for certain non-profit programs. In addition, the budget provides the operating and capital funding necessary to implement the 1999-2000 phase of the 700-bed expansion enacted in the 1997-98 budget.

Finally, as discussed above, the 1999-2000 Executive Budget recommends the transfer of the Research Institute on Addictions (RIA) to the State University of New York. This transfer is expected to strengthen RIA's competitive position as a national research facility and assist in the widespread incorporation of research findings into actual treatment practice. As increasing attention is focused nationwide on researching the causes and treatment of addiction, this transfer readies the State to take advantage of scientific breakthroughs in this field.

### ***PROGRAM HIGHLIGHTS***

As the largest drug and alcohol system in the nation, OASAS administers a comprehensive array of prevention and treatment services for New Yorkers suffering from addiction. The Office works with a network of State, local government and voluntary agencies, as well as school districts, to provide prevention and treatment services. In accordance with Federal and State statutes, the agency licenses and regulates program providers, ensures that fiscal resources are appropriately spent, and assists local programs in providing the highest quality services.

On any given day, approximately 120,000 patients are enrolled in New York State's licensed alcoholism and substance abuse treatment and rehabilitation system. Services within this system are provided by more than 1,300 community-based agencies — approximately 600 licensed alcoholism programs and 700 licensed substance abuse programs. OASAS itself directly provides inpatient rehabilitation services to approximately 7,000 patients annually through its 13 State-operated Addiction Treatment Centers.

Moreover, OASAS currently provides financial assistance for substance and alcohol abuse prevention and intervention services to approximately 420 programs in about 2,400 settings across the State including hospitals, the workplace, and school and community-based settings.

The 1999-2000 Executive Budget continues the movement toward a single, consolidated treatment system. Legislation submitted with the Executive Budget will combine the current separate alcohol and drug treatment licenses into a single chemical dependence license. This further consolidation of the treatment system will break down unnecessary barriers to the delivery of care for addictions, and eliminate duplication and inefficiencies in the current system.

Efforts also continue to purchase the best treatment outcomes for the lowest cost. OASAS has initiated twelve demonstration projects, in cooperation with local governments, under which counties case manage their most frequent and costly consumers of treatment services. During 1998-99, OASAS invested \$1.9 million in start-up funds for this initiative, which will become supportable through savings within two years.

Building on this strong relationship with county governments, the State will introduce a fundamental change in the way certain chemical detoxification services are provided, yielding Medicaid savings to both the State and local governments. In 1999-2000, OASAS licensed providers will begin to perform detoxification services in their community-based

## ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

programs, minimizing the repeated use of detoxification services in high-cost inpatient settings and linking consumers with needed on-going treatment services. The result will be both less costly and more coordinated care than is now provided to Medicaid patients in more expensive inpatient hospital settings.

In order to ensure quality services, OASAS will also move forward in 1999-2000 with further implementation of its performance monitoring program. Contracts with community-based providers already contain mandatory performance objectives, and providers regularly report their progress against these goals. However, beginning with contracts for 1999, the Office will now allocate funding based on provider performance. As a result of this policy, the State is further assured that its resources are well invested.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$63,610,700	\$68,966,700	+ \$5,356,000	. . . . .
Aid To Localities . . . . .	369,381,191	383,608,400	+ 14,227,209	\$44,407,000
Capital Projects . . . . .	15,300,000	28,761,000	+ 13,461,000	151,459,000
Total . . . . .	<u>\$448,291,891</u>	<u>\$481,336,100</u>	<u>+ \$33,044,209</u>	<u>\$195,866,000</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Executive Direction					
General Fund . . . . .	382	379	. . . .	379	-3
Special Revenue Funds — Federal . . . . .	83	85	. . . .	85	+ 2
Special Revenue Funds — Other . . . . .	5	. . . .	5	5	. . . .
Capital Project Funds . . . . .	8	8	. . . .	8	. . . .
Institutional Services					
General Fund . . . . .	562	562	. . . .	562	. . . .
Total . . . . .	<u>1,040</u>	<u>1,034</u>	<u>5</u>	<u>1,039</u>	<u>-1</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$45,141,500	\$45,862,500	+ \$721,000
Special Revenue Funds — Federal . . . . .	4,371,700	4,371,700	. . . .
Special Revenue Funds — Other . . . . .	14,097,500	18,732,500	+ 4,635,000
Total . . . . .	<u>\$63,610,700</u>	<u>\$68,966,700</u>	<u>+ \$5,356,000</u>
Adjustments:			
Transfer(s) To			
State University of New York			
General Fund . . . . .	+ 2,413,500		
Appropriated 1998-99 . . . . .	<u>\$66,024,200</u>		

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

---

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Executive Direction			
General Fund . . . . .	\$22,800,200	\$21,931,600	-\$868,600
Special Revenue Funds — Federal . . . . .	4,371,700	4,371,700	. . . .
Special Revenue Funds — Other . . . . .	5,047,500	9,382,500	+ 4,335,000
Institutional Services			
General Fund . . . . .	22,341,300	23,930,900	+ 1,589,600
Special Revenue Funds — Other . . . . .	9,050,000	9,350,000	+ 300,000
<b>Total . . . . .</b>	<b>\$63,610,700</b>	<b>\$68,966,700</b>	<b>+ \$5,356,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Direction . . . . .	\$20,901,600	+ \$426,400	\$20,721,100	+ \$398,300	\$112,300	+ \$26,100
Institutional Services . . . . .	26,272,800	+ 1,111,000	25,517,600	+ 1,089,000	404,600	+ 11,400
<b>Total . . . . .</b>	<b>\$47,174,400</b>	<b>+ \$1,537,400</b>	<b>\$46,238,700</b>	<b>+ \$1,487,300</b>	<b>\$516,900</b>	<b>+ \$37,500</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Direction . . . . .	\$68,200	+ \$2,000
Institutional Services . . . . .	350,600	+ 10,600
<b>Total . . . . .</b>	<b>\$418,800</b>	<b>+ \$12,600</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$9,584,000	+ \$3,040,000	\$343,700	. . . .
Institutional Services . . . . .	7,008,100	+ 778,600	2,936,500	. . . .
<b>Total . . . . .</b>	<b>\$16,592,100</b>	<b>+ \$3,818,600</b>	<b>\$3,280,200</b>	<b>. . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$825,500	. . . .	\$8,389,800	+ \$3,040,000
Institutional Services . . . . .	255,000	. . . .	3,722,100	+ 778,600
<b>Total . . . . .</b>	<b>\$1,080,500</b>	<b>. . . .</b>	<b>\$12,111,900</b>	<b>+ \$3,818,600</b>

Program	Equipment	
	Amount	Change
Executive Direction . . . . .	\$25,000	. . . .
Institutional Services . . . . .	94,500	. . . .
<b>Total . . . . .</b>	<b>\$119,500</b>	<b>. . . .</b>

# ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$5,200,200	. . . .	\$2,555,000	. . . .
Total . . . . .	<u>\$5,200,200</u>	<u>. . . .</u>	<u>\$2,555,000</u>	<u>. . . .</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$1,626,700	. . . .	\$1,018,500	. . . .
Total . . . . .	<u>\$1,626,700</u>	<u>. . . .</u>	<u>\$1,018,500</u>	<u>. . . .</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$243,882,791	\$242,131,000	-\$1,751,791
Special Revenue Funds — Federal . . . . .	119,998,400	133,477,400	+ 13,479,000
Special Revenue Funds — Other . . . . .	5,500,000	8,000,000	+ 2,500,000
Total . . . . .	<u>\$369,381,191</u>	<u>\$383,608,400</u>	<u>+ \$14,227,209</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Community Treatment Services Program			
General Fund . . . . .	\$195,555,000	\$194,683,000	-\$872,000
Special Revenue Funds — Federal . . . . .	82,491,000	90,539,400	+ 8,048,400
Prevention and Program Support			
General Fund . . . . .	47,773,000	47,448,000	-325,000
Special Revenue Funds — Federal . . . . .	37,507,400	42,938,000	+ 5,430,600
Special Revenue Funds — Other . . . . .	5,500,000	8,000,000	+ 2,500,000
Legislative Initiatives			
General Fund . . . . .	554,791	. . . .	-554,791
Total . . . . .	<u>\$369,381,191</u>	<u>\$383,608,400</u>	<u>+ \$14,227,209</u>

# **ALCOHOLISM AND SUBSTANCE ABUSE SERVICES**

---

## **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Administration				
Capital Projects Fund . . . . .	\$200,000	\$500,000	+ \$300,000	. . . .
Mental Hygiene Capital Improvement Fund - 389 . . . . .	549,000	273,000	-276,000	. . . .
Non-Bondable Projects				
Capital Projects Fund . . . . .	3,078,000	100,000	-2,978,000	. . . .
Community Alcoholism and Substance Abuse Facilities				
Capital Projects Fund . . . . .	4,422,000	3,288,000	-1,134,000	\$28,688,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	. . . .	15,000,000	+ 15,000,000	105,385,000
Institutional Services Program				
Capital Projects Fund . . . . .	1,000,000	1,000,000	. . . .	4,333,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	3,051,000	3,600,000	+ 549,000	9,273,000
Design and Construction Supervision				
Capital Projects Fund . . . . .	1,000,000	2,000,000	+ 1,000,000	1,100,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	2,000,000	3,000,000	+ 1,000,000	2,680,000
<u>Total . . . . .</u>	<u>\$15,300,000</u>	<u>\$28,761,000</u>	<u>+ \$13,461,000</u>	<u>\$151,459,000</u>

# **OFFICE OF MENTAL HEALTH**

## **MISSION**

The Office of Mental Health (OMH) is responsible for planning and operating an integrated system of mental health care serving adults with serious and persistent mental illness and children with serious emotional disturbances.

## **ORGANIZATION AND STAFFING**

The Office of Mental Health is headed by a Commissioner who is appointed by the Governor. New York's public mental health system consists of programs that are operated by the Office of Mental Health, as well as those community programs certified and funded by the State but operated in local communities by local governments and not-for-profit and profit-making providers. OMH regulates and licenses approximately 2,500 programs across the State and, in conjunction with the Department of Health, is responsible for implementation of Medicaid managed care through Special Needs Plans (SNPs). The combined system serves adults who have serious and persistent mental illness and have experienced substantial problems in functioning. OMH also serves children with serious emotional disturbances.

OMH currently operates twenty-eight facilities across the State, including seventeen Adult Psychiatric Centers and six Children's Psychiatric Centers. In addition, OMH operates three Forensic Psychiatric Centers — which serve individuals with histories in the criminal justice system — and two Research Institutes.

OMH will have a workforce of 18,208 during Fiscal Year 1999-2000, a net reduction of approximately 984 positions or 5 percent from prior year levels. This reduction results from the long-standing policy of closing unneeded beds in State institutions. Savings associated with the closure of adult beds during 1999-2000 are "reinvested" into State aid increases in community-based care under the Community Mental Health Reinvestment Act.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 Executive Budget provides \$1.81 billion in total authorized spending for the Office of Mental Health from General Fund, Federal and other third-party resources, a decrease of \$27.4 million, compared to 1998-99. General Fund support to the agency remains the same from the prior year.

Budget recommendations for the Office of Mental Health reflect the following guiding principles: continued commitment to reducing unneeded institutional care and transitioning the existing community mental health system to Medicaid managed care under Special Needs Plans (SNPs) for the seriously mentally ill.

Over the past four years, significant efficiencies have been achieved in institutional operations by matching clients to more appropriate community services and settings. These actions include closing unnecessary State-operated inpatient beds, closing two psychiatric centers and consolidating adult inpatient care from three campuses onto one campus on Long Island, restructuring outpatient services under a managed care model of service, and achieving significant Central Administration and facility administration streamlining.

For 1999-2000, the expansion of Community Services funding in recent years permits the discontinuation of 215 State positions provided some time ago when community services were largely undeveloped and lacked necessary expertise in providing services. In the Research Program, twenty-seven research positions will be supported by outside grant and indirect cost recovery funds, rather than the General Fund. Psychiatric

## **MENTAL HEALTH**

---

Residencies at OMH facilities also are to be reduced by 50 percent over the next four years (18 positions in 1999-2000), to more closely reflect the program's actual success rate in attracting psychiatrists to careers in public mental health. The 125 bed STAIR unit, designed to address the needs of patients resistive to treatment and who have had a history of violent or aggressive behavior, is to be reduced to a 100 bed capacity, a size consistent with the continued inpatient census decline.

The Governor's Budget also incorporates a 2.5 percent cost-of-living (COLA) increase enacted by the Legislature in 1998-99 for certain non-profit programs.

Continued funding under the Community Mental Health Reinvestment Act — extended by the Governor in 1998-99 — is recommended to expand each community's capacity to serve mentally ill persons. Consistent with formula levels, the budget includes \$14.7 million in new funds for Reinvestment (\$29.4 million full year) for the anticipated adult non-geriatric census decline of 470 beds during 1999-2000. This new annual funding commitment brings the total amount of Reinvestment funding to nearly \$194 million. Together these resources represent a sizable investment in community mental health services and support, at local discretion, a wide variety of new and expanded programs, including outpatient, community support, self help and residential beds.

In addition to new resources, the Community Mental Health Reinvestment Act is amended to eliminate the requirement whereby a portion of Reinvestment funds are allocated to State Operations. Curtailing this restriction will expand local flexibility and provide the equivalent of \$6 million annually in additional discretionary funding to respond to locally identified needs.

Similarly, the budget continues support for the operation of residential beds now in various stages of authorization. Over the next year, it is anticipated that approximately 800 beds will become operational and thereby provide additional discharge options and free up placements along the continuum of residential services.

The Executive Budget also provides \$880,000 for 400 additional supported employment slots, expanding dedicated funding for work programs to nearly \$11 million and continuing the State's commitment to providing job based training and supports to enable persons with mental illness to obtain competitive employment.

Spending for State Operations capital projects is expected to be \$155.4 million in 1999-2000 including funding for rehabilitation of space in a secure facility to house and treat patients determined to be sexually violent predators under proposed legislation to be introduced this session. Capital Projects spending for not-for-profit community projects is estimated to be \$44.9 million. It will support the continued maintenance of the existing system of community beds; development of remaining pipeline beds; new, additional community residential beds recommended in 1998-99; and various other community projects.

### **PROGRAM HIGHLIGHTS**

New York State will continue to rank first among all states in total spending and per capital spending on State and local programs for the mentally ill.

- State-operated facilities provide inpatient, outpatient, and community support programs throughout the State to adults, children, and forensic populations. State-operated psychiatric centers provide inpatient services to approximately 9,700 adult and children admissions annually, while over 37,000 individuals are served through various outpatient and support programs.
- Institutional patients vary greatly in age, level of disability and length of hospitalization. A range of treatment and rehabilitative services is offered as patients progress from admission to discharge. In addition, OMH provides specialized services for physically disabled, aggressive and assaultive, and multi-diagnosed patients, as well as patients who have criminal histories.

- The Office operates an array of community-based programs located throughout the State. These programs, staffed with State employees, provide supportive services to enable individuals with mental illness to avoid long-term inpatient stays. State-operated community-based services currently include: community residential facilities and residential care centers for adults and children with a combined capacity of 880 beds; approximately 140 licensed outpatient programs and 125 other outpatient programs; 290 Intensive Case Managers; 6 Supportive Employment programs; 21 work-for-pay, crisis and other community support programs.
- OMH operates two research facilities supported by State tax dollars and Federal and other grants. The New York Psychiatric Institute in Manhattan is the oldest mental health research institute in the nation and has been designated as one of five National HIV Centers for AIDS research and as a Clinical Research Center for Child Psychiatric Disorders. The Nathan S. Kline Institute, located on the grounds of Rockland Psychiatric Center, conducts research in clinical treatment, basic biomedical and neurosciences, and health services for the mentally ill.
- OMH also funds a wide range of community services provided by local governments and private organizations. These include emergency services such as Comprehensive Psychiatric Emergency Programs; general hospital inpatient services; outpatient services such as mental health clinics and day treatment programs and community support programs such as Intensive and Supportive Case Management, residential programs and consumer-run self-help and self-operated programs. Overall, State aid and Medicaid (budgeted largely in the Department of Health) provide over \$1.6 billion for not-for-profit and county-operated community mental health programs through a network of approximately 2,500 programs serving over 500,000 persons a year.

OMH supports a physical plant of more than 1,000 buildings and over 5,000 acres of space on its 23 active psychiatric center campuses, and assists in the development and maintenance of over 20,000 community residential beds. OMH's capital appropriations primarily support projects to improve the health and safety of patients and staff, such as improved security and modernization of those psychiatric centers designated for long-term use.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$1,044,613,000	\$1,040,548,000	-\$4,065,000	\$2,239,500
Aid To Localities . . . . .	642,535,000	656,181,000	+ 13,646,000	19,872,000
Capital Projects . . . . .	151,432,000	114,432,000	-37,000,000	509,097,000
Total . . . . .	<u>\$1,838,580,000</u>	<u>\$1,811,161,000</u>	<u>-\$27,419,000</u>	<u>\$531,208,500</u>

# MENTAL HEALTH

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration and Finance					
General Fund	565	565	....	565	....
Special Revenue Funds — Federal	11	9	....	9	-2
Enterprise Funds	33	20	....	20	-13
Internal Service Funds	32	25	....	25	-7
Adult Services					
General Fund	14,038	13,099	....	13,099	-939
Children and Youth Services					
General Fund	1,937	1,920	....	1,920	-17
Forensic Services					
General Fund	1,972	1,966	....	1,966	-6
Research					
General Fund	555	528	....	528	-27
Special Revenue Funds — Other	2	29	....	29	+27
Capital Planning					
Capital Project Funds	41	41	....	41	....
Subtotal, Direct Funded Programs	19,186	18,202	....	18,202	-984
Suballocations:					
General Fund	6			6	....
Total	19,192			18,208	-984

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$492,920,000	\$498,839,000	+\$5,919,000
Special Revenue Funds — Federal	883,000	913,000	+ 30,000
Special Revenue Funds — Other	541,090,000	531,046,000	-10,044,000
Enterprise Funds	7,200,000	7,213,000	+ 13,000
Internal Service Funds	1,950,000	1,967,000	+ 17,000
Fiduciary Funds	570,000	570,000	....
Total	\$1,044,613,000	\$1,040,548,000	-\$4,065,000
Adjustments:			
Transfer(s) From			
Mental Health, Office of			
General Fund (Aid To Localities)	-2,698,000		
Appropriated 1998-99	\$1,041,915,000		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Administration and Finance			
General Fund	\$47,753,000	\$50,538,000	+ \$2,785,000
Special Revenue Funds — Federal	883,000	913,000	+ 30,000
Enterprise Funds	7,200,000	7,213,000	+ 13,000
Internal Service Funds	1,950,000	1,967,000	+ 17,000
Fiduciary Funds	570,000	570,000	. . . .
Adult Services			
General Fund	739,910,000	726,350,000	-13,560,000
Children and Youth Services			
General Fund	103,359,000	104,652,000	+ 1,293,000
Forensic Services			
General Fund	100,047,000	103,660,000	+ 3,613,000
Research			
General Fund	40,003,000	39,074,000	-929,000
Special Revenue Funds — Other	2,938,000	5,611,000	+ 2,673,000
Maintenance Undistributed			
General Fund	-538,152,000	-525,435,000	+ 12,717,000
Special Revenue Funds — Other	538,152,000	525,435,000	-12,717,000
<b>Total</b>	<b>\$1,044,613,000</b>	<b>\$1,040,548,000</b>	<b>-\$4,065,000</b>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration and Finance	\$31,810,000	+ \$798,000	\$29,922,000	+ \$798,000	\$1,630,000	. . . .
Adult Services	600,542,000	-25,246,000	554,832,000	-25,246,000	14,283,000	. . . .
Children and Youth Services	91,600,000	+ 914,000	85,718,000	+ 914,000	2,791,000	. . . .
Forensic Services	94,917,000	+ 3,296,000	88,952,000	+ 2,852,000	2,710,000	+ \$388,000
Research	33,359,000	-679,000	32,835,000	-657,000	85,000	. . . .
<b>Total</b>	<b>\$852,228,000</b>	<b>-\$20,917,000</b>	<b>\$792,259,000</b>	<b>-\$21,339,000</b>	<b>\$21,499,000</b>	<b>+ \$388,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration and Finance	\$258,000	. . . .
Adult Services	31,427,000	. . . .
Children and Youth Services	3,091,000	. . . .
Forensic Services	3,255,000	+ \$56,000
Research	439,000	-22,000
<b>Total</b>	<b>\$38,470,000</b>	<b>+ \$34,000</b>

# MENTAL HEALTH

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration and Finance . . . . .	\$18,728,000		-\$13,000	\$1,388,000	+ \$26,000
Adult Services . . . . .	125,808,000	+ 11,686,000		61,840,000	+ 11,612,000
Children and Youth Services . . . . .	13,052,000	+ 379,000		4,684,000	+ 136,000
Forensic Services . . . . .	8,743,000	+ 317,000		4,612,000	+ 197,000
Research . . . . .	5,715,000	-250,000		1,894,000	+ 55,000
<b>Total . . . . .</b>	<b>\$172,046,000</b>	<b>+ \$12,119,000</b>		<b>\$74,418,000</b>	<b>+ \$12,026,000</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration and Finance . . . . .	\$808,000	+ \$9,000		\$16,319,000	-\$54,000
Adult Services . . . . .	3,992,000	+ 3,000		54,584,000	+ 67,000
Children and Youth Services . . . . .	424,000	+ 12,000		7,344,000	+ 214,000
Forensic Services . . . . .	414,000	+ 12,000		3,498,000	+ 102,000
Research . . . . .	34,000	+ 1,000		3,670,000	-184,000
<b>Total . . . . .</b>	<b>\$5,672,000</b>	<b>+ \$37,000</b>		<b>\$85,415,000</b>	<b>+ \$145,000</b>

Program	Amount	Equipment		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration and Finance . . . . .	\$213,000	+ \$6,000		. . . . .	. . . . .
Adult Services . . . . .	2,227,000	+ 4,000		\$3,165,000	. . . . .
Children and Youth Services . . . . .	600,000	+ 17,000		. . . . .	. . . . .
Forensic Services . . . . .	219,000	+ 6,000		. . . . .	. . . . .
Research . . . . .	117,000	+ 3,000		. . . . .	-\$125,000
<b>Total . . . . .</b>	<b>\$3,376,000</b>	<b>+ \$36,000</b>		<b>\$3,165,000</b>	<b>-\$125,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total		Personal Service	
		Amount	Change	Amount	Change
Administration and Finance . . . . .	\$10,663,000	+ \$60,000		\$3,537,000	+ \$43,000
Research . . . . .	5,611,000	+ 2,673,000		2,385,000	+ 2,285,000
<b>Total . . . . .</b>	<b>\$16,274,000</b>	<b>+ \$2,733,000</b>		<b>\$5,922,000</b>	<b>+ \$2,328,000</b>

Program	Nonpersonal Service	
	Amount	Change
Administration and Finance . . . . .	\$7,126,000	+ \$17,000
Research . . . . .	3,226,000	+ 388,000
<b>Total . . . . .</b>	<b>\$10,352,000</b>	<b>+ \$405,000</b>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$620,644,000	\$633,256,000	+ \$12,612,000
Special Revenue Funds — Federal . . . . .	21,891,000	22,925,000	+ 1,034,000
<b>Total . . . . .</b>	<b>\$642,535,000</b>	<b>\$656,181,000</b>	<b>+ \$13,646,000</b>
Adjustments:			
Transfer(s) To			
Mental Health, Office of			
General Fund (State Operations) . . . . .	+ 2,698,000		
Appropriated 1998-99 . . . . .	<u>\$645,233,000</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Adult Services			
General Fund . . . . .	\$407,079,500	\$395,437,000	-\$11,642,500
Special Revenue Funds — Federal . . . . .	17,589,000	18,216,000	+ 627,000
Children and Youth Services			
General Fund . . . . .	85,730,000	86,524,000	+ 794,000
Special Revenue Funds — Federal . . . . .	4,302,000	4,709,000	+ 407,000
Community Mental Health Reinvestment			
General Fund . . . . .	127,545,000	151,295,000	+ 23,750,000
Legislative Initiatives			
General Fund . . . . .	289,500	. . . .	-289,500
<b>Total . . . . .</b>	<b>\$642,535,000</b>	<b>\$656,181,000</b>	<b>+ \$13,646,000</b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Executive Direction				
Capital Projects Fund . . . . .				\$4,000,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	\$3,000,000	\$3,300,000	+ \$300,000	. . . .
Community Mental Health Facilities				
Capital Projects Fund . . . . .	18,500,000	. . . .	-18,500,000	31,304,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	40,375,000	375,000	-40,000,000	131,085,000
Non-Bondable Projects				
Capital Projects Fund . . . . .	12,000,000	6,000,000	-6,000,000	. . . .
Maintenance and Improvements of Existing Facilities				
Capital Projects Fund . . . . .	13,777,000	19,807,000	+ 6,030,000	17,914,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	51,500,000	74,512,000	+ 23,012,000	305,443,000
Design and Construction Supervision				
Capital Projects Fund . . . . .	2,280,000	2,250,000	-30,000	. . . .
Mental Hygiene Capital Improvement Fund - 389 . . . . .	10,000,000	8,188,000	-1,812,000	19,351,000
<b>Total . . . . .</b>	<b>\$151,432,000</b>	<b>\$114,432,000</b>	<b>-\$37,000,000</b>	<b>\$509,097,000</b>



# **OFFICE OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

## **MISSION**

The Office of Mental Retardation and Developmental Disabilities (OMRDD) serves and supports individuals and families of individuals with developmental disabilities. OMRDD works with local governments and non-profit providers to oversee a comprehensive system for delivery of services to people who are developmentally disabled. Both institutional and community-based services are delivered through a network of non-profit providers, eight State Developmental Centers and numerous State-operated programs based in the community.

## **ORGANIZATION AND STAFFING**

Under the direction of a Commissioner appointed by the Governor, OMRDD operates through 13 district offices, called Developmental Disabilities Services Offices. Its Central Office oversees and supports operations of the district offices.

OMRDD will have 21,714 Full Time Equivalent positions (FTEs) for 1999-2000, most of whom work directly with consumers of services. The remainder of the workforce are supervisors of direct care workers, clinicians, administrative support and management personnel.

By the end of 1999-2000, OMRDD will operate some 2,020 developmental center beds. From 1995 to the end of the 1999-2000 fiscal year, the State will have moved nearly 2,100 people into more appropriate community care and will have closed 1,730 unneeded institutional beds.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The recommended funding level for OMRDD totals \$2.0 billion in General Fund and other third-party resources for operating purposes for 1999-2000. This represents a \$119.9 million increase over the five year period of the Administration, reflecting its ongoing commitment to serving the needs of those with developmental disabilities.

- OMRDD's Institutional Services Program will receive total funding of \$332.6 million to support residential care and habilitative services for people in the eight developmental centers who are awaiting placement in the community. In addition, another \$67.2 million funds OMRDD's Central Coordination and Support and Research in Mental Retardation Programs, which provide policy direction and technical support to the entire service system.
- OMRDD's Community Services Program will receive \$1.6 billion to fund hundreds of State-operated residential and day programs and ancillary services such as clinics and transportation networks, as well as to support local governments and a network of more than 600 non-profit agencies. These funds provide community-based residential and day services to more than 100,000 persons with developmental disabilities.
- OMRDD's new Capital appropriation of \$61.4 million supports the maintenance of existing institutions, group homes and program sites as well as the development and renovation of residential and day programming sites and other expanded bed capacity.

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## 1999-2000 RECOMMENDATIONS

A total of \$2.0 billion is recommended in State Operations and Aid to Localities for 1999-2000 to support New York State's comprehensive system of care for over 100,000 persons with developmental disabilities and their families.

The 1999-2000 Executive Budget includes \$24.6 million for the first year of the Governor's landmark initiative known as New York State Creating Alternatives in Residential Environments and Services (NYS-CARES). This five year program will eliminate the adult waiting list for beds for persons with developmental disabilities in New York State. NYS-CARES will not only provide placement opportunities for those who are currently seeking a home in the community, but for those who are expected to apply for residential placement in the future. Over five years, NYS-CARES calls for a \$129 million State investment — and an overall one quarter billion dollar commitment with anticipated Federal funds — to develop 4,900 beds and thousands of case management slots, family supports

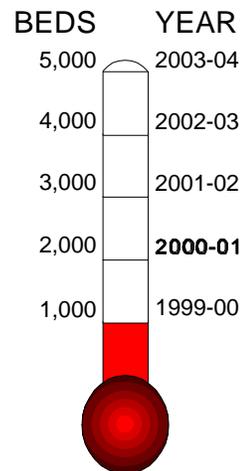
and day services, to serve a total of some 8,100 individuals in need of an out-of-home residential placement. Funding in the 1999-2000 Budget will support development of the first year commitment of 980 beds, 600 case management slots, 190 day service opportunities as well as provide \$1.3 million for new family support services for persons waiting for placement.

The Governor's Budget also recommends development of 1,400 day habilitation services for persons aging out from special education day school programs. New funding of \$2.5 million in 1999-2000, growing to \$5.0 million in 2000-2001, is recommended for this purpose. The Budget also responds to the residential needs of legally mandated populations such as those aging out from either the special education or foster care systems, or those referred to OMRDD by the New York City Administration for Children's Services. A total of 164 new beds are planned for this population. This Budget also expands OMRDD's Care at Home Waiver program by 100 slots, reflecting a cost effective approach to delivering medically intensive services to consumers in non-institutional settings. Providing services at home or in the community to families caring for their developmentally disabled loved ones is also an important component of OMRDD's service system. Similarly important is the opportunity for persons with developmental disabilities to work and lead productive lives, and the Governor's Budget creates 1,200 new supported work slots to support this effort.

The Governor's Budget also incorporates a 2.5 percent cost-of-living (COLA) increase enacted by the Legislature in 1998-99 for certain non-profit programs.

The overall Budget recommendation for program operations reflects a \$49.0 million increase over 1998-99 funding. These recommendations anticipate that OMRDD will continue to aggressively pursue Federal financial support for its programs as well as take other targeted administrative actions to achieve management efficiencies in both the State and non-profit sectors.

### NYS-CARES New Bed Commitment (4,900)



## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

---

Accordingly, the Executive Budget preserves essential direct care and maintains the quality of services for consumers in both non-profit and OMRDD-operated programs while achieving management efficiencies through administrative streamlining and restructuring the delivery of services with innovative new program designs.

For example, in the coming year, OMRDD and several providers affiliated with the United Cerebral Palsy Associations of New York will fully implement the Personal Outcomes Project, a pilot program to develop incentives for providers to change the delivery of services to severely disabled individuals. Using the flexible framework for reimbursement under the Home and Community Based Services Medicaid waiver, these providers will restructure traditional Medicaid-funded services such as Intermediate Care Facilities for the Mentally Retarded and day treatment to more appropriately address individual needs and preferences. In turn, because waiver services are generally less expensive than traditional services, service dollars will be freed-up for redirection to address unmet needs without new resources. Over the five-year pilot program, providers are expected to develop some 300 new opportunities for persons waiting for services other than out-of-home placement, at no new cost to the taxpayer.

The 1999-2000 Executive Budget also includes a new initiative to unify OMRDD's two disparate Medicaid-funded case management systems — Comprehensive Medicaid Case Management and Waiver Case Management — into a single new service known as Medicaid Service Coordination. Although both current case management systems provide similar services, they are significantly different in documentation and billing requirements and rates of reimbursement and are premised on the "one size fits all" approach to service delivery.

Medicaid Service Coordination, on the other hand, will establish a single set of billing, service and documentation requirements, reimburse on the basis of consumer need and strengthen the role of case managers in the OMRDD system. Moreover, if a consumer chooses to change service providers, funding will follow the person rather than remaining with the provider. The resulting streamlined service coordination is also cost effective: through a combination of operating efficiencies and enhanced revenue generation, the initiative achieves \$2.5 million in General Fund savings in 1999-2000, annualizing to \$5.0 million in 2000-2001.

Other efficiencies in Aid to Localities funding include updating the rate methodology for non-profit Intermediate Care Facilities as well as maximizing other-than-State reimbursement for eligible work-related and certain costs incurred in the operation of Individualized Residential Alternatives under the Home and Community-Based Services Waiver program, achieving some \$13.5 million in savings on a full annual basis.

The 1999-2000 Executive Budget includes new special revenue-other funding of \$3.4 million to support the reconfiguration and expansion of OMRDD's Joint Venture Clinic program, including the conversion of four currently non-profit-operated clinics. In a Joint Venture Clinic, the State holds the operating license pursuant to Article 16 of the Mental Hygiene Law and contracts with non-profit agencies to provide services. Using the Joint Venture model, the State will target services where the need is greatest, improve access and reporting of services billed through the State's Tracking and Billing System (TABS), and improve non-profit provider fiscal stability. This new funding will also support clinic expansion to address significant unmet need for clinic services in rural areas, which typically have under-developed healthcare infrastructures. Services will be expanded in four existing clinics, and four new clinic programs will be developed in Broome, Cortland, Allegany and Orleans counties.

The agency's institutional operations will also be strengthened. In 1999-2000, OMRDD will continue implementing a series of management initiatives designed to control costs in overtime, leased space, purchasing, inventory control and energy conservation. Additionally, retooled workload standards will permit OMRDD to reduce administrative and support positions by approximately 90, as well as standardize State physician-delivered services throughout the State. OMRDD will also fully privatize its

## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

---

pharmacy and medical care attendant services in 1999-2000. Utilizing private pharmacies and contracting out for attendant services to accompany consumers on medical leave have already proven to be cost-effective ways to deliver services in certain areas of the State, and their expansion Statewide is a natural step in fully integrating services to the developmentally disabled within their communities. Other State Operations streamlining efforts include the elimination of six funded vacancies at OMRDD's Institute for Basic Research. Additionally, the Youth Opportunity Program is eliminated, effective July 1, 1999, since this program no longer fulfills its primary mission to attract young people to direct care and clinical treatment career opportunities in the OMRDD and Office of Mental Health workforce.

During 1999-2000, the effort to place individuals residing in the developmental centers into more appropriate community settings will continue. An additional 186 individuals will leave institutions for care in their own communities during 1999-2000, and new admissions will be limited to emergency situations and to persons entering special treatment units. Projections are that by the end of next fiscal year, there will be only 2,020 people living in developmental centers, of whom more than one-half will live in specialized settings. Furthermore, the 1999-2000 Executive Budget maintains direct care staffing ratios, including enhanced resources for those individuals in special treatment units.

Capital and partial operational funding is also recommended to support the development of 159 new secure treatment beds for individuals who require specialized, intensive treatment — including a 60 bed Secure Treatment Facility in Norwich, New York. When fully operationalized, well over 100 individuals will be diverted from the criminal justice system — either at the point of sentencing or as a condition of parole from the correctional system. The remaining admissions will be diverted from current OMRDD settings to better meet their services needs. Overall, this initiative will provide these individuals with state-of-the-art treatment in secure settings and will be fully operational in the 2000-2001 fiscal year.

In 1999-2000, OMRDD will also serve 40 new consumers dually diagnosed with both developmental disabilities and with mental illness who will transfer from the Office of Mental Health's care. Because their primary diagnosis is developmental disabilities, these persons will receive more appropriate care in the OMRDD service system.

New capital appropriations are provided to maintain both the State and non-profit service system infrastructure. Capital spending for institutional projects focuses on the need to invest resources into long-term facilities for essentially a core population of behaviorally involved consumers. Capital spending for community projects reflects a considerable investment to maintain both State and non-profit community based sites. Capital funding is also continued for the rehabilitation of existing space to house and treat individuals determined to be sexually violent predators under proposed legislation to be re-introduced this session. Non-profit capital development needs for NYS-CARES and other program expansion initiatives will continue to be met through the use of non-State revenues such as Federal Housing and Urban Development (HUD) grants, Fannie Mae and private financing.

The combination of new and currently operating programs will support an estimated 6,590 new service opportunities in community programs during 1999-2000, including community placements for people in developmental centers and for mandated populations, and approximately 4,570 service opportunities for people on community waiting lists. Services to individuals and families have also been preserved within family support services.

### ***PROGRAM HIGHLIGHTS***

OMRDD serves over 100,000 New Yorkers with developmental disabilities, which include mental retardation, epilepsy, cerebral palsy, neurological impairments and autism.

## ***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

---

The agency, both directly and through non-profit organizations, provides over 38,000 persons with residential services and over 50,000 with community day services. In addition, the agency will assist families to care for more than 51,000 persons with developmental disabilities who are living at home.

### ***RESIDENTIAL SERVICES***

OMRDD's residential services vary in intensity. Developmental centers operated by OMRDD are institutional, campus environments. OMRDD will have 2,020 people living in these institutions by the end of 1999-2000. The most intensive non-institutional residential alternative in the community is the Intermediate Care Facility for the Developmentally Disabled (ICF/DD). These facilities, some of which are operated by the State and others by non-profit providers, offer a community-based residential setting for individuals with disabilities who require 24-hour care. There are nearly 8,600 Intermediate Care beds statewide. Other less-intensive community living arrangements include Community Residences and Family Care homes. Nearly 13,000 people are served in these settings.

A Federal Medicaid waiver, approved by the Federal government in 1991, allows OMRDD to adjust services based upon specific individual needs. Individuals with developmental disabilities have the opportunity to choose the services they require with the help of trained service coordinators. Services may include residential placement in Individual Residential Alternatives (IRAs), which are community-based residential facilities providing individualized services and supports in a less-restrictive setting than the ICF/DD. The Budget supports nearly 10,000 IRA beds and accompanying service coordination.

### ***DAY SERVICES***

OMRDD supports day programs for people with developmental disabilities. Day Treatment, the most intensive day program, combines diagnostic, treatment, and rehabilitative services and is received by approximately 20,000 individuals. Day Training programs help almost 3,000 developmentally disabled people acquire knowledge and skills that will enable them to improve their personal, social, and vocational skills and their ability to function independently. Sheltered Workshops provide basic, non-competitive work opportunities for approximately 16,000 people with developmental disabilities, whereas more independent supported work opportunities in integrated work settings provide some 9,000 individuals with frequent daily social interaction with people who are not disabled and who are not paid caregivers.

Under the Federal Medicaid waiver for home and community-based services, OMRDD provides more than 10,000 day habilitation opportunities, plus services to individuals with traumatic brain injury.

Recent Federal amendments governing Medicaid waivers for home and community-based services extend Federal funding eligibility for employment-related services, such as Supported Employment, which had previously been State-funded. OMRDD will expand Supported Employment opportunities to an estimated 1,200 additional consumers graduating from the State Education Department's Office of Vocational and Educational Services for Individuals with Disabilities' (VESID) programs, and \$2.2 million is provided for this purpose in 1999-2000, growing to \$4.3 million in 2000-2001.

### ***SUPPORT FOR CONSUMERS LIVING IN THEIR OWN HOMES***

OMRDD services support families and individuals in their own homes. The Family Support Services program assists families in caring for more than 51,000 persons with developmental disabilities. This assistance and support enables these individuals to

## **MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES**

remain at home. Over 800 family support services programs are operated through non-profit agencies in the community. Services offered include respite, crisis intervention, case management, recreation, information and referral, and home care.

The Individualized Support Services program funds services to help more than 1,400 disabled individuals live independently, most of whom reside in their own apartments and are employed. In addition, over 4,500 individuals living in their own homes receive residential habilitation under the Federal Medicaid waiver.

A third, specialized program is the Care at Home program, an initiative designed to preserve the family unit while serving persons under 18 years of age who are developmentally disabled and medically frail. The program allows parents of young persons with severe disabilities to maintain the child at home regardless of family income level. This program — which currently supports nearly 400 children — preserves the family unit while preventing more costly out-of-home placements, and will be expanded to cover another 100 children in 1999-2000.

### **ALL FUNDS APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$1,031,810,000	\$1,024,745,000	-\$7,065,000	\$135,000
Aid To Localities . . . . .	924,030,700	980,118,000	+ 56,087,300	500,000
Capital Projects . . . . .	69,554,000	61,381,000	-8,173,000	91,782,000
<b>Total . . . . .</b>	<b>\$2,025,394,700</b>	<b>\$2,066,244,000</b>	<b>+ \$40,849,300</b>	<b>\$92,417,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
<b>Institutional Services</b>					
General Fund . . . . .	6,322	5,832	. . . .	5,832	-490
Enterprise Funds . . . . .	10	10	. . . .	10	. . . .
<b>Community Services</b>					
General Fund . . . . .	14,729	14,933	. . . .	14,933	+ 204
<b>Research in Mental Retardation</b>					
General Fund . . . . .	226	220	. . . .	220	-6
<b>Central Coordination and Support</b>					
General Fund . . . . .	653	658	. . . .	658	+ 5
Special Revenue Funds — Other . . . . .	18	18	. . . .	18	. . . .
<b>Total . . . . .</b>	<b>21,958</b>	<b>21,671</b>	<b>. . . .</b>	<b>21,671</b>	<b>-287</b>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$146,874,000	\$149,574,000	+ \$2,700,000
Special Revenue Funds — Federal . . . . .	177,000	177,000	. . . .
Special Revenue Funds — Other . . . . .	882,269,000	872,504,000	-9,765,000
Enterprise Funds . . . . .	1,950,000	1,950,000	. . . .
Fiduciary Funds . . . . .	540,000	540,000	. . . .
<b>Total . . . . .</b>	<b>\$1,031,810,000</b>	<b>\$1,024,745,000</b>	<b>-\$7,065,000</b>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Institutional Services			
General Fund	\$346,696,000	\$330,132,000	-\$16,564,000
Enterprise Funds	1,950,000	1,950,000	. . . .
Fiduciary Funds	505,000	505,000	. . . .
Community Services			
General Fund	617,405,000	624,826,000	+ 7,421,000
Special Revenue Funds — Federal	156,000	156,000	. . . .
Research in Mental Retardation			
General Fund	15,770,000	15,470,000	-300,000
Fiduciary Funds	35,000	35,000	. . . .
Central Coordination and Support			
General Fund	47,703,000	50,046,000	+ 2,343,000
Special Revenue Funds — Federal	21,000	21,000	. . . .
Special Revenue Funds — Other	1,569,000	1,604,000	+ 35,000
Maintenance Undistributed			
General Fund	-880,700,000	-870,900,000	+ 9,800,000
Special Revenue Funds — Other	880,700,000	870,900,000	-9,800,000
<b>Total</b>	<u>\$1,031,810,000</u>	<u>\$1,024,745,000</u>	<u>-\$7,065,000</u>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Institutional Services	\$207,298,000	-\$19,545,000	\$200,284,000	-\$19,747,000	\$967,000	+ \$84,000
Community Services	526,948,000	+ 8,967,000	512,492,000	+ 9,147,000	4,262,000	-378,000
Research in Mental Retardation	13,380,000	-190,000	12,972,000	-466,000	260,000	+ 260,000
Central Coordination and Support	35,154,000	+ 671,000	32,938,000	+ 479,000	1,991,000	+ 202,000
<b>Total</b>	<u>\$782,780,000</u>	<u>-\$10,097,000</u>	<u>\$758,686,000</u>	<u>-\$10,587,000</u>	<u>\$7,480,000</u>	<u>+ \$168,000</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Institutional Services	\$6,047,000	+ \$118,000
Community Services	10,194,000	+ 198,000
Research in Mental Retardation	148,000	+ 16,000
Central Coordination and Support	225,000	-10,000
<b>Total</b>	<u>\$16,614,000</u>	<u>+ \$322,000</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Institutional Services . . . . .	\$122,834,000	+ \$981,000	\$17,782,000	-\$109,000
Community Services . . . . .	97,878,000	-1,546,000	33,001,000	+ 146,000
Research in Mental Retardation . . .	2,090,000	-110,000	777,000	-42,000
Central Coordination and Support . . . . .	14,892,000	-328,000	456,000	+ 12,000
Total . . . . .	<u>\$237,694,000</u>	<u>-\$1,003,000</u>	<u>\$52,016,000</u>	<u>+ \$7,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Institutional Services . . . . .	\$944,000	-\$98,000	\$26,191,000	+ \$354,000
Community Services . . . . .	5,597,000	+ 115,000	48,599,000	-1,659,000
Research in Mental Retardation . . .	62,000	-3,000	956,000	-49,000
Central Coordination and Support . . . . .	1,113,000	+ 33,000	12,071,000	-410,000
Total . . . . .	<u>\$7,716,000</u>	<u>+ \$47,000</u>	<u>\$87,817,000</u>	<u>-\$1,764,000</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Institutional Services . . . . .	\$1,817,000	-\$66,000	\$76,100,000	+ \$900,000
Community Services . . . . .	4,881,000	-148,000	5,800,000	. . . .
Research in Mental Retardation . . .	295,000	-16,000	. . . .	. . . .
Central Coordination and Support . . . . .	1,252,000	+ 37,000	. . . .	. . . .
Total . . . . .	<u>\$8,245,000</u>	<u>-\$193,000</u>	<u>\$81,900,000</u>	<u>+ \$900,000</u>

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Institutional Services . . . . .	\$2,455,000	. . . .	\$274,000	+ \$10,000
Community Services . . . . .	156,000	. . . .	. . . .	. . . .
Research in Mental Retardation . . .	35,000	. . . .	. . . .	. . . .
Central Coordination and Support . . . . .	1,625,000	+ \$35,000	1,034,000	+ 35,000
Total . . . . .	<u>\$4,271,000</u>	<u>+ \$35,000</u>	<u>\$1,308,000</u>	<u>+ \$45,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Institutional Services . . . . .	\$2,181,000	-\$10,000	. . . .	. . . .
Community Services . . . . .	. . . .	. . . .	\$156,000	. . . .
Research in Mental Retardation . . .	35,000	. . . .	. . . .	. . . .
Central Coordination and Support . . . . .	570,000	. . . .	21,000	. . . .
Total . . . . .	<u>\$2,786,000</u>	<u>-\$10,000</u>	<u>\$177,000</u>	<u>. . . .</u>

# MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$583,159,700	\$600,233,000	+ \$17,073,300
Special Revenue Funds — Other . . . . .	338,871,000	377,885,000	+ 39,014,000
Fiduciary Funds . . . . .	2,000,000	2,000,000	. . . .
<b>Total . . . . .</b>	<b><u>\$924,030,700</u></b>	<b><u>\$980,118,000</u></b>	<b><u>+ \$56,087,300</u></b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Community Services			
General Fund . . . . .	\$581,803,000	\$600,233,000	+ \$18,430,000
Special Revenue Funds — Other . . . . .	338,871,000	377,885,000	+ 39,014,000
Fiduciary Funds . . . . .	2,000,000	2,000,000	. . . .
Legislative Initiatives			
General Fund . . . . .	1,356,700	. . . .	-1,356,700
<b>Total . . . . .</b>	<b><u>\$924,030,700</u></b>	<b><u>\$980,118,000</u></b>	<b><u>+ \$56,087,300</u></b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Non-Bondable Projects				
Capital Projects Fund . . . . .	\$4,000,000	\$2,000,000	-\$2,000,000	. . . .
Voluntary-Operated Community Facilities				
Capital Projects Fund . . . . .	11,775,000	8,000,000	-3,775,000	\$2,602,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	9,229,000	2,600,000	-6,629,000	. . . .
State-Operated Community Services Program				
Capital Projects Fund . . . . .	13,675,000	10,200,000	-3,475,000	16,075,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	8,875,000	2,100,000	-6,775,000	22,140,000
Institutional Services Program				
Capital Projects Fund . . . . .	9,000,000	15,895,000	+ 6,895,000	23,700,000
Mental Hygiene Capital Improvement Fund - 389 . . . . .	10,000,000	17,986,000	+ 7,986,000	27,265,000
Design and Construction Supervision				
Capital Projects Fund . . . . .	1,000,000	600,000	-400,000	. . . .
Mental Hygiene Capital Improvement Fund - 389 . . . . .	2,000,000	2,000,000	. . . .	. . . .
<b>Total . . . . .</b>	<b><u>\$69,554,000</u></b>	<b><u>\$61,381,000</u></b>	<b><u>-\$8,173,000</u></b>	<b><u>\$91,782,000</u></b>

***MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES***

---

# ***DIVISION OF MILITARY AND NAVAL AFFAIRS***

## ***MISSION***

The mission of the Division of Military and Naval Affairs (DMNA) is twofold:

- Through the State's militia, to support a well-trained military force ready to respond to civil emergencies, natural disasters, and, for federally recognized units, threats to the nation's security.
- Through the State Emergency Management Office (SEMO), to coordinate the State's response to natural and man-made disasters and to prepare the State, its local governments and its people to deal effectively with any such potential disasters.

Over the last four years, the Division has refined its mission to include joint partnerships with local communities. The broadened mission includes aid to law enforcement agencies in their counterdrug actions, non-emergency National Guard assistance to communities, and military-style programs designed to assist at-risk youths.

## ***ORGANIZATION AND STAFFING***

Under the direction of the Adjutant General, who is appointed by the Governor, the Division consists of the New York Army National Guard, the New York Air National Guard, the Naval Militia, the New York Guard, and the SEMO. Coordinated through the main office in Albany, the Division operates over 60 armories as well as 28 maintenance shops, 6 Air Guard bases, and 3 Army Aviation Support facilities. In addition, DMNA provides administrative support for some 17,000 New York-based National Guard troops who are paid directly by the Federal government.

SEMO serves as the operational component of the Disaster Preparedness Commission, which is responsible for State disaster preparedness plans and the coordination of State disaster operations.

The Division will have a workforce of 654 in 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 1999-2000 Budget recommendations reflect a long-range approach to restructuring DMNA that began in 1995. This restructuring is consistent with the restructuring and downsizing of the Federal military. As a result, DMNA's mission has evolved to include increased assistance to local communities for such projects as tearing down abandoned buildings used by drug dealers and providing necessary support to disaster ridden communities.

The 1999-2000 budget recommendations include:

- Federal funds of approximately \$30.8 million supporting 58 percent of the Division's 1999-2000 State Operations Budget.
- Approximately \$12.8 million in State tax dollars, which represents 24 percent of its operations budget in 1999-2000.
- Special accounts funded with revenues from the nuclear power industry, armory rentals, and seized assets representing 18 percent of the operations budget.
- Special revenue and Federal grants supporting DMNA's Aid to Localities budget. Assessments paid by the operators of nuclear power generating facilities provide over \$1.6 million in radiological emergency preparedness aid to the counties in which the facilities are located.

## ***MILITARY AND NAVAL AFFAIRS***

---

- \$2.75 million General Fund support for the Recruitment Incentive and Retention Program.

The Capital Plan recommendations of \$8.9 million reflect the Division's priority to continue its efforts to effectively maintain armories and, where feasible, restore them to preserve their historic and future value. Efficiencies which will decrease operating costs for these facilities will mitigate funding requirements.

### ***PROGRAM HIGHLIGHTS***

#### ***RECRUITMENT INCENTIVE AND RETENTION PROGRAM***

Established in 1996, the Recruitment Incentive and Retention Program provides qualified individuals and active National Guard members with a tuition benefit for undergraduate study. The enormous success of the program has dramatically reversed the Guard's ten year decline in troop strength and made New York number one in the nation in its ability to maintain guard strength. In 1995, the Guard's troop strength was only 70.9 percent of the federally authorized level. The Recruitment Incentive and Retention Program has been responsible for increasing troop strength to 95 percent of the federally authorized level.

#### ***MILITARY READINESS***

The Military Readiness programs are the core of the Division's operations. These programs include the New York Army National Guard, the New York Air National Guard, the New York Guard, and the New York Naval Militia. The Division has been involved in a variety of military endeavors, including sending troops to Bosnia, providing air support to the National Antarctica mission, and commanding the North East air defense. In addition, the State's militia has responded to fires, blizzards, floods, and ice storms.

#### ***SPECIAL SERVICES***

The Division's portion of proceeds from assets seized from illegal drug traffickers support military counter narcotics activities and youth drug education programs. During the past four years the New York National Guard has assisted in the seizure of over \$3 billion worth of illegal drugs and over \$102 million in cash and securities. The cornerstone of DMNA's special services is "guardHELP", an innovative program to link guard resources with current community needs. These include volunteerism, anti-crime programs, youth activities, and environmental objectives. The Division also conducts federally funded youth programs such as the Challenge Youth Program, a 22 week residential program at Camp Smith under which young adults earn a High School Equivalency Diploma. Additionally, the Special Services program includes the maintenance activities associated with armory rentals.

#### ***EMERGENCY MANAGEMENT***

SEMO coordinates the State's response to natural disasters and other emergencies. Recent emergencies have included the ice storm of 1998, the fires on Long Island, the blizzards in Buffalo and the southern portion of the State, and the floods of January 1996. SEMO is also responsible for the development, testing and revision of radiological emergency plans at the State and county level to deal with possible radiological accidents

## MILITARY AND NAVAL AFFAIRS

at nuclear powered electric generating facilities. This Office also trains personnel to mitigate the risks of future disasters and administers the Disaster Assistance Program, which provides State and federally supported financial relief to localities and individuals affected by disasters.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$49,899,400	\$53,157,500	+ \$3,258,100	\$12,191,000
Aid To Localities . . . . .	267,439,000	7,150,000	-260,289,000	353,549,000
Capital Projects . . . . .	8,425,000	8,925,000	+ 500,000	24,235,000
<b>Total . . . . .</b>	<b>\$325,763,400</b>	<b>\$69,232,500</b>	<b>-\$256,530,900</b>	<b>\$389,975,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	66	62	. . . .	62	-4
Special Services					
Special Revenue Funds — Federal . . . . .	46	46	. . . .	46	. . . .
Special Revenue Funds — Other . . . . .	6	6	. . . .	6	. . . .
Military Readiness					
General Fund . . . . .	187	181	. . . .	181	-6
Special Revenue Funds — Federal . . . . .	264	264	. . . .	264	. . . .
Emergency Management					
General Fund . . . . .	15	15	. . . .	15	. . . .
Special Revenue Funds — Federal . . . . .	40	40	. . . .	40	. . . .
Special Revenue Funds — Other . . . . .	23	23	. . . .	23	. . . .
Disaster Assistance					
Special Revenue Funds — Federal . . . . .	17	17	. . . .	17	. . . .
<b>Total . . . . .</b>	<b>664</b>	<b>654</b>	<b>. . . .</b>	<b>654</b>	<b>-10</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$12,892,100	\$12,791,300	-\$100,800
Special Revenue Funds — Federal . . . . .	28,735,700	30,771,500	+ 2,035,800
Special Revenue Funds — Other . . . . .	8,219,600	9,542,700	+ 1,323,100
Fiduciary Funds . . . . .	52,000	52,000	. . . .
<b>Total . . . . .</b>	<b>\$49,899,400</b>	<b>\$53,157,500</b>	<b>+ \$3,258,100</b>

# MILITARY AND NAVAL AFFAIRS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$3,078,500	\$2,829,300	-\$249,200
Special Services			
Special Revenue Funds — Federal	3,493,000	3,646,800	+ 153,800
Special Revenue Funds — Other	6,299,200	7,729,500	+ 1,430,300
Fiduciary Funds	52,000	52,000	.....
Military Readiness			
General Fund	8,809,900	8,914,400	+ 104,500
Special Revenue Funds — Federal	17,769,700	18,810,800	+ 1,041,100
Emergency Management			
General Fund	1,003,700	1,047,600	+ 43,900
Special Revenue Funds — Federal	6,387,000	7,070,600	+ 683,600
Special Revenue Funds — Other	1,920,400	1,813,200	-107,200
Disaster Assistance			
Special Revenue Funds — Federal	1,086,000	1,243,300	+ 157,300
Total	<u>\$49,899,400</u>	<u>\$53,157,500</u>	<u>+ \$3,258,100</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration	\$2,461,700	-\$247,800	\$2,431,700	-\$247,800	\$20,000	.....
Military Readiness	6,812,400	+ 395,500	6,382,500	+ 390,600	251,900	-\$100
Emergency Management	892,900	+ 93,200	882,900	+ 143,200	.....	.....
Total	<u>\$10,167,000</u>	<u>+ \$240,900</u>	<u>\$9,697,100</u>	<u>+ \$286,000</u>	<u>\$271,900</u>	<u>-\$100</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	\$10,000	.....
Military Readiness	178,000	+ \$5,000
Emergency Management	10,000	-50,000
Total	<u>\$198,000</u>	<u>-\$45,000</u>

## MILITARY AND NAVAL AFFAIRS

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$367,600	-\$1,400	\$99,600	-\$400
Military Readiness . . . . .	2,102,000	-291,000	379,400	-170,600
Emergency Management . . . . .	154,700	-49,300	74,100	-300
Total . . . . .	\$2,624,300	-\$341,700	\$553,100	-\$171,300

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$14,900	-\$100	\$253,100	-\$900
Military Readiness . . . . .	55,800	-200	1,430,900	-120,100
Emergency Management . . . . .	17,900	-100	62,700	-48,900
Total . . . . .	\$88,600	-\$400	\$1,746,700	-\$169,900

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Military Readiness . . . . .	\$35,900	-\$100	\$200,000	. . . . .
Emergency Management . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	\$35,900	-\$100	\$200,000	. . . . .

### STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Special Services . . . . .	\$11,428,300	+ \$1,584,100	\$2,690,000	+ \$61,500
Military Readiness . . . . .	18,810,800	+ 1,041,100	9,374,200	+ 404,200
Emergency Management . . . . .	8,883,800	+ 576,400	3,598,300	+ 312,500
Disaster Assistance . . . . .	1,243,300	+ 157,300	645,300	+ 65,800
Total . . . . .	\$40,366,200	+ \$3,358,900	\$16,307,800	+ \$844,000

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Special Services . . . . .	\$5,310,300	+ \$372,600	\$3,428,000	+ \$1,150,000
Military Readiness . . . . .	9,436,600	+ 636,900	. . . . .	. . . . .
Emergency Management . . . . .	5,285,500	+ 263,900	. . . . .	. . . . .
Disaster Assistance . . . . .	598,000	+ 91,500	. . . . .	. . . . .
Total . . . . .	\$20,630,400	+ \$1,364,900	\$3,428,000	+ \$1,150,000

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

Fund Type	Available	Recommended	Change
	1998-99	1999-00	
General Fund . . . . .	\$60,689,000	. . . . .	-\$60,689,000
Special Revenue Funds — Federal . . . . .	205,100,000	\$5,500,000	-199,600,000
Special Revenue Funds — Other . . . . .	1,650,000	1,650,000	. . . . .
Total . . . . .	\$267,439,000	\$7,150,000	-\$260,289,000

# MILITARY AND NAVAL AFFAIRS

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Military Readiness			
General Fund . . . . .	\$189,000	. . . .	-\$189,000
Emergency Management			
General Fund . . . . .	500,000	. . . .	-500,000
Special Revenue Funds — Federal . . . . .	5,100,000	\$5,500,000	+ 400,000
Special Revenue Funds — Other . . . . .	1,650,000	1,650,000	. . . .
Disaster Assistance			
General Fund . . . . .	60,000,000	. . . .	-60,000,000
Special Revenue Funds — Federal . . . . .	200,000,000	. . . .	-200,000,000
<b>Total . . . . .</b>	<b>\$267,439,000</b>	<b>\$7,150,000</b>	<b>-\$260,289,000</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Administration - Federal Capital Projects Fund				
Federal Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$7,762,000
Army National Guard				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	4,321,000
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund . . . . .	\$3,950,000	\$2,750,000	-\$1,200,000	3,950,000
Federal Capital Projects Fund . . . . .	3,150,000	3,150,000	. . . .	5,857,000
Design and Construction Supervision				
Capital Projects Fund . . . . .	1,050,000	2,750,000	+ 1,700,000	1,550,000
Federal Capital Projects Fund . . . . .	275,000	275,000	. . . .	795,000
<b>Total . . . . .</b>	<b>\$8,425,000</b>	<b>\$8,925,000</b>	<b>+ \$500,000</b>	<b>\$24,235,000</b>

# **DEPARTMENT OF MOTOR VEHICLES**

## **MISSION**

The New York State Department of Motor Vehicles (DMV) promotes safety on the State's highways by licensing drivers, registering motor vehicles, protecting the consumer rights of the driving public and providing other related services.

## **ORGANIZATION AND STAFFING**

Under the direction of the Commissioner, 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 31 District and Branch Offices which issue licenses and registrations and process traffic tickets. In addition, 93 County Clerk offices act as DMV agents in many areas of the State.

The Department of Motor Vehicles will have a workforce of 3,405 for 1999-2000, most of whom license drivers and register motor vehicles. Approximately 75 percent of these positions are supported by State tax dollars and 25 percent are financed by fees, including a portion of traffic violation fines in certain localities. The remaining one percent are paid with Federal grants.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends approximately \$124 million in State tax dollars in 1999-2000 to support 57 percent of the Department's budget. The balance is financed by Federal funds and various fees and fines. These recommendations continue efforts to enhance customer service, driver safety and support a variety of technology initiatives.

Customers in all areas of the State will mail vehicle and drivers' license renewals to a central processing center run by the DMV, thereby saving \$2.9 million. The percentage of gross receipts reimbursement for County Clerks will be increased from 9.3 to 12.7 percent to more appropriately compensate the County Clerks for their services.

In addition, a new debt recovery project will result in the payment of unpaid traffic tickets dating back to 1993. This is anticipated to result in over \$6 million in additional revenues for local governments and \$2.5 million for the State.

The Department is also implementing various technology initiatives designed to benefit the public, the courts, the insurance industry and its customers and law enforcement agencies. These initiatives will assist in the identification of uninsured motorists, improve the timeliness of accident reporting, and streamline the processing of data from traffic tickets. Finally, the Department is nearing completion of efforts to ensure that key computing programs are compliant with Year 2000 requirements.

## **PROGRAM HIGHLIGHTS**

### **CUSTOMER SERVICE**

DMV issues driver's licenses and vehicle registrations, collects approximately \$900 million 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**

---

The Department also adjudicates traffic violations in New York City, western Suffolk County, Rochester and Buffalo. 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.

During the past year the Department significantly reduced waiting times in the metropolitan New York area offices through the addition of new staff, creative work scheduling and quality management techniques.

This year the Department will offer its customers throughout the State the ability to schedule road test appointments via a toll free telephone number and will also upgrade its Internet website to enable customers to perform routine motor vehicle transactions for the first time and to use credit cards for all payments.

### **VEHICLE AND DRIVER SAFETY**

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 which establish the identity and license status of drivers, the ownership of vehicles and boats, and the authenticity of auto-related businesses. External investigation activities concern stolen automobiles, fraudulent identity and motor vehicle documents and complaints regarding unlicensed and suspended drivers.

#### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$197,784,700	\$210,032,800	+ \$12,248,100	\$10,026,600
Aid To Localities . . . . .	3,978,300	4,978,300	+ 1,000,000	4,478,400
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$201,763,000</u>	<u>\$215,011,100</u>	<u>+ \$13,248,100</u>	<u>\$14,505,000</u>

# MOTOR VEHICLES

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	315	314	. . . .	314	-1
Operations					
General Fund . . . . .	1,580	1,585	. . . .	1,585	+ 5
Transportation Safety					
General Fund . . . . .	671	670	. . . .	670	-1
Administrative Adjudication					
Special Revenue Funds — Other . . . . .	460	460	. . . .	460	. . . .
Compulsory Insurance					
Special Revenue Funds — Other . . . . .	190	190	. . . .	190	. . . .
Governor's Traffic Safety Committee					
Special Revenue Funds — Federal . . . . .	27	9	18	27	. . . .
Clean Air					
Special Revenue Funds — Other . . . . .	157	159	. . . .	159	+ 2
<b>Total . . . . .</b>	<b>3,400</b>	<b>3,387</b>	<b>18</b>	<b>3,405</b>	<b>+ 5</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$120,960,900	\$123,864,900	+ \$2,904,000
Special Revenue Funds — Federal . . . . .	5,863,400	8,263,400	+ 2,400,000
Special Revenue Funds — Other . . . . .	70,560,400	76,404,500	+ 5,844,100
Internal Service Funds . . . . .	400,000	1,500,000	+ 1,100,000
<b>Total . . . . .</b>	<b>\$197,784,700</b>	<b>\$210,032,800</b>	<b>+ \$12,248,100</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$29,098,000	\$29,185,100	+ \$87,100
Special Revenue Funds — Other . . . . .	953,000	1,158,200	+ 205,200
Operations			
General Fund . . . . .	82,323,100	85,158,300	+ 2,835,200
Special Revenue Funds — Other . . . . .	150,000	. . . .	-150,000
Internal Service Funds . . . . .	400,000	1,500,000	+ 1,100,000
Transportation Safety			
General Fund . . . . .	9,539,800	9,521,500	-18,300
Special Revenue Funds — Other . . . . .	22,801,200	22,502,900	-298,300
Administrative Adjudication			
Special Revenue Funds — Other . . . . .	25,978,600	28,760,600	+ 2,782,000
Compulsory Insurance			
Special Revenue Funds — Other . . . . .	11,477,300	14,271,100	+ 2,793,800
Governor's Traffic Safety Committee			
Special Revenue Funds — Federal . . . . .	5,738,400	8,263,400	+ 2,525,000
Safety Research and Development			
Special Revenue Funds — Federal . . . . .	125,000	. . . .	-125,000
Clean Air			
Special Revenue Funds — Other . . . . .	9,200,300	9,711,700	+ 511,400
<b>Total . . . . .</b>	<b>\$197,784,700</b>	<b>\$210,032,800</b>	<b>+ \$12,248,100</b>

# MOTOR VEHICLES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$13,836,700	-\$42,200	\$12,822,800	-\$42,200	\$113,500	. . . .
Operations . . . . .	49,046,200	+ 1,421,600	48,870,100	+ 1,421,600	176,100	. . . .
Transportation Safety . . . . .	23,426,700	-42,100	23,090,300	-42,100	36,400	. . . .
Total . . . . .	<u>\$86,309,600</u>	<u>+ \$1,337,300</u>	<u>\$84,783,200</u>	<u>+ \$1,337,300</u>	<u>\$326,000</u>	<u>. . . .</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$900,400	. . . .
Operations . . . . .	. . . .	. . . .
Transportation Safety . . . . .	300,000	. . . .
Total . . . . .	<u>\$1,200,400</u>	<u>. . . .</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$15,348,400	+ \$129,300	\$306,400	+ \$22,600
Operations . . . . .	36,112,100	+ 1,413,600	10,113,200	+ 363,100
Transportation Safety . . . . .	-13,905,200	+ 23,800	910,500	+ 23,300
Total . . . . .	<u>\$37,555,300</u>	<u>+ \$1,566,700</u>	<u>\$11,330,100</u>	<u>+ \$409,000</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$119,200	. . . .	\$14,695,700	+ \$106,700
Operations . . . . .	25,400	. . . .	25,567,900	+ 930,500
Transportation Safety . . . . .	1,041,600	. . . .	5,303,200	+ 500
Total . . . . .	<u>\$1,186,200</u>	<u>. . . .</u>	<u>\$45,566,800</u>	<u>+ \$1,037,700</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$227,100	. . . .	. . . .	. . . .
Operations . . . . .	405,600	+ \$120,000	. . . .	. . . .
Transportation Safety . . . . .	39,500	. . . .	-\$21,200,000	. . . .
Total . . . . .	<u>\$672,200</u>	<u>+ \$120,000</u>	<u>-\$21,200,000</u>	<u>. . . .</u>

# MOTOR VEHICLES

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,158,200	+ \$205,200	. . . .	. . . .
Operations . . . . .	1,500,000	+ 950,000	. . . .	. . . .
Transportation Safety . . . . .	22,502,900	-298,300	. . . .	-\$65,000
Administrative Adjudication . . . . .	28,760,600	+ 2,782,000	\$15,802,100	+ 672,000
Compulsory Insurance . . . . .	14,271,100	+ 2,793,800	5,726,200	+ 131,100
Governor's Traffic Safety Committee . . . . .	8,263,400	+ 2,525,000	411,000	. . . .
Safety Research and Development . . . . .	. . . .	-125,000	. . . .	. . . .
Clean Air . . . . .	9,711,700	+ 511,400	5,720,500	+ 213,200
Total . . . . .	\$86,167,900	+ \$9,344,100	\$27,659,800	+ \$951,300

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,158,200	+ \$205,200	. . . .	. . . .
Operations . . . . .	. . . .	-150,000	\$1,500,000	+ \$1,100,000
Transportation Safety . . . . .	1,302,900	-233,300	21,200,000	. . . .
Administrative Adjudication . . . . .	12,958,500	+ 2,110,000	. . . .	. . . .
Compulsory Insurance . . . . .	8,544,900	+ 2,662,700	. . . .	. . . .
Governor's Traffic Safety Committee . . . . .	202,400	. . . .	7,650,000	+ 2,525,000
Safety Research and Development . . . . .	. . . .	. . . .	. . . .	-125,000
Clean Air . . . . .	3,991,200	+ 298,200	. . . .	. . . .
Total . . . . .	\$28,158,100	+ \$4,892,800	\$30,350,000	+ \$3,500,000

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Federal . . . . .	\$3,978,300	\$4,978,300	+ \$1,000,000
Total . . . . .	\$3,978,300	\$4,978,300	+ \$1,000,000

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Governor's Traffic Safety Committee Special Revenue Funds — Federal . . . . .	\$3,978,300	\$4,978,300	+ \$1,000,000
Total . . . . .	\$3,978,300	\$4,978,300	+ \$1,000,000

## ***MOTOR VEHICLES***

---

# ***DIVISION OF PAROLE***

## ***MISSION***

The Division of Parole, which consists of the Board of Parole and Division staff, provides offenders who have been released from prison the opportunity to become productive, law-abiding members of the community while limiting public risk.

The Parole Board determines when an inmate should be released from prison through a hearing process. The Division also supervises parolees in the community, investigates alleged violations, revokes parole when warranted and arranges for services to help the parolees remain productive and law-abiding members of the community.

## ***ORGANIZATION AND STAFFING***

The 19 members of the Board of Parole are appointed by the Governor and confirmed by the Senate for six-year terms. One member is designated by the Governor to serve as the Board's Chair and chief executive officer of the Division. The Board members review the cases of inmates eligible for parole and determine if and when the offender should be released to parole supervision. The Board Members establish the conditions the parolee must abide by in the community, and revoke parole in cases where parolees fail to maintain the conditions of their release.

The Division's administrative staff are located in its central office in Albany. Parole operations staff are distributed across the state in 70 correctional facilities and approximately 35 community-based supervision offices.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 1999-2000, approximately \$133 million in State tax dollars and \$2.3 million in Federal funds will enable the Division of Parole to promote public safety by preparing inmates for release, supervising offenders in the community, and arranging for treatment services for parolees. The State Operations recommendations build on prior year initiatives designed to supervise offenders in the community by providing reduced parole officer caseloads for violent felony offenders, sex offenders and for those parolees who complete the drug treatment program at the Willard Drug Treatment Campus.

The budget recommendation consolidates units within the Division of Parole and the Division of Probation and Correctional Alternatives charged with reviewing requests for interstate transfer of probationers/parolees. These units will be transferred to the Division of Criminal Justice Services to address an expanding workload without increasing costs, as well as to ensure that all requests are handled in a uniform manner.

This budget continues to fund improvements in technology to accommodate Year 2000 modifications and allow the Division to use technology to better supervise and track parolees in the community. Additionally, the Division continues to pilot teleconferencing for parole board hearings at Ogdensburg, Riverview, Franklin and Bare Hill Correctional Facilities from parole offices in Albany and New York City.

Approximately \$52 million in State tax dollars and \$2.8 million in Federal funds are recommended to support the Aid to Localities portion of the budget. This funding finances vocational development and relapse prevention programs, and supports an expanded High Impact Incarceration Program (HIIP) in New York City.

# PAROLE

## PROGRAM HIGHLIGHTS

In addition to closely monitoring offenders in the community, the Division helps prevent parolees from reverting to a life of crime by contracting for various rehabilitative services such as substance abuse counseling, residential treatment, and employment training and programming.

## PAROLE OPERATIONS

The Parole Operations program, the core of the State parole system, comprises three major areas: preparing inmates for parole, assisting the Board in making parole release determinations, and supervising parolees upon release. As a result of changes to the Penal Law by the Sentencing Reform Act of 1995 and Jenna's Law, violent felony offenders will be subject to determinate sentences and not eligible for parole release. Those offenders will, however, be subject to fixed periods of post-release supervision upon their release from prison, and monitored by Parole Officers. An inmate must have housing and employment prospects before being released from a State prison. Parole Officers attempt to obtain housing, employment and other services before an inmate appears before the Board. At the same time, parole staff assigned to prisons assess an inmate's readiness for release by reviewing his or her case history. The staff also summarizes an inmate's rehabilitation progress, family background, and housing and employment prospects for the Board's consideration.

When offenders are released from prison, they are assigned to a Parole Officer for the balance of their sentence. The supervising Parole Officer monitors behavior and helps the parolee locate and maintain employment.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$138,140,600	\$136,215,000	-\$1,925,600	\$5,115,200
Aid To Localities . . . . .	61,806,600	60,163,700	-1,642,900	7,185,000
Capital Projects . . . . .	.....	.....	.....	.....
Total . . . . .	<u>\$199,947,200</u>	<u>\$196,378,700</u>	<u>-\$3,568,500</u>	<u>\$12,300,200</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	120	118	.....	118	-2
Parole Operations					
General Fund . . . . .	2,360	2,302	.....	2,302	-58
Special Revenue Funds — Federal . . . . .	54	54	.....	54	.....
Total . . . . .	<u>2,534</u>	<u>2,474</u>	<u>.....</u>	<u>2,474</u>	<u>-60</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$135,033,000	\$133,107,400	-\$1,925,600
Special Revenue Funds — Federal . . . . .	2,307,600	2,307,600	. . . .
Special Revenue Funds — Other . . . . .	400,000	400,000	. . . .
Fiduciary Funds . . . . .	400,000	400,000	. . . .
<b>Total . . . . .</b>	<b><u>\$138,140,600</u></b>	<b><u>\$136,215,000</u></b>	<b><u>-\$1,925,600</u></b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
General Fund . . . . .	\$7,216,200	\$7,164,100	-\$52,100
Parole Operations			
General Fund . . . . .	127,816,800	125,943,300	-1,873,500
Special Revenue Funds — Federal . . . . .	2,307,600	2,307,600	. . . .
Special Revenue Funds — Other . . . . .	400,000	400,000	. . . .
Fiduciary Funds . . . . .	400,000	400,000	. . . .
<b>Total . . . . .</b>	<b><u>\$138,140,600</u></b>	<b><u>\$136,215,000</u></b>	<b><u>-\$1,925,600</u></b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service</u>		<u>Personal Service Regular (Annual Salaried)</u>		<u>Holiday/Overtime Pay (Annual Salaried)</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$5,750,000	+ \$29,600	\$5,750,000	+ \$29,600	. . . .	. . . .
Parole Operations . . . . .	104,158,200	-2,886,300	101,095,600	-2,989,900	\$3,062,600	+ \$103,600
<b>Total . . . . .</b>	<b><u>\$109,908,200</u></b>	<b><u>-\$2,856,700</u></b>	<b><u>\$106,845,600</u></b>	<b><u>-\$2,960,300</u></b>	<b><u>\$3,062,600</u></b>	<b><u>+ \$103,600</u></b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Supplies and Materials</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$1,414,100		-\$81,700	\$34,300	. . . .
Parole Operations . . . . .	21,785,100		+ 1,012,800	836,200	. . . .
<b>Total . . . . .</b>	<b>\$23,199,200</b>		<b>+ \$931,100</b>	<b>\$870,500</b>	<b>. . . .</b>

<u>Program</u>	<u>Amount</u>	<u>Travel</u>		<u>Contractual Services</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$241,700		-\$103,600	\$1,124,000	+ \$21,500
Parole Operations . . . . .	4,513,700		+ 56,400	15,355,900	+ 930,900
<b>Total . . . . .</b>	<b>\$4,755,400</b>		<b>-\$47,200</b>	<b>\$16,479,900</b>	<b>+ \$952,400</b>

<u>Program</u>	<u>Amount</u>	<u>Equipment</u>	
		<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$14,100		+ \$400
Parole Operations . . . . .	1,079,300		+ 25,500
<b>Total . . . . .</b>	<b>\$1,093,400</b>		<b>+ \$25,900</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Nonpersonal Service</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Parole Operations . . . . .	\$3,107,600		. . . .	\$400,000	. . . .
<b>Total . . . . .</b>	<b>\$3,107,600</b>		<b>. . . .</b>	<b>\$400,000</b>	<b>. . . .</b>

<u>Program</u>	<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>
Parole Operations . . . . .	\$2,707,600	. . . .
<b>Total . . . . .</b>	<b>\$2,707,600</b>	<b>. . . .</b>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$53,714,100	\$52,071,200	-\$1,642,900
Special Revenue Funds — Federal . . . . .	2,842,500	2,842,500	. . . .
Internal Service Funds . . . . .	5,250,000	5,250,000	. . . .
<b>Total . . . . .</b>	<b>\$61,806,600</b>	<b>\$60,163,700</b>	<b>-\$1,642,900</b>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Parole Operations			
General Fund . . . . .	\$53,714,100	\$52,071,200	-\$1,642,900
Special Revenue Funds — Federal . . . . .	2,842,500	2,842,500	. . . .
Internal Service Funds . . . . .	5,250,000	5,250,000	. . . .
<u>Total . . . . .</u>	<u>\$61,806,600</u>	<u>\$60,163,700</u>	<u>-\$1,642,900</u>



# ***DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES***

## ***MISSION***

The Division of Probation and Correctional Alternatives oversees county probation departments, provides them with training and technical assistance, and reimburses a portion of their expenses. The agency also provides localities with grants to fund Alternatives to Incarceration programs that are designed to divert appropriate offenders from the State prison system with appropriate community based sanctions.

## ***ORGANIZATION AND STAFFING***

Headed by a State Director appointed by the Governor, the Division is located in Albany. The budget recommendation consolidates units of the Division of Probation and Correctional Alternatives and the Division of Parole that are charged with reviewing requests for interstate transfer of probationers and parolees. These units will be transferred to the Division of Criminal Justice Services (DCJS) to address an expanding workload without increasing costs, as well as to encourage uniformity in interstate transfer decisions for parolees and probationers. This initiative will transfer four positions to DCJS, leaving the Division with a workforce of 29 positions in 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 1999-2000, approximately \$2.0 million in State tax dollars will support the Division's State Operations budget. The largest portion of the Division's Aid to Localities appropriation of approximately \$88.6 million is dedicated to assisting localities with their probation service costs, and includes a \$2.8 million increase in this categorical aid program. Funding for a number of alternatives to incarceration programs added by the Legislature is not recommended for 1999-2000, as this is inconsistent with the State's categorical aid to localities approach.

## ***PROGRAM HIGHLIGHTS***

The 1999-2000 recommendations build on prior year initiatives designed to assist localities and administer funding to support programs which divert offenders from State prison. The following programs continue to create an effective network of supervision, sanctions and treatment options to ensure public safety:

- The Intensive Supervision Program funds local probation department costs associated with establishing specialized caseloads, limited to 21 felony offenders per probation officer;
- The Juvenile Intensive Supervision Program funds local probation department efforts to reduce the number of out-of-home youth placements, and for the last four years has provided treatment services to youth with substance abuse problems; and
- The Alternatives to Incarceration and Drug and Alcohol programs are used by local judges to supplement sentences of probation.

Funding is continued for the Jail Management Assistance Team, an initiative intended to assist localities with alternative approaches to ease jail overcrowding.

# PROBATION AND CORRECTIONAL ALTERNATIVES

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$2,025,700	\$1,952,300	-\$73,400	. . . . .
Aid To Localities . . . . .	91,647,370	88,586,400	-3,060,970	\$33,432,750
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<u>\$93,673,070</u>	<u>\$90,538,700</u>	<u>-\$3,134,370</u>	<u>\$33,432,750</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level		Total Recommended 1999-00	Change
		Personal Service (Regular)	Maintenance Undistributed		
Community Corrections					
General Fund . . . . .	31	27	. . . . .	27	-4
Subtotal, Direct Funded Programs . . . . .	31	<u>27</u>	<u>. . . . .</u>	27	-4
Suballocations:					
Special Revenue Funds — Federal . . . . .	2			2	. . . . .
<b>Total . . . . .</b>	<u>33</u>			<u>29</u>	<u>-4</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,025,700	\$1,952,300	-\$73,400
<b>Total . . . . .</b>	<u>\$2,025,700</u>	<u>\$1,952,300</u>	<u>-\$73,400</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Community Corrections			
General Fund . . . . .	\$2,025,700	\$1,952,300	-\$73,400
<b>Total . . . . .</b>	<u>\$2,025,700</u>	<u>\$1,952,300</u>	<u>-\$73,400</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Community Corrections . . . . .	\$1,510,100	-\$106,900	\$1,510,100	-\$106,900
<b>Total . . . . .</b>	<u>\$1,510,100</u>	<u>-\$106,900</u>	<u>\$1,510,100</u>	<u>-\$106,900</u>

# PROBATION AND CORRECTIONAL ALTERNATIVES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Amount</u>	Total	<u>Change</u>	Supplies and Materials	<u>Amount</u>	<u>Change</u>
Community Corrections . . . . .	\$442,200		+ \$33,500	\$16,000		-\$3,900
Total . . . . .	<u>\$442,200</u>		<u>+ \$33,500</u>	<u>\$16,000</u>		<u>-\$3,900</u>

<u>Program</u>	<u>Amount</u>	Travel	<u>Change</u>	Contractual Services	<u>Amount</u>	<u>Change</u>
Community Corrections . . . . .	\$51,400		+ \$1,400	\$338,600		+ \$39,800
Total . . . . .	<u>\$51,400</u>		<u>+ \$1,400</u>	<u>\$338,600</u>		<u>+ \$39,800</u>

<u>Program</u>	<u>Amount</u>	Equipment	<u>Change</u>
Community Corrections . . . . .	\$36,200		-\$3,800
Total . . . . .	<u>\$36,200</u>		<u>-\$3,800</u>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$91,647,370	\$88,586,400	-\$3,060,970
Total . . . . .	<u>\$91,647,370</u>	<u>\$88,586,400</u>	<u>-\$3,060,970</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Community Corrections General Fund . . . . .	\$91,647,370	\$88,586,400	-\$3,060,970
Total . . . . .	<u>\$91,647,370</u>	<u>\$88,586,400</u>	<u>-\$3,060,970</u>



# **COMMISSION ON QUALITY OF CARE FOR THE MENTALLY DISABLED**

## **MISSION**

The Commission on Quality of Care for the Mentally Disabled provides oversight of the State and local mental hygiene systems that collectively spend more than \$5 billion in public funds annually. The Commission monitors conditions of care in State institutions for the mentally ill and mentally retarded, licensed residential facilities, and outpatient programs; reports to the Governor and Legislature on how the laws and policies established to protect the rights of mentally disabled persons are being implemented; and makes recommendations to improve quality of care.

## **ORGANIZATION AND STAFFING**

Soon to be headquartered in Schenectady, the Commission consists of a full-time chairman and two unsalaried members, each appointed by the Governor and confirmed by the Senate to serve for staggered five-year terms. During 1999-2000, the agency will have a workforce of 93 positions funded by the General Fund, Federal Grants and other Federal revenues related to oversight of Medicaid programs.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Commission's State Operations appropriation, which comprises 95 percent of the total agency budget, consists of 31 percent General Fund, 44 percent Federal, and 25 percent from other sources.

Federal funding provides statewide protection and advocacy services for individuals with disabilities, using State staff and contracts with non-profit agencies, through the following Federal programs: Protection and Advocacy for the Developmentally Disabled; Client Assistance; Protection and Advocacy for Individuals with Mental Illness (PAIMI); and Protection and Advocacy of Individual Rights programs. The 1999-2000 Executive recommendation includes a new Federal appropriation of \$165,000 in anticipation of a new direct Federal grant for the Technology Related Protection and Advocacy (TRPA) program, as well as an increase of \$47,300 for the PAIMI program. The new TRPA funds replace moneys previously suballocated from the Office of the Advocate for Persons with Disabilities. These new Federal funds will assist the Commission in strengthening the non-profit contract network which provides individuals with severe disabilities with protection and advocacy services under Federal law.

Other funds include the Federal Salary Sharing account which is funded by Federal revenue generated by agency staff activities related to Medicaid services. A combination of State tax dollars from the General Fund and Federal Salary Sharing accounts support staff investigations of deaths and allegations of abuse and neglect in mental hygiene facilities and other agency oversight functions.

The Aid to Localities appropriation, which comprises 5 percent of the total agency budget, funds contracts with private, non-profit service provider agencies. Taxpayer dollars from the General Fund support contracts with non-profit agencies that provide advocacy services to residents of adult homes and adult care facilities. Contracts with non-profit Community Dispute Resolution Centers, which provide support services for the Surrogate Decision Making Committee (SDMC) program, are supported by Federal Salary Sharing account funds.

## QUALITY OF CARE FOR THE MENTALLY DISABLED

The 1999-2000 Executive Budget recommendation fully annualizes the Governor's 1998-99 initiative to expand the SDMC program statewide. The SDMC program provides a more responsive and lower cost alternative to the court system for securing non-emergency medical treatment for individuals in Department of Mental Hygiene residential facilities who cannot consent to treatment and do not have a surrogate to make these decisions.

The Executive Budget recommendation of \$9.8 million reflects a General Fund decrease of \$254,000 from 1998-99 levels principally as a result of one-time moving costs that were included in 1998-99, and the shift of personal service costs to available Federal Salary Sharing revenues. The recommendation fully supports existing program and service levels while annualizing the SDMC program expansion from 1998-99.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$9,190,000	\$9,283,600	+ \$93,600	\$5,261,800
Aid To Localities . . . . .	468,000	468,000	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$9,658,000</b>	<b>\$9,751,600</b>	<b>+ \$93,600</b>	<b>\$5,261,800</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	41	41	. . . . .	41	. . . . .
Special Revenue Funds — Other . . . . .	27	28	. . . . .	28	+ 1
Protection and Advocacy for the Developmentally Disabled					
Special Revenue Funds — Federal . . . . .	11	11	. . . . .	11	. . . . .
Protection and Advocacy for the Mentally Ill					
Special Revenue Funds — Federal . . . . .	10	10	. . . . .	10	. . . . .
Client Assistance					
Special Revenue Funds — Federal . . . . .	2	2	. . . . .	2	. . . . .
Protection and Advocacy IR					
Special Revenue Funds — Federal . . . . .	1	1	. . . . .	1	. . . . .
<b>Total . . . . .</b>	<b>92</b>	<b>93</b>	<b>. . . . .</b>	<b>93</b>	<b>+ 1</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$3,140,000	\$2,886,000	-\$254,000
Special Revenue Funds — Federal . . . . .	3,835,000	4,062,600	+ 227,600
Special Revenue Funds — Other . . . . .	2,195,000	2,315,000	+ 120,000
Enterprise Funds . . . . .	20,000	20,000	. . . . .
<b>Total . . . . .</b>	<b>\$9,190,000</b>	<b>\$9,283,600</b>	<b>+ \$93,600</b>

# QUALITY OF CARE FOR THE MENTALLY DISABLED

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$3,140,000	\$2,886,000	-\$254,000
Special Revenue Funds — Other . . . . .	2,105,000	2,225,000	+ 120,000
Enterprise Funds . . . . .	20,000	20,000	. . . .
Protection and Advocacy for the Developmentally Disabled			
Special Revenue Funds — Federal . . . . .	1,482,000	1,492,800	+ 10,800
Protection and Advocacy for the Mentally Ill			
Special Revenue Funds — Federal . . . . .	1,123,500	1,170,800	+ 47,300
Client Assistance			
Special Revenue Funds — Federal . . . . .	629,500	629,000	-500
Protection and Advocacy IR			
Special Revenue Funds — Federal . . . . .	600,000	605,000	+ 5,000
Technology Related Protection and Advocacy			
Special Revenue Funds — Federal . . . . .	. . . .	165,000	+ 165,000
Conference Fee Account			
Special Revenue Funds — Other . . . . .	90,000	90,000	. . . .
Total . . . . .	\$9,190,000	\$9,283,600	+ \$93,600

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$2,022,000	-\$108,000	\$2,015,000	-\$108,000	\$7,000	. . . .
Total . . . . .	\$2,022,000	-\$108,000	\$2,015,000	-\$108,000	\$7,000	. . . .

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$864,000	-\$146,000	\$33,100	. . . .
Total . . . . .	\$864,000	-\$146,000	\$33,100	. . . .

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$92,200	. . . .	\$415,600	-\$16,000
Total . . . . .	\$92,200	. . . .	\$415,600	-\$16,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$23,100	. . . .	\$300,000	-\$130,000
Total . . . . .	\$23,100	. . . .	\$300,000	-\$130,000

# QUALITY OF CARE FOR THE MENTALLY DISABLED

---

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$2,245,000	+ \$120,000	\$1,467,000	+ \$86,000
Protection and Advocacy for the Developmentally Disabled . . . . .	1,492,800	+ 10,800	606,200	+ 30,400
Protection and Advocacy for the Mentally Ill . . . . .	1,170,800	+ 47,300	437,000	-15,000
Client Assistance . . . . .	629,000	-500	94,200	-6,000
Protection and Advocacy IR . . . . .	605,000	+ 5,000	66,400	-43,800
Technology Related Protection and Advocacy . . . . .	165,000	+ 165,000	. . . .	. . . .
Conference Fee Account . . . . .	90,000	. . . .	. . . .	. . . .
Total . . . . .	\$6,397,600	+ \$347,600	\$2,670,800	+ \$51,600

Program	Nonpersonal Service	
	Amount	Change
Administration . . . . .	\$778,000	+ \$34,000
Protection and Advocacy for the Developmentally Disabled . . . . .	886,600	-19,600
Protection and Advocacy for the Mentally Ill . . . . .	733,800	+ 62,300
Client Assistance . . . . .	534,800	+ 5,500
Protection and Advocacy IR . . . . .	538,600	+ 48,800
Technology Related Protection and Advocacy . . . . .	165,000	+ 165,000
Conference Fee Account . . . . .	90,000	. . . .
Total . . . . .	\$3,726,800	+ \$296,000

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$95,000	\$95,000	. . . .
Special Revenue Funds — Other . . . . .	373,000	373,000	. . . .
Total . . . . .	\$468,000	\$468,000	. . . .

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Surrogate Decision Making Special Revenue Funds — Other . . . . .	\$373,000	\$373,000	. . . .
Adult Homes General Fund . . . . .	95,000	95,000	. . . .
Total . . . . .	\$468,000	\$468,000	. . . .

# ***DIVISION OF STATE POLICE***

## ***MISSION***

The Division of State Police promotes highway safety and protects our citizens from crime. It is responsible for patrolling roads and highways outside major urban centers, and providing specialty and investigative police services throughout the State. The work of the State Police ranges from the traditional patrol duties to that of specially-trained investigators who conduct sophisticated operations against drug traffickers and other criminals.

## ***ORGANIZATION AND STAFFING***

The Division, headed by a Superintendent who is appointed by the Governor, is organized into a Division Headquarters located in Albany and 11 Troops. Each Troop encompasses a geographic area of the State, with the exception of Troop "T" which is dedicated to providing police services on the New York State Thruway. Troop "NYC" provides specialized investigative and support services in the five boroughs of New York City. The remaining nine Troops provide patrol coverage and criminal investigation services appropriate to local conditions. Factors which affect services include population, highway mileage and availability of county and local law enforcement agencies.

Approximately 89 percent of the Division's total staffing of 4,945 for 1999-2000 are paid for with State tax dollars, 8 percent are supported with various revenue sources, and the remaining 3 percent are financed by Federal funds. Total sworn member strength of the Division will be 4,111.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

Approximately \$277 million in State tax dollars support 74 percent of the Division's operations budget. The balance is financed by Federal funds and various State revenue sources, including seized assets, a special monthly surcharge on cellular telephone bills, fees for accident reports and reimbursement from the New York State Thruway Authority for services rendered on the State Thruway. New Capital appropriations totaling \$2 million will enable the State Police to maintain Troop facilities and advance various projects related to health and safety.

The 1999-2000 recommendations support several technology improvements and enhancements including the continuation of a major ten year effort to provide a Statewide Public Safety Communications System. In addition, a computer modernization project will provide state-of-the-art equipment for members and civilians. Funding is also included to begin the phased replacement of State Police's aging aviation fleet. Lastly, a technology improvement project is continued to enhance the emergency "911" response system to track telephone numbers.

## ***PROGRAM HIGHLIGHTS***

The Division is divided into two principal branches, the Uniform Force and the Bureau of Criminal Investigation. Each of these branches fulfills specific law enforcement assignments and cooperates with local and county law enforcement agencies.

# STATE POLICE

## UNIFORM FORCE

The Uniform Force has two primary responsibilities: protecting life and property and promoting highway safety. In many areas of the state, Uniform Troopers are the primary law enforcement agency. In these areas, Troopers respond to all types of calls including burglaries, missing children, assaults, robberies and homicides. State Troopers also provide essential support to local police departments.

## 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, and violent crimes. In addition to conducting their own investigations, investigators regularly assist local and county law enforcement agencies that lack the resources or expertise needed for major crime investigations.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$370,831,500	\$393,378,500	+ \$22,547,000	\$2,145,200
Aid To Localities . . . . .	.....	.....	.....	.....
Capital Projects . . . . .	4,550,000	2,000,000	-2,550,000	7,969,000
Total . . . . .	<u>\$375,381,500</u>	<u>\$395,378,500</u>	<u>+ \$19,997,000</u>	<u>\$10,114,200</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	147	147	....	147	....
Patrol Activities					
General Fund . . . . .	2,536	2,536	....	2,536	....
Special Revenue Funds — Federal . . . . .	55	55	....	55	....
Special Revenue Funds — Other . . . . .	34	34	....	34	....
Criminal Investigation Activities					
General Fund . . . . .	1,039	1,039	....	1,039	....
Special Revenue Funds — Federal . . . . .	80	80	....	80	....
Indian Gaming					
Special Revenue Funds — Other . . . . .	39	39	....	39	....
Technical Police Services					
General Fund . . . . .	623	623	....	623	....
Policing the Thruway					
Special Revenue Funds — Other . . . . .	340	340	....	340	....
Subtotal, Direct Funded Programs . . . . .	<u>4,893</u>	<u>4,893</u>	<u>....</u>	<u>4,893</u>	<u>....</u>
Suballocations:					
Special Revenue Funds — Federal . . . . .	4			4	....
Total . . . . .	<u>4,897</u>			<u>4,897</u>	<u>....</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$276,458,100	\$294,743,600	+ \$18,285,500
Special Revenue Funds — Federal . . . . .	9,190,200	17,256,800	+ 8,066,600
Special Revenue Funds — Other . . . . .	85,175,700	81,370,600	-3,805,100
Fiduciary Funds . . . . .	7,500	7,500	. . . .
<b>Total . . . . .</b>	<b>\$370,831,500</b>	<b>\$393,378,500</b>	<b>+ \$22,547,000</b>
<b>Adjustments:</b>			
<b>Recommended Deficiency</b>			
Special Revenue Funds — Federal . . . . .	-1,000,000		
<b>Transfer(s) From</b>			
<b>Miscellaneous - All State Departments and</b>			
<b>Agencies</b>			
General Fund . . . . .	-21,568,000		
Special Revenue Funds — Other . . . . .	-551,000		
<b>Appropriated 1998-99 . . . . .</b>	<b>\$347,712,500</b>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
<b>Administration</b>			
General Fund . . . . .	\$8,986,400	\$8,855,000	-\$131,400
Special Revenue Funds — Other . . . . .	. . . .	200,000	+ 200,000
Fiduciary Funds . . . . .	7,500	7,500	. . . .
<b>Patrol Activities</b>			
General Fund . . . . .	153,629,400	155,358,300	+ 1,728,900
Special Revenue Funds — Federal . . . . .	2,697,900	7,535,900	+ 4,838,000
Special Revenue Funds — Other . . . . .	12,394,900	11,911,600	-483,300
<b>Criminal Investigation Activities</b>			
General Fund . . . . .	82,665,000	80,413,100	-2,251,900
Special Revenue Funds — Federal . . . . .	6,492,300	6,492,300	. . . .
Special Revenue Funds — Other . . . . .	2,846,200	2,546,200	-300,000
<b>Indian Gaming</b>			
Special Revenue Funds — Other . . . . .	5,632,900	3,878,500	-1,754,400
<b>Technical Police Services</b>			
General Fund . . . . .	31,177,300	50,117,200	+ 18,939,900
Special Revenue Funds — Federal . . . . .	. . . .	3,228,600	+ 3,228,600
Special Revenue Funds — Other . . . . .	32,193,700	34,293,700	+ 2,100,000
<b>Policing the Thruway</b>			
Special Revenue Funds — Other . . . . .	32,108,000	28,540,600	-3,567,400
<b>Total . . . . .</b>	<b>\$370,831,500</b>	<b>\$393,378,500</b>	<b>+ \$22,547,000</b>

# STATE POLICE

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$8,285,700	-\$131,400	\$8,285,700	-\$131,400	. . . . .	. . . . .
Patrol Activities . . . . .	152,620,100	+ 5,111,900	135,519,000	+ 7,231,100	\$40,400	+ \$40,400
Criminal Investigation Activities . . . . .	75,308,000	-2,001,900	69,771,700	-1,815,700	. . . . .	. . . . .
Technical Police Services . . . . .	26,529,800	+ 730,900	24,113,500	-627,000	1,032,300	+ 322,400
<b>Total . . . . .</b>	<b>\$262,743,600</b>	<b>+ \$3,709,500</b>	<b>\$237,689,900</b>	<b>+ \$4,657,000</b>	<b>\$1,072,700</b>	<b>+ \$362,800</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	. . . . .	. . . . .
Patrol Activities . . . . .	\$17,060,700	-\$2,159,600
Criminal Investigation Activities . . . . .	5,536,300	-186,200
Technical Police Services . . . . .	1,384,000	+ 1,035,500
<b>Total . . . . .</b>	<b>\$23,981,000</b>	<b>-\$1,310,300</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$569,300	. . . . .	\$101,700	. . . . .
Patrol Activities . . . . .	2,738,200	-\$2,483,000	. . . . .	. . . . .
Criminal Investigation Activities . . . . .	5,105,100	-250,000	82,500	. . . . .
Technical Police Services . . . . .	32,687,400	+ 18,209,000	466,300	. . . . .
<b>Total . . . . .</b>	<b>\$41,100,000</b>	<b>+ \$15,476,000</b>	<b>\$650,500</b>	<b>. . . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$76,800	. . . . .	\$383,400	. . . . .
Patrol Activities . . . . .	532,900	. . . . .	157,700	. . . . .
Criminal Investigation Activities . . . . .	68,400	. . . . .	475,700	. . . . .
Technical Police Services . . . . .	3,653,800	. . . . .	10,578,700	+ \$809,000
<b>Total . . . . .</b>	<b>\$4,331,900</b>	<b>. . . . .</b>	<b>\$11,595,500</b>	<b>+ \$809,000</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$7,400	. . . . .	. . . . .	. . . . .
Patrol Activities . . . . .	1,677,600	-\$1,850,000	\$370,000	-\$633,000
Criminal Investigation Activities . . . . .	4,105,800	. . . . .	372,700	-250,000
Technical Police Services . . . . .	17,988,600	+ 17,400,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$23,779,400</b>	<b>+ \$15,550,000</b>	<b>\$742,700</b>	<b>-\$883,000</b>

**STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$207,500	+ \$200,000	. . . . .	. . . . .
Patrol Activities . . . . .	19,447,500	+ 4,354,700	\$7,720,400	+ \$3,426,100
Criminal Investigation				
Activities . . . . .	9,038,500	-300,000	4,803,300	-107,000
Indian Gaming . . . . .	3,878,500	-1,754,400	2,417,600	-1,136,400
Technical Police Services . . . . .	28,422,300	+ 5,328,600	. . . . .	. . . . .
Policing the Thruway . . . . .	28,540,600	-3,567,400	21,270,400	-2,075,500
<b>Total . . . . .</b>	<b>\$89,534,900</b>	<b>+ \$4,261,500</b>	<b>\$36,211,700</b>	<b>+ \$107,200</b>

Program	Nonpersonal Service	
	Amount	Change
Administration . . . . .	\$207,500	+ \$200,000
Patrol Activities . . . . .	11,727,100	+ 928,600
Criminal Investigation		
Activities . . . . .	4,235,200	-193,000
Indian Gaming . . . . .	1,460,900	-618,000
Technical Police Services . . . . .	28,422,300	+ 5,328,600
Policing the Thruway . . . . .	7,270,200	-1,491,900
<b>Total . . . . .</b>	<b>\$53,323,200</b>	<b>+ \$4,154,300</b>

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Comprehensive Construction Programs	Available	Recommended	Change	Reappropriations
	1998-99	1999-00		1999-00
Maintenance and Improvement of Existing Facilities				
Capital Projects Fund . . . . .	\$1,850,000	\$2,000,000	+ \$150,000	\$4,648,000
New Facilities				
Capital Projects Fund . . . . .	2,700,000	. . . . .	-2,700,000	3,321,000
<b>Total . . . . .</b>	<b>\$4,550,000</b>	<b>\$2,000,000</b>	<b>-\$2,550,000</b>	<b>\$7,969,000</b>



***TRANSPORTATION,  
ECONOMIC  
DEVELOPMENT AND  
ENVIRONMENTAL  
CONSERVATION***



# ***DEPARTMENT OF AGRICULTURE AND MARKETS***

## ***MISSION***

The Department of Agriculture and Markets is charged with fostering a competitive and safe New York State food and agricultural industry for the benefit of producers and consumers. Over the next year, the Department will continue to carry out its major responsibilities, including encouraging the growth and economic health of the State's agricultural and food industry and conducting various inspection and testing programs to enforce laws on food safety, animal and plant health, and accuracy of labeling. The Department will also continue to act to preserve agricultural resources, improve soil and water quality, and operate the annual State Fair in concert with the Industrial Exhibit Authority.

## ***ORGANIZATION AND STAFFING***

The Department will have a workforce for 1999-2000 of 556 positions. The Agency is headquartered in Albany and maintains four regional offices located in Buffalo, Syracuse, Rochester and Brooklyn. Approximately 36 percent of the Department of Agriculture and Markets' programs are funded by tax dollars in the General Fund and the remaining 64 percent are financed by fees, Federal grants and the Clean Water/Clean Air Bond Act.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Executive Budget recommends funding of over \$85 million for the Department of Agriculture and Markets in 1999-2000. The cost of operating the Department will be supported from a combination of funding sources:

- Tax dollars from the General Fund will provide \$21.3 million in 1999-2000, or 30 percent of the Department's operating expenses.
- Fee revenues will produce \$41.8 million and support 59 percent of the Department's operating costs. These include fees from activities such as licensing food processing operators and certifying weighing and measuring devices, and operation of the State Fair.
- Federal funding of \$7.4 million finances the remaining 11 percent of the Department's operations.

This Budget recommends \$600,000 for capital projects to maintain, repair and rehabilitate the State Fair's 14 major buildings and other structures. The Executive Budget also recommends \$2 million in appropriations for a capital special revenue fund to continue support for development of private partnerships at the State Fair. In addition, \$478,000 is recommended from the Clean Water/Clean Air Bond Act for implementation of the 1996 Act, which authorized farmland preservation and agricultural non-point source pollution control and abatement projects as eligible purposes. Funding from the Environmental Protection Fund is also recommended for Soil and Water Conservation Districts, non-point source pollution control and farmland preservation programs.

The Executive Budget recommends \$12.2 million for local assistance to continue programs which provide valuable services to the State's agricultural community.

# AGRICULTURE AND MARKETS

## 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 which 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 Coupon 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, gasoline, and measuring devices. In carrying out these purposes, the program:

- Licenses and inspects over 28,000 businesses that produce, process, manufacture, or distribute food products, enforces labeling laws governing 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 and the Industrial Exhibit Authority together direct the New York State Fair and Fairgrounds, located in Syracuse. The Fairgrounds, a 365 acre complex, has 14 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 paid from admission, rental and concession fees. General Fund capital funding of \$600,000 is included in the budget to support costs of maintaining the Fair's facilities. In addition, a capital special revenue fund appropriation of \$2 million is recommended to allow the Fair to expand private partnerships and make capital improvements at the Fairgrounds.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$69,151,800	\$70,526,600	+ \$1,374,800	\$13,777,700
Aid To Localities . . . . .	11,669,800	12,199,800	+ 530,000	5,749,400
Capital Projects . . . . .	1,917,000	3,078,000	+ 1,161,000	7,653,000
Total . . . . .	<u>\$82,738,600</u>	<u>\$85,804,400</u>	<u>+ \$3,065,800</u>	<u>\$27,180,100</u>

# AGRICULTURE AND MARKETS

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund	36	35	....	35	-1
Agricultural Business Services					
General Fund	88	88	....	88	....
Special Revenue Funds — Federal	3	3	....	3	....
Special Revenue Funds — Other	60	47	....	47	-13
Fiduciary Funds	9	9	....	9	....
Consumer Food Services					
General Fund	211	211	....	211	....
Special Revenue Funds — Federal	26	21	....	21	-5
Special Revenue Funds — Other	84	76	....	76	-8
State Fair					
Enterprise Funds	58	58	....	58	....
Clean Water/Clean Air Administration Program					
Capital Project Funds	8	8	....	8	....
<b>Total</b>	<b>583</b>	<b>556</b>	<b>....</b>	<b>556</b>	<b>-27</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$21,332,200	\$21,309,200	-\$23,000
Special Revenue Funds — Federal	6,587,000	7,387,000	+ 800,000
Special Revenue Funds — Other	25,582,500	25,970,500	+ 388,000
Enterprise Funds	14,014,300	14,140,600	+ 126,300
Fiduciary Funds	1,635,800	1,719,300	+ 83,500
<b>Total</b>	<b>\$69,151,800</b>	<b>\$70,526,600</b>	<b>+ \$1,374,800</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$3,845,100	\$3,863,600	+ \$18,500
Agricultural Business Services			
General Fund	7,190,600	7,187,700	-2,900
Special Revenue Funds — Federal	4,302,000	5,152,000	+ 850,000
Special Revenue Funds — Other	16,631,900	16,644,200	+ 12,300
Fiduciary Funds	1,635,800	1,719,300	+ 83,500
Consumer Food Services			
General Fund	10,296,500	10,257,900	-38,600
Special Revenue Funds — Federal	2,285,000	2,235,000	-50,000
Special Revenue Funds — Other	8,950,600	9,326,300	+ 375,700
State Fair			
Enterprise Funds	14,014,300	14,140,600	+ 126,300
<b>Total</b>	<b>\$69,151,800</b>	<b>\$70,526,600</b>	<b>+ \$1,374,800</b>

# AGRICULTURE AND MARKETS

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$1,970,200	+ \$1,500	\$1,870,200	-\$400	\$91,200	+ \$1,700
Agricultural Business Services . . . . .	4,560,300	+ 123,600	4,033,600	+ 114,000	416,500	+ 7,600
Consumer Food Services . . . . .	8,771,500	+ 161,400	8,383,300	+ 154,300	101,900	+ 1,900
<b>Total . . . . .</b>	<b>\$15,302,000</b>	<b>+ \$286,500</b>	<b>\$14,287,100</b>	<b>+ \$267,900</b>	<b>\$609,600</b>	<b>+ \$11,200</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$8,800	+ \$200
Agricultural Business Services . . . . .	110,200	+ 2,000
Consumer Food Services . . . . .	286,300	+ 5,200
<b>Total . . . . .</b>	<b>\$405,300</b>	<b>+ \$7,400</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,893,400	+ \$17,000	\$29,100	. . . .
Agricultural Business Services . . . . .	2,627,400	-126,500	168,400	+ \$10,000
Consumer Food Services . . . . .	1,486,400	. . . .	151,800	. . . .
<b>Total . . . . .</b>	<b>\$6,007,200</b>	<b>-\$109,500</b>	<b>\$349,300</b>	<b>+ \$10,000</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$30,600	. . . .	\$1,833,700	+ \$17,000
Agricultural Business Services . . . . .	399,800	+ \$3,500	1,811,900	-140,000
Consumer Food Services . . . . .	863,600	. . . .	341,800	. . . .
<b>Total . . . . .</b>	<b>\$1,294,000</b>	<b>+ \$3,500</b>	<b>\$3,987,400</b>	<b>-\$123,000</b>

Program	Equipment	
	Amount	Change
Administration . . . . .	. . . .	. . . .
Agricultural Business Services . . . . .	\$247,300	. . . .
Consumer Food Services . . . . .	129,200	. . . .
<b>Total . . . . .</b>	<b>\$376,500</b>	<b>. . . .</b>

# AGRICULTURE AND MARKETS

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Agricultural Business Services . . .	\$23,515,500	+ \$945,800	\$2,579,800	+ \$1,600
Consumer Food Services . . . . .	11,561,300	+ 325,700	5,151,800	+ 301,100
State Fair . . . . .	14,140,600	+ 126,300	4,559,900	+ 96,100
Total . . . . .	\$49,217,400	+ \$1,397,800	\$12,291,500	+ \$398,800

Program	Nonpersonal Service	
	Amount	Change
Agricultural Business Services . . .	\$20,935,700	+ \$944,200
Consumer Food Services . . . . .	6,409,500	+ 24,600
State Fair . . . . .	9,580,700	+ 30,200
Total . . . . .	\$36,925,900	+ \$999,000

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$11,669,800	\$9,199,800	-\$2,470,000
Special Revenue Funds — Federal . . . . .	. . . .	3,000,000	+ 3,000,000
Total . . . . .	\$11,669,800	\$12,199,800	+ \$530,000

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Agricultural Business Services			
General Fund . . . . .	\$11,400,500	\$9,199,800	-\$2,200,700
Special Revenue Funds — Federal . . . . .	. . . .	3,000,000	+ 3,000,000
Legislative Initiatives			
General Fund . . . . .	269,300	. . . .	-269,300
Total . . . . .	\$11,669,800	\$12,199,800	+ \$530,000

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
State Fair				
Capital Projects Fund . . . . .	\$600,000	\$600,000	. . . .	\$5,847,000
Misc. Capital Projects . . . . .	850,000	2,000,000	+ \$1,150,000	850,000
Clean Water, Clean Air Implementation				
Clean Water Clean Air Implementation Fund . . . . .	467,000	478,000	+ 11,000	. . . .
Design and Construction Supervision				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	929,000
Total . . . . .	\$1,917,000	\$3,078,000	+ \$1,161,000	\$7,626,000



# ***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 which affect the State's economy.

## ***ORGANIZATION AND STAFFING***

In 1995, the Governor's Commissioner of Economic Development reorganized and streamlined the State's economic development agencies. The Department assumed responsibility for administration of the Science and Technology Foundation's programs. The Urban Development Corporation and the Job Development Authority were consolidated, and now constitute the Empire State Development Corporation. The Department and the Empire State Development Corporation remain distinct entities, but are both headed by the Commissioner of Economic Development and share senior managers who oversee administration, policy formulation and research, as well as regional office operations.

The Department of Economic Development will have a workforce of 263 in 1999-2000. The Department's central office is in Albany, with ten regional offices located in Albany, Buffalo, Rochester, Syracuse, Utica, Binghamton, Fishkill, Ogdensburg, Plainview and New York City.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

State tax dollars from the General Fund will finance 81 percent, or \$43.8 million, of the Department of Economic Development's \$54 million Budget in 1999-2000. The balance of the Department's Executive Budget will be supported by revenues raised through licensing of the "I Love NY" logo, sale of advertising in the "I Love NY Travel Guide", and through seminars and programs run by the Department which 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 to help small business comply with Clean Air Act mandates.

The 1999-2000 Budget provides:

- \$11 million for "I Love NY" tourism advertising;
- \$4.3 million for local tourism matching grants;
- \$500,000 for natural resource based tourism marketing;
- \$4.5 million for marketing and promoting the State's favorable business climate;
- \$177,000 for the Adirondack North Country Association;
- \$600,000 for economic development projects in the Catskill watershed;
- \$300,000 for the Tupper Lake Industrial Park development project; and
- \$2.9 million for local administration of Economic Development Zones, which includes funding for twelve new Zones that were designated in 1998.

## ***ECONOMIC DEVELOPMENT***

---

### ***PROGRAM HIGHLIGHTS***

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

This program promotes New York State as a premier tourist destination and business location. Major activities include the "I Love 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 manages tourist information services at the Beekmantown and Binghamton Gateway Centers, 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***

The International Trade program promotes exports from, and attracts foreign investment to, New York State. Based in New York City, this program manages the Department's international offices in Montreal, Toronto, London, and Tokyo, and contractual presences in Frankfurt and Jerusalem. The program also coordinates State participation in trade shows and missions, compiles and disseminates trade leads, and administers grants and seminars designed to encourage increased exporting.

#### ***ECONOMIC DEVELOPMENT ZONES***

The Economic Development Zones program benefits distressed areas suffering from high unemployment. Businesses located in a designated Zone may qualify for tax incentives and other economic development benefits designed to encourage business expansion and job creation. Currently, there are 52 Economic Development Zones statewide that were selected on a competitive basis. Zones are located in the following communities: Albany, Amsterdam, Auburn, Binghamton, Brookhaven, Brooklyn Navy Yard, Buffalo, Dunkirk, East New York, East Harlem, Elmira, Friendship, Fulton, Geneva, Gloversville, Griffiss Air Force Base, Hancock Air Force Base, Hunts Point, Islip, Jamestown, Kingston, Kirkwood, Lackawanna, Lowville/Martinsburg, Moriah/Port Henry, Niagara Falls, North Shore/Staten Island, Norwich, Ogdensburg, Olean/Allegany, Oswego, Plattsburgh, Plattsburgh Air Force Base, Port Morris, Potsdam, Poughkeepsie, Riverhead, Rochester, Rockaway, Rome, Schenectady, South Jamaica, Seneca Army Depot, Stewart Air Force Base, Sunset Park/Red Hook/Southwest Brooklyn, Syracuse, Tioga County, Troy, Utica, Watertown, Watervliet Arsenal, and Yonkers.

#### ***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.

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

The Division for Small Business serves as an ombudsman for small business and also offers these enterprises training and technical assistance. In addition, the Department

provides State and Federal procurement assistance to small business. The Division also operates the Clean Air Act Ombudsman Unit, which helps small business comply with these environmental regulations.

**LINKED DEPOSIT PROGRAM**

This joint public/private program enables companies 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. When fully capitalized, there will be \$150 million available for this effort.

**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.

**POLICY AND RESEARCH**

This joint Empire State Development Corporation/Department of Economic Development 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.

<b>ALL FUNDS APPROPRIATIONS</b>				
<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$37,419,900	\$40,855,700	+ \$3,435,800	\$8,775,000
Aid To Localities . . . . .	17,911,500	13,653,600	-4,257,900	4,795,000
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$55,331,400</u>	<u>\$54,509,300</u>	<u>-\$822,100</u>	<u>\$13,570,000</u>

# ECONOMIC DEVELOPMENT

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund	55	51	....	51	-4
Special Revenue Funds — Other	8	8	....	8	....
Economic Development					
General Fund	153	144	....	144	-9
Special Revenue Funds — Other	4	4	....	4	....
Marketing and Advertising Program					
General Fund	44	42	....	42	-2
Special Revenue Funds — Other	1	1	....	1	....
Science & Technology - Administration					
General Fund	9	8	....	8	-1
Clean Air					
Special Revenue Funds — Other	5	5	....	5	....
<b>Total</b>	<b>279</b>	<b>263</b>	<b>....</b>	<b>263</b>	<b>-16</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$30,999,000	\$35,195,800	+ \$4,196,800
Special Revenue Funds — Federal	1,000,000	1,000,000	....
Special Revenue Funds — Other	5,420,900	4,659,900	-761,000
<b>Total</b>	<b>\$37,419,900</b>	<b>\$40,855,700</b>	<b>+ \$3,435,800</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$3,111,000	\$3,014,000	-\$97,000
Special Revenue Funds — Other	1,833,100	1,739,900	-93,200
Economic Development			
General Fund	12,952,800	12,666,800	-286,000
Special Revenue Funds — Federal	1,000,000	1,000,000	....
Special Revenue Funds — Other	1,420,000	1,420,000	....
Marketing and Advertising Program			
General Fund	14,326,200	18,920,100	+ 4,593,900
Special Revenue Funds — Other	1,000,000	1,000,000	....
Science & Technology - Administration			
General Fund	609,000	594,900	-14,100
Clean Air			
Special Revenue Funds — Other	1,167,800	500,000	-667,800
<b>Total</b>	<b>\$37,419,900</b>	<b>\$40,855,700</b>	<b>+ \$3,435,800</b>

## ECONOMIC DEVELOPMENT

### STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$2,070,000	-\$97,000	\$2,041,800	-\$97,000	\$28,200	. . . .
Economic Development . . . . .	7,545,000	-286,000	7,514,000	-286,000	31,000	. . . .
Marketing and Advertising Program . . . .	1,736,900	-79,100	1,722,400	-79,100	14,500	. . . .
Science & Technology - Administration . .	320,900	-14,100	320,900	-14,100	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$11,672,800</b>	<b>-\$476,200</b>	<b>\$11,599,100</b>	<b>-\$476,200</b>	<b>\$73,700</b>	<b>. . . .</b>

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$944,000	. . . .	\$110,000	. . . .
Economic Development . . . . .	5,121,800	. . . .	131,000	. . . .
Marketing and Advertising Program . . . . .	17,183,200	+ \$4,673,000	31,000	. . . .
Science & Technology - Administration . . . . .	274,000	. . . .	8,000	. . . .
<b>Total . . . . .</b>	<b>\$23,523,000</b>	<b>+ \$4,673,000</b>	<b>\$280,000</b>	<b>. . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$42,000	. . . .	\$749,000	. . . .
Economic Development . . . . .	274,000	. . . .	3,092,000	. . . .
Marketing and Advertising Program . . . . .	39,400	. . . .	750,000	. . . .
Science & Technology - Administration . . . . .	19,000	. . . .	244,000	. . . .
<b>Total . . . . .</b>	<b>\$374,400</b>	<b>. . . .</b>	<b>\$4,835,000</b>	<b>. . . .</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$43,000	. . . .	. . . .	. . . .
Economic Development . . . . .	153,000	. . . .	\$1,471,800	. . . .
Marketing and Advertising Program . . . . .	800	. . . .	16,362,000	+ \$4,673,000
Science & Technology - Administration . . . . .	3,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$199,800</b>	<b>. . . .</b>	<b>\$17,833,800</b>	<b>+ \$4,673,000</b>

# ECONOMIC DEVELOPMENT

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,739,900	-\$93,200	\$487,100	-\$56,000
Economic Development . . . . .	2,420,000	. . . . .	130,000	. . . . .
Marketing and Advertising Program . . . . .	1,000,000	. . . . .	70,000	. . . . .
Clean Air . . . . .	500,000	-667,800	195,000	-260,300
<b>Total . . . . .</b>	<b>\$5,659,900</b>	<b>-\$761,000</b>	<b>\$882,100</b>	<b>-\$316,300</b>

Program	Nonpersonal Service		Maintenance Amount	Undistributed Change
	Amount	Change		
Administration . . . . .	\$1,252,800	-\$37,200	. . . . .	. . . . .
Economic Development . . . . .	2,220,000	. . . . .	\$70,000	. . . . .
Marketing and Advertising Program . . . . .	930,000	. . . . .	. . . . .	. . . . .
Clean Air . . . . .	305,000	-407,500	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$4,707,800</b>	<b>-\$444,700</b>	<b>\$70,000</b>	<b>. . . . .</b>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$12,911,500	\$8,653,600	-\$4,257,900
Special Revenue Funds — Federal . . . . .	5,000,000	5,000,000	. . . . .
<b>Total . . . . .</b>	<b>\$17,911,500</b>	<b>\$13,653,600</b>	<b>-\$4,257,900</b>
Adjustments:			
Transfer(s) To			
State University of New York			
General Fund . . . . .	+ 333,000		
Appropriated 1998-99 . . . . .	<b>\$18,244,500</b>		

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Economic Development			
General Fund . . . . .	\$5,904,000	\$3,977,000	-\$1,927,000
Marketing and Advertising Program			
General Fund . . . . .	4,676,600	4,676,600	. . . . .
Science and Technology			
Special Revenue Funds — Federal . . . . .	5,000,000	5,000,000	. . . . .
Legislative Initiatives			
General Fund . . . . .	2,330,900	. . . . .	-2,330,900
<b>Total . . . . .</b>	<b>\$17,911,500</b>	<b>\$13,653,600</b>	<b>-\$4,257,900</b>

# ***EMPIRE STATE DEVELOPMENT CORPORATION***

## ***MISSION***

The Empire State Development Corporation (ESDC) — formerly the Urban Development Corporation (UDC) — is a New York State public benefit corporation. It is engaged in four principal activities: economic and real estate development; State facility financing; housing portfolio maintenance; and privatization initiatives.

## ***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 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 appropriations by the State.

## ***HOUSING PORTFOLIO MAINTENANCE***

In the early 1970's, 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-1970's, activity in this area has been limited to the monitoring and loan servicing of projects.

## ***PRIVATIZATION INITIATIVES***

The Corporation is charged with facilitating efforts by State agencies and authorities to privatize State functions and assets.

## ***ORGANIZATION AND STAFFING***

In 1995, the Governor's Commissioner of Economic Development reorganized and streamlined the State's economic development agencies, including the Urban Development Corporation, the Department of Economic Development (DED), the Job Development Authority (JDA) and the Science and Technology Foundation (STF). The Corporation now encompasses both UDC and JDA, and DED now administers STF programs. The Department of Economic Development and the Empire State Development Corporation remain distinct entities, but both are headed by the Commissioner of Economic Development and share senior managers. The Corporation will have a workforce of 317 in 1999-2000. From the Corporation's central office in New York City, a Chief Operating Officer is responsible for day-to-day operations. The Corporation and Department of Economic Development share ten regional offices.

# ***EMPIRE STATE DEVELOPMENT CORPORATION***

---

## ***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 Chair of the Empire State Development Corporation Board is selected by the Governor and also serves as the Commissioner of Economic Development. 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) formulate policies and initiatives to promote economic growth in Harlem; (2) redevelop Times Square, including the condemnation and acquisition of blighted properties and recruitment of prospective tenants; (3) plan and oversee a mixed-use development on 74.5 acres on the East River in Queens County; and (4) redevelop the U.S. Postal Service facility known as the Farley Building in connection with the New York City Amtrak Train Station Redevelopment project.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

- The Empire State Development Corporation's activities are funded from State General Fund appropriations and corporate revenues generated by Corporation-owned residential and non-residential properties and by its financing programs. The Corporation's operating budget will be entirely supported by corporate revenues in 1999-2000.
- The Executive Budget will provide \$117 million in support for economic development initiatives, including: the JOBS NOW program for large-scale projects which will create new jobs; the Empire State Economic Development Fund for projects that create or retain jobs; the Urban and Community Development and Minority- and Women-Owned Business Development and Lending programs; military base re-use and retention initiatives; projects in the Upper Manhattan/South Bronx Empowerment Zone; and construction of a new trading center for the New York Stock Exchange.

## ***PROGRAM HIGHLIGHTS***

The Empire State Development Corporation administers economic development programs which:

- Provide low-cost loans and grants to businesses to help cover the cost of machinery and equipment purchases, factory improvements, training and business incubator development;
- Provide financial assistance for projects ranging from development of or improvements to commercial or retail facilities, tourism destinations, child care facilities, and commercial centers;
- Assist minority- and women-owned businesses, including programs administered in cooperation with local development organizations and community-based financial institutions;
- Provide funding for the economic development initiatives in distressed urban communities; and
- Provide funding for military base retention and redevelopment efforts.

# EMPIRE STATE DEVELOPMENT CORPORATION

## ALL FUNDS APPROPRIATIONS

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Aid To Localities . . . . .	\$135,767,600	\$117,004,100	-\$18,763,500	\$12,600,000
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	350,000,000
<b>Total . . . . .</b>	<b><u>\$135,767,600</u></b>	<b><u>\$117,004,100</u></b>	<b><u>-\$18,763,500</u></b>	<b><u>\$362,600,000</u></b>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$135,767,600	\$117,004,100	-\$18,763,500
<b>Total . . . . .</b>	<b><u>\$135,767,600</u></b>	<b><u>\$117,004,100</u></b>	<b><u>-\$18,763,500</u></b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Payments to Municipalities General Fund . . . . .	\$4,100	\$4,100	. . . . .
Economic Development General Fund . . . . .	135,763,500	117,000,000	-\$18,763,500
<b>Total . . . . .</b>	<b><u>\$135,767,600</u></b>	<b><u>\$117,004,100</u></b>	<b><u>-\$18,763,500</u></b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Regional Development Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	\$350,000,000
<b>Total . . . . .</b>	<b><u>. . . . .</u></b>	<b><u>. . . . .</u></b>	<b><u>. . . . .</u></b>	<b><u>\$350,000,000</u></b>



# **ENERGY RESEARCH AND DEVELOPMENT AUTHORITY**

## **MISSION**

The Energy Research and Development Authority 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. The Authority's programs strengthen New York's economic base by nurturing the growth of new products and industries and helping businesses reduce their costs. Projects are selected on a competitive basis to promote applied research on State energy problems. The Energy Research and Development Authority administers Federal grant programs which help businesses, schools and hospitals implement energy efficiency measures. It also issues tax-exempt bonds on behalf of investor-owned utilities for capital improvements. In 1998, the Authority was named administrator of the System Benefits Charge, intended to fund energy programs for the public during the transition to a fully competitive energy market. Programs will focus on low-income consumers, energy efficiency, research, development and environmental protection.

The Authority also manages the former nuclear fuel reprocessing plant at West Valley in Cattaraugus County and the Malta Rocket Fuel Area Superfund Site in Saratoga County.

## **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: 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.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Energy Research and Development Authority is partially funded by assessments on State public utility gross intrastate operating receipts. The 1999-2000 Budget recommends nearly \$15 million in appropriations for the Authority's energy, research and development programs and \$12.5 million for ongoing work at West Valley. The Authority will also continue to administer the Federal Petroleum Overcharge Recovery Program.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$18,206,000	\$17,906,000	-\$300,000	\$3,772,000
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	12,317,000	12,617,000	+ 300,000	. . . . .
Total . . . . .	<u>\$30,523,000</u>	<u>\$30,523,000</u>	<u>. . . . .</u>	<u>\$3,772,000</u>

# ENERGY RESEARCH AND DEVELOPMENT

---

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Federal . . . . .	\$2,200,000	\$3,000,000	+ \$800,000
Special Revenue Funds — Other . . . . .	16,006,000	14,906,000	-1,100,000
Total . . . . .	\$18,206,000	\$17,906,000	-\$300,000

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Research, Development and Demonstration Special Revenue Funds — Other . . . . .	\$16,006,000	\$14,906,000	-\$1,100,000
Planning and Operation Special Revenue Funds — Federal . . . . .	2,200,000	3,000,000	+ 800,000
Total . . . . .	\$18,206,000	\$17,906,000	-\$300,000

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Maintenance Undistributed	
	Amount	Change	Amount	Change
Research, Development and Demonstration . . . . .	\$14,906,000	-\$1,100,000	\$14,906,000	-\$1,100,000
Planning and Operation . . . . .	3,000,000	+ 800,000	3,000,000	+ 800,000
Total . . . . .	\$17,906,000	-\$300,000	\$17,906,000	-\$300,000

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Western New York Nuclear Service Center Program Capital Projects Fund . . . . .	\$12,200,000	\$12,500,000	+ \$300,000	. . . .
Clean Water, Clean Air Implementation Clean Water Clean Air Implementation Fund . . . . .	117,000	117,000	. . . .	. . . .
Total . . . . .	\$12,317,000	\$12,617,000	+ \$300,000	. . . .

# ***DEPARTMENT OF ENVIRONMENTAL CONSERVATION***

## ***MISSION***

The Department of Environmental Conservation is charged with the responsibility to conserve, improve and protect 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 the implementation of the \$1.75 billion Clean Water/Clean Air Bond Act, which was overwhelmingly approved by the voters in 1996.

## ***ORGANIZATION AND STAFFING***

The Department is headed by a Commissioner, appointed by the Governor. The Department's Central Office is in Albany, with regional offices in Buffalo, Watertown, Avon, Syracuse, Long Island City, Ray Brook, Schenectady, New Paltz and Stony Brook. These regional offices are the operational arms of the Department. They 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 assure compliance with State and Federal environmental statutes, consistent with policy and management direction from program divisions in the Central Office.

The Department will have a workforce of 3,909 in 1999-2000. Approximately 39 percent of these positions are paid by State tax dollars from the General Fund; 46 percent are supported by State-imposed fees and other revenues and the remaining 15 percent are financed by Federal grants.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 1999-2000 Executive Budget recommends funding of more than \$1 billion for the Department of Environmental Conservation, including \$118.8 million in General Fund support. This recommendation will support the Department's core mission and ensure funding for ongoing priority projects.

General Fund appropriations will finance 26 percent of the Department of Environmental Conservation's operations in 1999-2000. Fees and license revenues will support 56 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 18 percent of the Department's budget.

The Environmental Protection Fund (EPF), established in 1993, will continue to provide dedicated resources of \$125 million to support environmental programs, including open space protection, local landfill closure and recycling programs, municipal park and waterfront revitalization projects, and farmland preservation and non-point source pollution control projects. The Fund is supported by revenues from the sale/lease of State property (\$5 million), conservation license plates (\$1.5 million), the real estate transfer tax (\$112 million), and other revenues (\$6.5 million).

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), Environmental Restoration Projects (\$200 million), Solid Waste Projects (\$175 million) and Air Quality Projects (\$230 million).

The Clean Air Fund, first established in 1993-94, 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

## ***ENVIRONMENTAL CONSERVATION***

---

fees and fees on regulated pollutants emitted by factories, power plants and other stationary source facilities. In 1999-2000, fees that support the stationary source program will be increased to support the program requirements. Additionally, the mobile source program will be expanded to include the roadside inspection of heavy duty trucks and vehicles and will be supported by an increase in registration fees for heavy duty trucks and buses.

General Fund appropriations will support the preservation and maintenance of the State's dams, bridges, regional facilities, maintenance centers, and the 20 percent match required for Federal grants provided through the State Revolving Fund, which provides low-cost loans to municipalities for water pollution control projects. 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 1999-2000 Executive Budget provides more than \$1 billion to support the Department's critical environmental, resource management and recreation programs. Specific actions include:

- \$233 million from the Clean Water/Clean Air Bond Act for priority projects to restore brownfields, improve our air and water resources and support local landfill closure/recycling efforts. With the \$50 million included in the Department of Health and the \$789 million available from appropriations made from 1996-97 through 1998-99, a total of \$1.07 billion will be provided for Bond Act projects through 1999-2000.
- \$125 million in new funding from the Environmental Protection Fund (EPF) to provide resources to address such high priority programs as Watershed land purchases, implementation of the Hudson River Estuary Management Plan, stewardship projects at State parks and lands and the Hudson River Park project. Other projects funded by the EPF in 1999-2000 include: land acquisition; landfill closure; local waste reduction/recycling and marketing of recycled materials; municipal park grants; local waterfront revitalization projects, non-point source water pollution control projects; farmland protection; and the development and operation of the Pesticide Sales and Use Database; and the Albany Pine Bush Commission, biodiversity stewardship, and Long Island Pine Barrens/South Shore Estuary Reserve planning.
- \$34.5 million from available 1998-99 EPF revenues for the Hudson River Estuary, waterfront revitalization, historic preservation and stewardship projects.
- \$1.6 million to implement the New York City Watershed Agreement. These funds will support State enforcement and monitoring efforts in the Watershed area and the provision of technical assistance to participating Watershed communities.
- \$505.6 million in new and reappropriated funds from the 1986 Environmental Quality Bond Act for the cleanup of inactive hazardous waste sites and municipal landfill closures.
- \$134.4 million in new State and Federal funds for the State Revolving Fund low-interest loan program to build and rehabilitate municipal sewage treatment facilities.
- \$36.3 million to support the programs of the Conservation Fund. In 1999-2000, an increase in licensing fees will be required to meet continuing program needs.
- \$22.2 million in new funding for basic capital infrastructure projects to ensure health, safety and compliance with State and Federal laws and environmental requirements.
- \$27.8 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 require permits for major stationary sources of air pollution. In 1999-2000, a new program to control air pollution from heavy duty vehicles will begin.

## ***ENVIRONMENTAL CONSERVATION***

---

- \$353 million to support the operations of the Department, including a workforce of 3,909.
- \$1.6 million for the costs of operating an Environmental Conservation Academy to train 50 new Environmental Conservation Officers and Forest Rangers.
- \$2 million in new funding for capital projects to enhance natural resource based tourism activities, including interpretive and other facilities.

The 1999-00 Executive Budget also recommends the establishment of a dedicated Hudson River Trust Account — within the EPF — that will support restoration and protection projects to implement the Hudson River Estuary Plan.

### ***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.

Since 1995-96, the Department has restructured its operations to eliminate redundant management layers and refocused its attention on those activities that present the greatest environmental risk. 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 can be 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 the operation of 12 fish hatcheries, 2 game farms and 260 boat launching and fishing access sites. The primary source of funding for this program is sporting license fees (approximately \$32 million) annually deposited to the Conservation Fund.

The Lands and Forests program manages the more than 4 million acres of State land under the Department's jurisdiction, including nearly 3 million acres of State-owned land within the Adirondack and Catskill parks. Revenues from the sale of forest products from State lands help offset program costs. The State Forest Ranger force is charged with firefighting, search and rescue and enforcing rules, regulations and laws on State land.

The Mineral Resources program regulates the State's oil and gas wells and oversees the mined land reclamation program. This program is focused on returning land used for mining to a productive use through technical and environmental reviews of new and existing mined lands.

The Department also operates 51 campgrounds and 23 day-use areas within the Adirondack and Catskill parks, as well as the Belleayre Mountain Ski Center. Those recreational facilities serve approximately 2 million visitors annually, generating tourist trade to their host communities. Camping and skiing user fees are intended to fully support facility operations.

### ***ENVIRONMENTAL QUALITY/REMEDIATION***

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

## ***ENVIRONMENTAL CONSERVATION***

---

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. Since 1982, the Department has ordered the closing of over 450 landfills that posed an imminent threat to the environment. This has created a significant financial burden for municipalities who must bear the cost of landfill closure. The Clean Water/Clean Air Bond Act will provide additional resources to augment those provided from the 1986 Environmental Quality Bond Act (EQBA) and the Environmental Protection Fund to help municipalities defray these costs.

The 1990 amendments to the Federal Clean Air Act imposed sweeping new mandates on the State. While the cost of complying with the Act is expected to be significant, the cost of non-compliance would be equally 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 2-for-1 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 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 travel and inspect vehicle emission systems — all Federal requirements. In 1997-98, the State began implementation of a decentralized vehicle emission testing system mandated by the Federal Clean Air Act. New York's system is more convenient and less costly to motorists than other Federally approved testing systems, while still reducing air pollution. This decentralized and simpler testing program allows motorists to visit their local automotive service stations to have emissions inspections performed. In 1999-2000, the new Heavy Duty Inspection and Maintenance Program will begin and be supported by registration fees.

The 1986 Environmental Quality Bond Act 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. In response to New York's enforcement actions, violators have been required to commit more than \$2.6 billion for the investigation and remediation of identified inactive hazardous waste sites. This is in addition to the \$736 million spent from Bond Act funds to investigate and remediate 924 toxic waste sites.

## ***ENVIRONMENTAL ENFORCEMENT/REGULATION***

Since the Department of Environmental Conservation was created in 1970, more than 1,000 Federal and State laws have been enacted which require the Department to enforce and regulate a myriad of activities undertaken by businesses, local governments and individuals which 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's Environmental Conservation Officers work closely with other staff to ensure that environmental laws and regulations are enforced.

Over the last three years, 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.

# ENVIRONMENTAL CONSERVATION

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$348,808,200	\$351,986,000	+ \$3,177,800	\$130,501,900
Aid To Localities . . . . .	2,475,602	532,800	-1,942,802	600,000
Capital Projects . . . . .	553,419,000	663,597,000	+ 110,178,000	4,203,608,000
<b>Total . . . . .</b>	<b>\$904,702,802</b>	<b>\$1,016,115,800</b>	<b>+ \$111,412,998</b>	<b>\$4,334,709,900</b>

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
<b>Administration</b>					
General Fund . . . . .	122	122	. . . .	122	. . . .
Special Revenue Funds — Federal . . . . .	183	183	. . . .	183	. . . .
Special Revenue Funds — Other . . . . .	16	16	. . . .	16	. . . .
<b>Operations</b>					
General Fund . . . . .	395	395	. . . .	395	. . . .
Special Revenue Funds — Other . . . . .	73	73	. . . .	73	. . . .
<b>Air and Water Quality Management</b>					
General Fund . . . . .	162	162	. . . .	162	. . . .
Special Revenue Funds — Federal . . . . .	208	208	. . . .	208	. . . .
Special Revenue Funds — Other . . . . .	449	449	. . . .	449	. . . .
<b>Solid and Hazardous Waste Management</b>					
General Fund . . . . .	190	190	. . . .	190	. . . .
Special Revenue Funds — Federal . . . . .	82	82	. . . .	82	. . . .
Special Revenue Funds — Other . . . . .	514	514	. . . .	514	. . . .
<b>Environmental Enforcement</b>					
General Fund . . . . .	205	235	. . . .	235	+ 30
Special Revenue Funds — Other . . . . .	288	258	. . . .	258	-30
<b>Fish, Wildlife and Marine Resources</b>					
General Fund . . . . .	87	96	. . . .	96	+ 9
Special Revenue Funds — Federal . . . . .	91	91	. . . .	91	. . . .
Special Revenue Funds — Other . . . . .	308	308	. . . .	308	. . . .
<b>Forest and Land Resources</b>					
General Fund . . . . .	262	262	. . . .	262	. . . .
Special Revenue Funds — Federal . . . . .	14	14	. . . .	14	. . . .
Special Revenue Funds — Other . . . . .	102	102	. . . .	102	. . . .
<b>Clean Water/Clean Air Administration Program</b>					
Capital Project Funds . . . . .	95	95	. . . .	95	. . . .
<b>Rehabilitation and Improvement</b>					
Capital Project Funds . . . . .	54	54	. . . .	54	. . . .
<b>Total . . . . .</b>	<b>3,900</b>	<b>3,909</b>	<b>. . . .</b>	<b>3,909</b>	<b>+ 9</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$88,201,100	\$91,364,700	+ \$3,163,600
Special Revenue Funds — Federal . . . . .	60,950,100	63,993,100	+ 3,043,000
Special Revenue Funds — Other . . . . .	199,657,000	196,628,200	-3,028,800
<b>Total . . . . .</b>	<b>\$348,808,200</b>	<b>\$351,986,000</b>	<b>+ \$3,177,800</b>
<b>Adjustments:</b>			
Transfer(s) To			
Environmental Facilities Corporation			
Special Revenue Funds — Other . . . . .	+ 258,200		
Appropriated 1998-99 . . . . .	\$349,066,400		

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$7,333,700	\$7,474,100	+ \$140,400
Special Revenue Funds — Federal . . . . .	9,405,100	9,704,000	+ 298,900
Special Revenue Funds — Other . . . . .	1,819,500	1,855,300	+ 35,800
Operations			
General Fund . . . . .	25,974,500	26,755,200	+ 780,700
Special Revenue Funds — Other . . . . .	13,972,100	14,031,000	+ 58,900
Air and Water Quality Management			
General Fund . . . . .	10,790,700	10,377,500	-413,200
Special Revenue Funds — Federal . . . . .	27,040,000	29,027,500	+ 1,987,500
Special Revenue Funds — Other . . . . .	63,008,500	63,238,200	+ 229,700
Solid and Hazardous Waste Management			
General Fund . . . . .	15,727,400	10,544,900	-5,182,500
Special Revenue Funds — Federal . . . . .	6,443,000	6,457,600	+ 14,600
Special Revenue Funds — Other . . . . .	54,929,900	53,591,300	-1,338,600
Environmental Enforcement			
General Fund . . . . .	11,808,100	15,746,800	+ 3,938,700
Special Revenue Funds — Other . . . . .	26,654,700	24,508,200	-2,146,500
Fish, Wildlife and Marine Resources			
General Fund . . . . .	5,611,900	6,177,100	+ 565,200
Special Revenue Funds — Federal . . . . .	15,341,700	14,834,800	-506,900
Special Revenue Funds — Other . . . . .	24,025,600	24,378,200	+ 352,600
Forest and Land Resources			
General Fund . . . . .	13,954,800	14,289,100	+ 334,300
Special Revenue Funds — Federal . . . . .	2,720,300	3,969,200	+ 1,248,900
Special Revenue Funds — Other . . . . .	15,246,700	15,026,000	-220,700
Maintenance Undistributed			
General Fund . . . . .	-3,000,000	. . . .	+ 3,000,000
Total . . . . .	<u>\$348,808,200</u>	<u>\$351,986,000</u>	<u>+ \$3,177,800</u>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$6,127,300	+ \$129,300	\$5,870,800	+ \$120,000	\$223,500	+ \$7,800
Operations . . . . .	15,766,500	+ 247,800	14,713,100	+ 209,800	968,100	+ 34,000
Air and Water Quality Management . . . .	9,159,100	-68,100	9,056,000	-72,300	54,700	+ 1,900
Solid and Hazardous Waste Management . .	9,214,900	-226,000	9,025,600	-233,700	97,200	+ 3,400
Environmental Enforcement . . . . .	12,171,400	+ 2,259,400	10,281,600	+ 2,181,200	. . . . .	. . . . .
Fish, Wildlife and Marine Resources . . .	4,201,400	-1,000	3,979,000	-9,100	195,400	+ 6,900
Forest and Land Resources . . . . .	12,958,100	+ 257,400	11,629,300	+ 202,000	541,900	+ 19,000
<b>Total . . . . .</b>	<b>\$69,598,700</b>	<b>+ \$2,598,800</b>	<b>\$64,555,400</b>	<b>+ \$2,397,900</b>	<b>\$2,080,800</b>	<b>+ \$73,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$33,000	+ \$1,500
Operations . . . . .	85,300	+ 4,000
Air and Water Quality Management . . . .	48,400	+ 2,300
Solid and Hazardous Waste Management . .	92,100	+ 4,300
Environmental Enforcement . . . . .	1,889,800	+ 78,200
Fish, Wildlife and Marine Resources . . .	27,000	+ 1,200
Forest and Land Resources . . . . .	786,900	+ 36,400
<b>Total . . . . .</b>	<b>\$2,962,500</b>	<b>+ \$127,900</b>

# ENVIRONMENTAL CONSERVATION

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration . . . . .	\$1,346,800		+\$11,100	\$257,400	+\$400
Operations . . . . .	10,988,700		+ 532,900	878,200	+ 82,000
Air and Water Quality					
Management . . . . .	1,218,400		-272,100	279,400	+ 13,400
Solid and Hazardous Waste					
Management . . . . .	1,330,000		-4,956,500	3,500	. . . . .
Environmental Enforcement . . . . .	3,575,400		+ 1,679,300	92,300	. . . . .
Fish, Wildlife and Marine					
Resources . . . . .	1,975,700		+ 566,200	161,000	. . . . .
Forest and Land Resources . . . . .	1,331,000		+ 76,900	390,000	+ 9,000
Maintenance Undistributed . . . . .	. . . . .		+ 3,000,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$21,766,000</b>		<b>+ \$637,800</b>	<b>\$2,061,800</b>	<b>+ \$104,800</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration . . . . .	\$83,900		+\$6,700	\$987,400	+\$4,000
Operations . . . . .	826,200		+ 488,100	5,814,600	-2,837,200
Air and Water Quality					
Management . . . . .	174,300		+ 12,800	379,000	+ 1,700
Solid and Hazardous Waste					
Management . . . . .	3,300		+ 500	4,400	+ 500
Environmental Enforcement . . . . .	263,400		+ 31,900	10,200	. . . . .
Fish, Wildlife and Marine					
Resources . . . . .	273,200		+ 36,200	976,000	+ 40,000
Forest and Land Resources . . . . .	547,100		+ 67,000	292,300	+ 900
Maintenance Undistributed . . . . .	. . . . .		. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$2,171,400</b>		<b>+ \$643,200</b>	<b>\$8,463,900</b>	<b>-\$2,790,100</b>

Program	Amount	Equipment		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration . . . . .	\$18,100		. . . . .	. . . . .	. . . . .
Operations . . . . .	669,700		. . . . .	\$2,800,000	+ \$2,800,000
Air and Water Quality					
Management . . . . .	159,100		. . . . .	226,600	-300,000
Solid and Hazardous Waste					
Management . . . . .	1,600		. . . . .	1,317,200	-4,957,500
Environmental Enforcement . . . . .	20,500		. . . . .	3,189,000	+ 1,647,400
Fish, Wildlife and Marine					
Resources . . . . .	75,500		. . . . .	490,000	+ 490,000
Forest and Land Resources . . . . .	101,600		. . . . .	. . . . .	. . . . .
Maintenance Undistributed . . . . .	. . . . .		. . . . .	. . . . .	+ 3,000,000
<b>Total . . . . .</b>	<b>\$1,046,100</b>		<b>    . . . . .</b>	<b>\$8,022,800</b>	<b>+ \$2,679,900</b>

# ENVIRONMENTAL CONSERVATION

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$11,559,300	+ \$334,700	\$8,134,300	-\$1,231,000
Operations . . . . .	14,031,000	+ 58,900	3,253,400	-7,100
Air and Water Quality Management . . . . .	92,265,700	+ 2,217,200	35,687,600	+ 1,108,400
Solid and Hazardous Waste Management . . . . .	60,048,900	-1,324,000	22,508,700	+ 40,600
Environmental Enforcement . . . . .	24,508,200	-2,146,500	14,498,100	-1,627,100
Fish, Wildlife and Marine Resources . . . . .	39,213,000	-154,300	18,901,600	-62,500
Forest and Land Resources . . . . .	18,995,200	+ 1,028,200	10,808,300	+ 1,045,900
Total . . . . .	\$260,621,300	+ \$14,200	\$113,792,000	-\$732,800

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$3,425,000	+ \$1,565,700	. . . . .	. . . . .
Operations . . . . .	10,754,600	+ 66,000	\$23,000	. . . . .
Air and Water Quality Management . . . . .	31,086,300	+ 1,108,800	25,491,800	. . . . .
Solid and Hazardous Waste Management . . . . .	12,091,100	-1,412,400	25,449,100	+ \$47,800
Environmental Enforcement . . . . .	9,510,100	-519,400	500,000	. . . . .
Fish, Wildlife and Marine Resources . . . . .	18,850,400	+ 408,200	1,461,000	-500,000
Forest and Land Resources . . . . .	7,466,900	-137,700	720,000	+ 120,000
Total . . . . .	\$93,184,400	+ \$1,079,200	\$53,644,900	-\$332,200

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,475,602	\$532,800	-\$1,942,802
Total . . . . .	\$2,475,602	\$532,800	-\$1,942,802

### AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration General Fund . . . . .	\$815,600	\$6,300	-\$809,300
Air and Water Quality Management General Fund . . . . .	526,500	526,500	. . . . .
Other Community Projects General Fund . . . . .	1,133,502	. . . . .	-1,133,502
Total . . . . .	\$2,475,602	\$532,800	-\$1,942,802

# ENVIRONMENTAL CONSERVATION

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Air Resources - EQBA				
Capital Projects Fund - EQBA (Bondable)				\$41,708,000
Environmental Quality Bond Act Fund				
Environmental Quality Bond Act Fund - 1986				544,090,000
Air Quality Projects				
Clean Air Fund				2,619,000
State Air Quality Projects				
Capital Projects Fund - EQBA (Bondable)				1,137,000
Water Resources - PWBA				
Capital Projects Fund - PWBA (Bondable)				35,175,000
Solid Waste Management				
Capital Projects Fund		\$495,000	+ \$495,000	
Capital Projects Fund - Advances				2,483,000
Federal Capital Projects Fund				38,153,000
Environmental Protection and Enhancements				
Environmental Protection Fund		34,475,000	+ 34,475,000	
Environment and Recreation				
Environmental Protection Fund	\$90,525,000	125,000,000	+ 34,475,000	228,649,000
Fish and Wildlife				
Capital Projects Fund	500,000	500,000		1,294,000
Federal Capital Projects Fund	1,400,000		-1,400,000	4,424,000
Hudson River Habitat Restor. Fund				351,000
Lands and Forests				
Capital Projects Fund	3,900,000	4,950,000	+ 1,050,000	16,670,000
Forest Preserve Expansion Fund				161,000
Water Resources - EQBA				
Capital Projects Fund - EQBA (Bondable)				9,900,000
Air Resources				
Capital Projects Fund	2,250,000		-2,250,000	5,685,000
Clean Air Fund	5,500,000	3,000,000	-2,500,000	7,223,000
Administration				
Capital Projects Fund	1,000,000	500,000	-500,000	1,255,000
Federal Capital Projects Fund				175,000
Enterprise Fund				175,000
Lands and Forests - EQBA				
Capital Projects Fund - EQBA (Bondable)				658,000
Environmental Quality Protection Bond Fund				
Environmental Quality Protection Bond Fund				109,199,000
96 Clean Water/Air Bond Act Fund				
Clean Water, Clean Air Bond Fund				1,585,527,000
Pure Waters Bond Fund				
Pure Waters Bond Fund				35,196,000
Recreation				
Capital Projects Fund	650,000	2,650,000	+ 2,000,000	2,677,000
Solid Waste Management - EQBA				
Capital Projects Fund - EQBA (Bondable)				40,048,000
Operations				
Capital Projects Fund	6,300,000	9,550,000	+ 3,250,000	13,570,000
Natural Resource Damages Fund				11,201,000
Financial Security Fund				1,983,000
Water Resources				
Capital Projects Fund	27,874,000	30,634,000	+ 2,760,000	103,007,000
Capital Projects Fund - Advances	3,290,000	3,170,000	-120,000	14,314,000
Federal Capital Projects Fund	101,203,000	112,021,000	+ 10,818,000	275,010,000
Clean Water, Clean Air Implementation				
Clean Water Clean Air Implementation Fund	6,027,000	6,027,000		6,027,000
Air Quality - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	44,000,000	37,000,000	-7,000,000	88,457,000
Clean Water - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	164,000,000	172,000,000	+ 8,000,000	296,965,000
Solid Waste - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	25,000,000	14,000,000	-11,000,000	82,682,000
Environmental Restoration - Clean Water/Clean Air 96				
Capital Projects Fund - 1996 CWA (Bondable)	10,000,000	10,000,000		79,715,000
Solid and Hazardous Waste Management - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)	30,000,000	37,625,000	+ 7,625,000	468,022,000
Lands and Forests - EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable)				374,000

## ***ENVIRONMENTAL CONSERVATION***

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Solid and Hazardous Waste Management				
Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	2,706,000
Capital Projects Fund - Advances . . . . .	30,000,000	60,000,000	+ 30,000,000	41,491,000
Design and Construction Supervision				
Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	16,000
Marine Resources				
Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	391,000
Federal Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	3,045,000
<u>Total . . . . .</u>	<u>\$553,419,000</u>	<u>\$663,597,000</u>	<u>+ \$110,178,000</u>	<u>\$4,203,608,000</u>
Adjustments:				
Court of Claims . . . . .	<u>-3,400,000</u>			
Appropriated for Fiscal 1998-99 . . . . .	<u>\$550,019,000</u>			



# ***ENVIRONMENTAL FACILITIES CORPORATION***

## ***MISSION***

The Environmental Facilities Corporation is a public benefit corporation established to help local governments, state agencies and private industry comply with State and Federal environmental laws and regulations. The Corporation works with these entities to design, construct, operate and finance air pollution control, water and waste water treatment, and solid and hazardous waste disposal facilities. The Environmental Facilities Corporation's largest program is the Clean Water State Revolving Loan Fund, which provides low-interest rate loans to municipalities to construct water pollution control facilities. The Corporation, in conjunction with the New York State Department of Health, jointly administers the Drinking Water State Revolving Loan Fund. Funding for these programs is provided by a Federal grant and a corresponding State match. The State match for the Drinking Water Revolving Loan Fund is provided from the Clean Water/Clean Air Bond Act. Administration of these programs is also supported by fees and interest generated through program operations.

## ***ORGANIZATION AND STAFFING***

The Environmental Facilities Corporation is governed by a seven-member Board of Directors who serve without compensation: the Commissioner of Environmental Conservation who serves as the chairman, the Commissioner of Health, the Secretary of State, and four members nominated to six-year terms by the Governor with Senate confirmation.

The Corporation is operated by a President appointed by the Board of Directors and has a workforce of 118, including 16 staff of the Department of Environmental Conservation who are assigned administratively to the Corporation.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The operations of the Environmental Facilities Corporation are funded by:

- Financing fees and annual fees charged to municipalities 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.

A total of \$7,162,800 is provided in 1999-2000 for the Corporation. State funds are also included in the Department of Environmental Conservation's and the Department of Health's budgets for the required match to Federal funding for the Clean Water State Revolving Loan Fund and Drinking Water State Revolving Loan Fund programs.

## ***PROGRAM HIGHLIGHTS***

The Environmental Facilities Corporation currently administers five major programs: the two State Revolving Loan Funds, Industrial Finance and Technical Advisory Services and the Clean Water/Clean Air Bond Act's small business environmental compliance assistance programs.

## ***ENVIRONMENTAL FACILITIES***

---

### ***CLEAN WATER STATE REVOLVING LOAN FUND***

This program was established in 1989 to help municipalities comply with the Federal Clean Water Act by providing low-interest rate loans to build water pollution control facilities. The program is supported by Federal and State appropriations which total \$1.8 billion and \$360 million, respectively, since 1989. The State Revolving Fund has made loans totaling \$4.1 billion to 290 municipalities 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 loans substantially reduce the cost of water pollution control projects for municipal borrowers making environmental compliance and protection more attainable.

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

In 1996, Congress enacted Federal authorizing legislation for the Drinking Water State Revolving Loan Fund program. This program, modeled after the Clean Water State Revolving Loan Fund program, provides low interest rate loans 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. Federal funding provided for the Drinking Water State Revolving Loan Fund requires a 20 percent State match. In 1999-2000, the program is supported by \$178.4 million in Federal awards, requiring a State match of \$35.7 million. The State's share of the Drinking Water State Revolving Loan Fund will be provided from the Clean Water/Clean Air Bond Act.

### ***INDUSTRIAL FINANCE PROGRAM***

Since 1976, the Industrial Finance Program has provided more than \$910 million in low-interest rate loans and \$188 million in loan refinancing to businesses and State agencies for environmental improvement projects. Projects eligible for loans include solid waste management facilities, hazardous waste site remediation, and water supply and waste water management facilities. Loans under the program are financed from the proceeds of special obligation bonds issued by the Corporation.

### ***TECHNICAL ADVISORY SERVICES***

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 issues such as air pollution control; treatment, storage and disposal of industrial hazardous waste; inactive hazardous waste site remediation; water and waste water management; and resource recovery and recycling. This program is funded through fees paid by Corporation clients who use the services.

### ***FINANCIAL ASSISTANCE TO BUSINESS***

The Clean Water/Clean Air Bond Act provides \$60 million to assist small businesses in achieving compliance with environmental laws and regulations pertaining to air and water quality. The air and water quality programs will be funded at \$30 million each and will be used to assist small businesses in targeted sectors to procure capital equipment necessary to prevent pollution. The Environmental Facilities Corporation will work with village, town and city governments to identify businesses in need of assistance.

# ENVIRONMENTAL FACILITIES

## ALL FUNDS APPROPRIATIONS

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$6,837,400	\$6,863,800	+ \$26,400	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	<u>292,000</u>	<u>299,000</u>	<u>+ 7,000</u>	<u>. . . .</u>
Total . . . . .	<u>\$7,129,400</u>	<u>\$7,162,800</u>	<u>+ \$33,400</u>	<u>. . . .</u>

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

<u>Program</u>	<u>Available 1998-99</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	<u>Change</u>
Administration					
Special Revenue Funds — Other . . . . .	96	96	. . . .	96	. . . .
Clean Water/Clean Air Administration Program					
Capital Project Funds . . . . .	<u>6</u>	<u>6</u>	<u>. . . .</u>	<u>6</u>	<u>. . . .</u>
Total . . . . .	<u>102</u>	<u>102</u>	<u>. . . .</u>	<u>102</u>	<u>. . . .</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Other . . . . .	\$6,837,400	\$6,863,800	+ \$26,400
Total . . . . .	<u>\$6,837,400</u>	<u>\$6,863,800</u>	<u>+ \$26,400</u>
Adjustments:			
Transfer(s) From			
Environmental Conservation, Department of			
Special Revenue Funds — Other . . . . .	<u>-258,200</u>		
Appropriated 1998-99 . . . . .	<u>\$6,579,200</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
Special Revenue Funds — Other . . . . .	\$6,837,400	\$6,863,800	+ \$26,400
Total . . . . .	<u>\$6,837,400</u>	<u>\$6,863,800</u>	<u>+ \$26,400</u>

# ENVIRONMENTAL FACILITIES

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$6,863,800	+ \$26,400	\$4,479,800	+ \$256,200
Total . . . . .	\$6,863,800	+ \$26,400	\$4,479,800	+ \$256,200

Program	Nonpersonal Service	
	Amount	Change
Administration . . . . .	\$2,384,000	-\$229,800
Total . . . . .	\$2,384,000	-\$229,800

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Clean Water, Clean Air Implementation Clean Water Clean Air Implementation Fund . . . . .	\$292,000	\$299,000	+ \$7,000	. . . .
Total . . . . .	\$292,000	\$299,000	+ \$7,000	. . . .

# ***DIVISION OF HOUSING AND COMMUNITY RENEWAL***

## ***MISSION***

Created in 1927, the Division of Housing and Community Renewal 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***

Headed by a Commissioner, the Division of Housing and Community Renewal 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 of Housing and Community Renewal's policies for its Community Development and Housing programs. The Division of Housing and Community Renewal's Rent Administration program is administered through the main office in Queens and local offices in rent regulated communities.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Division of Housing and Community Renewal'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.

The Division of Housing and Community Renewal is the lead State agency for the development, construction and oversight of State-assisted housing. The majority of the State's housing construction and rehabilitation programs are supported by appropriations administered by three public benefit corporations: the Housing Finance Agency; the Affordable Housing Corporation; and the Housing Trust Fund Corporation. The Division of Housing and Community Renewal provides administrative support to the Affordable Housing Corporation and the Housing Trust Fund Corporation.

Executive Budget recommendations for the Division of Housing and Community Renewal total over \$220 million. The 1999-2000 Budget will:

- Provide nearly \$7 million to administer the development of low-income housing and \$12 million to supervise the operation of publicly assisted housing, including the State-financed Mitchell-Lama portfolio;
- Continue the Division's administration of the federally funded Weatherization Assistance Program, providing grants to local not-for-profit groups and governments to assist low-income households in reducing their energy consumption and lowering their fuel bills; and

## ***HOUSING AND COMMUNITY RENEWAL***

---

- Provide \$26.3 million to support rent regulation activities. The State's rent regulation laws, which were revised by the Legislature in the Spring 1997, continue to allow regulated apartments to move gradually toward the free market, while fully protecting the rights of existing tenants.

### ***PROGRAM HIGHLIGHTS***

#### ***COMMUNITY DEVELOPMENT***

Community Development staff provide staff support to the Housing Trust Fund Corporation and the Affordable Housing Corporation, which are public benefit corporations that provide 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.

Community Development staff also administer the allocation of Federal low-income housing tax credits across the State. These tax credits promote the production of low-income rental housing projects by reducing the Federal tax liability of investors who finance the acquisition and construction of these projects.

#### ***HOUSING OVERSIGHT***

The Housing Program oversees the management of State-assisted housing projects. On a project-by-project basis, Housing Program staff periodically review the financial and physical condition of:

- 246 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 98,000 dwelling units to low- and moderate-income families;
- 74 public housing projects constructed between 1941 and 1973 and financed with State General Obligation bonds that provide over 20,000 apartments for low-income families; and
- Approximately 900 low-income apartment projects partially financed by State or Federal capital funds.

In addition to its regulatory functions, the Housing Program directly administers approximately 3,500 Federal Section 8 program vouchers, that provide rental assistance to low-income tenants in New York State.

#### ***HOUSING CAPITAL PROGRAMS***

There are two primary low- and moderate-income housing construction programs supported by State appropriations: the Housing Trust Fund Program and the Affordable Housing Corporation Program. This Budget includes a \$25 million appropriation and \$113 million in reappropriations for the Housing Trust Fund Program, which provides grants to finance construction or rehabilitation of low-income apartment buildings. The Affordable Housing Corporation will receive \$25 million in new funds and \$51 million in reappropriations to stimulate local economic growth and stabilize distressed communities across the State by providing grants of up to \$25,000 to first-time low- and moderate-income home buyers. At these funding levels, the two programs will be able to construct approximately 1,700 new housing units in the upcoming State fiscal year.

To support municipal housing authorities, this Budget also recommends that \$12.8 million in new funding and \$71 million in reappropriations be provided to continue repairs and renovations to the State's existing public housing stock. Finally, this Budget

## **HOUSING AND COMMUNITY RENEWAL**

recommends the reauthorization of on-going funding from prior years for a number of programs, including: the Permanent Housing for Homeless Families Program, the Housing Project Repair Program and the Federal National Affordable Housing Act Program.

### **ALL FUNDS APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$61,771,000	\$61,526,000	-\$245,000	\$3,951,000
Aid To Localities . . . . .	95,342,224	94,710,000	-632,224	139,705,370
Capital Projects . . . . .	63,200,000	67,700,000	+ 4,500,000	344,028,000
<b>Total . . . . .</b>	<b>\$220,313,224</b>	<b>\$223,936,000</b>	<b>+ \$3,622,776</b>	<b>\$487,684,370</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	80	79	. . . .	79	-1
Housing Information Systems					
General Fund . . . . .	68	68	. . . .	68	. . . .
Rent Administration					
General Fund . . . . .	573	570	. . . .	570	-3
Community Development					
General Fund . . . . .	51	51	. . . .	51	. . . .
Special Revenue Funds — Federal . . . . .	24	24	. . . .	24	. . . .
Special Revenue Funds — Other . . . . .	7	7	. . . .	7	. . . .
Housing					
General Fund . . . . .	55	54	. . . .	54	-1
Special Revenue Funds — Federal . . . . .	44	42	. . . .	42	-2
Special Revenue Funds — Other . . . . .	67	65	. . . .	65	-2
New Facilities					
Capital Project Funds . . . . .	43	41	. . . .	41	-2
<b>Subtotal, Direct Funded Programs . . . . .</b>	<b>1,012</b>	<b>1,001</b>	<b>. . . .</b>	<b>1,001</b>	<b>-11</b>
Suballocations:					
General Fund . . . . .	13			13	. . . .
Special Revenue Funds — Federal . . . . .	24			24	. . . .
Capital Project Funds . . . . .	16			14	-2
<b>Total . . . . .</b>	<b>1,065</b>			<b>1,052</b>	<b>-13</b>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$39,913,000	\$39,114,000	-\$799,000
Special Revenue Funds — Federal . . . . .	5,705,000	5,743,000	+ 38,000
Special Revenue Funds — Other . . . . .	16,153,000	16,669,000	+ 516,000
<b>Total . . . . .</b>	<b>\$61,771,000</b>	<b>\$61,526,000</b>	<b>-\$245,000</b>

# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$10,163,000	\$10,385,000	+ \$222,000
Housing Information Systems			
General Fund	5,436,000	6,057,000	+ 621,000
Rent Administration			
General Fund	17,323,000	15,606,000	-1,717,000
Special Revenue Funds — Other	10,150,000	10,650,000	+ 500,000
Community Development			
General Fund	3,625,000	3,696,000	+ 71,000
Special Revenue Funds — Federal	2,809,000	2,809,000	.....
Special Revenue Funds — Other	415,000	426,000	+ 11,000
Housing			
General Fund	3,366,000	3,370,000	+ 4,000
Special Revenue Funds — Federal	2,896,000	2,934,000	+ 38,000
Special Revenue Funds — Other	5,588,000	5,593,000	+ 5,000
<b>Total</b>	<b>\$61,771,000</b>	<b>\$61,526,000</b>	<b>-\$245,000</b>

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration	\$3,800,000	-\$214,000	\$3,758,000	-\$214,000	\$13,000	.....
Housing Information Systems	3,500,000	+ 100,000	3,483,000	+ 100,000	.....	.....
Rent Administration	24,010,000	-1,282,000	23,876,000	-1,282,000	120,000	.....
Community Development	3,500,000	+ 65,000	3,473,000	+ 65,000	20,000	.....
Housing	3,226,000	.....	3,219,000	.....	.....	.....
<b>Total</b>	<b>\$38,036,000</b>	<b>-\$1,331,000</b>	<b>\$37,809,000</b>	<b>-\$1,331,000</b>	<b>\$153,000</b>	<b>.....</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	\$29,000	.....
Housing Information Systems	17,000	.....
Rent Administration	14,000	.....
Community Development	7,000	.....
Housing	7,000	.....
<b>Total</b>	<b>\$74,000</b>	<b>.....</b>

# HOUSING AND COMMUNITY RENEWAL

## STATE OPERATIONS — GENERAL AND OFFSET FUNDS SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration . . . . .	\$6,585,000		+ \$436,000	\$200,000	. . . .
Housing Information Systems . . . . .	2,557,000		+ 521,000	159,000	. . . .
Rent Administration . . . . .	2,246,000		+ 65,000	273,000	. . . .
Community Development . . . . .	196,000		+ 6,000	29,000	. . . .
Housing . . . . .	144,000		+ 4,000	8,000	. . . .
<b>Total . . . . .</b>	<b>\$11,728,000</b>		<b>+ \$1,032,000</b>	<b>\$669,000</b>	<b>. . . .</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration . . . . .	\$110,000		. . . .	\$6,265,000	+ \$436,000
Housing Information Systems . . . . .	26,000		. . . .	2,351,000	+ 521,000
Rent Administration . . . . .	52,000		. . . .	1,880,000	+ 65,000
Community Development . . . . .	135,000		. . . .	32,000	+ 6,000
Housing . . . . .	41,000		. . . .	95,000	+ 4,000
<b>Total . . . . .</b>	<b>\$364,000</b>		<b>. . . .</b>	<b>\$10,623,000</b>	<b>+ \$1,032,000</b>

Program	Equipment	
	Amount	Change
Administration . . . . .	\$10,000	. . . .
Housing Information Systems . . . . .	21,000	. . . .
Rent Administration . . . . .	41,000	. . . .
Community Development . . . . .	. . . .	. . . .
Housing . . . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$72,000</b>	<b>. . . .</b>

## STATE OPERATIONS — OTHER THAN GENERAL AND OFFSET FUNDS SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Personal Service	
		Amount	Change	Amount	Change
Community Development . . . . .	\$3,235,000		+ \$11,000	\$2,150,000	+ \$8,000
Housing . . . . .	8,527,000		+ 43,000	5,852,000	+ 103,000
<b>Total . . . . .</b>	<b>\$11,762,000</b>		<b>+ \$54,000</b>	<b>\$8,002,000</b>	<b>+ \$111,000</b>

Program	Nonpersonal Service	
	Amount	Change
Community Development . . . . .	\$1,085,000	+ \$3,000
Housing . . . . .	2,675,000	-60,000
<b>Total . . . . .</b>	<b>\$3,760,000</b>	<b>-\$57,000</b>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$60,292,224	\$61,185,000	+ \$892,776
Special Revenue Funds — Federal . . . . .	25,050,000	23,525,000	-1,525,000
Fiduciary Funds . . . . .	10,000,000	10,000,000	. . . .
<b>Total . . . . .</b>	<b>\$95,342,224</b>	<b>\$94,710,000</b>	<b>-\$632,224</b>

# HOUSING AND COMMUNITY RENEWAL

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Neighborhood Preservation			
General Fund	\$11,750,000	\$11,750,000	.....
Housing Development Fund Program			
Fiduciary Funds	10,000,000	10,000,000	.....
Community Development			
Special Revenue Funds — Federal	11,950,000	10,425,000	-\$1,525,000
Periodic Subsidies - Local Areas			
General Fund	26,010,000	24,486,000	-1,524,000
Urban Renewal Periodic Subsidies			
General Fund	1,020,000	1,433,000	+ 413,000
Rural Rental Assistance			
General Fund	14,477,000	18,156,000	+ 3,679,000
HUD Section 8 New Construction			
Special Revenue Funds — Federal	13,100,000	13,100,000	.....
Public Housing Drug Elimination Program			
General Fund	500,000	500,000	.....
Rural Preservation			
General Fund	4,860,000	4,860,000	.....
Lead Poisoning Prevention Program			
General Fund	150,000	.....	-150,000
Legislative Initiatives			
General Fund	1,525,224	.....	-1,525,224
<b>Total</b>	<b>\$95,342,224</b>	<b>\$94,710,000</b>	<b>-\$632,224</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Affordable Housing Corporation				
Housing Program Fund	\$25,000,000	\$25,000,000	.....	\$51,125,000
Housing Assistance Fund				
Housing Assistance Fund	.....	.....	.....	17,933,000
Low Income Housing Trust Fund				
Housing Program Fund	25,000,000	25,000,000	.....	112,925,000
Maintenance and Improvements of Existing Facilities				
Housing Program Fund	.....	4,500,000	+\$4,500,000	11,548,000
Housing Opportunity Program For Elderly				
Housing Program Fund	400,000	400,000	.....	400,000
Housing Program Capital Improvement				
Capital Projects Fund	.....	.....	.....	22,415,000
State Housing Bond Fund				
State Housing Bond Fund	.....	.....	.....	7,344,000
New Facilities				
Capital Projects Fund	.....	.....	.....	3,660,000
Federal Capital Projects Fund	.....	.....	.....	46,003,000
Public Housing Modernization Program				
Housing Program Fund	12,800,000	12,800,000	.....	70,675,000
<b>Total</b>	<b>\$63,200,000</b>	<b>\$67,700,000</b>	<b>+\$4,500,000</b>	<b>\$344,028,000</b>

# ***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 taxable and tax-exempt bonds to provide mortgage loans to developers of mixed-income and affordable rental projects.

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 of Directors 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 is located primarily in New York City and is managed by a President/Chief Executive Officer, who is appointed by the Board of Directors. Staff is organized into six departments: the President's Office, Multi-Family Finance, Debt Issuance, Finance, Operations and Legal Services.

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 of Directors.

## ***FISCAL BACKGROUND AND 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.

It is projected that from 1995 through 1998, the Housing Finance Agency will have provided over \$900 million in loans for multi-family rental housing.

A 1999-2000 General Fund Aid to Localities appropriation of \$760,000 supports the Capital Grant/Low Rent Lease Subsidy program, providing rental subsidies for approximately 300 low- to moderate-income individuals.

## ***PROGRAM HIGHLIGHTS***

Since its inception in 1960, the Agency has provided financing of \$3.1 billion for 84,000 units of multi-family housing. Between January 1, 1995 and the close of the Agency's fiscal year on October 31, 1998, the Agency provided \$672 million in mortgage loans that created rental housing for over 4,500 families. During the Agency's 1997-98 fiscal year, almost 2,200 units were financed with mortgage loans totaling over \$350 million.

# HOUSING FINANCE

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations .....	.....	.....	.....	.....
Aid To Localities .....	\$775,000	\$760,000	-\$15,000	.....
Capital Projects .....	.....	.....	.....	.....
Total .....	<u>\$775,000</u>	<u>\$760,000</u>	<u>-\$15,000</u>	<u>.....</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund .....	\$775,000	\$760,000	-\$15,000
Total .....	<u>\$775,000</u>	<u>\$760,000</u>	<u>-\$15,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Capital Grant/Low Rent Lease General Fund .....	\$775,000	\$760,000	-\$15,000
Total .....	<u>\$775,000</u>	<u>\$760,000</u>	<u>-\$15,000</u>

# **STATE OF NEW YORK MORTGAGE AGENCY**

## **MISSION**

The State of New York Mortgage Agency 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.

## **ORGANIZATION AND STAFFING**

The Agency is overseen by a nine-member Board of Directors comprised of the Superintendent of Banks, the State Comptroller, the Director of the Budget, the Commissioner of Housing and Community Renewal and appointees of the Governor, the Temporary President of the Senate and 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. Its Single Family Mortgage Finance 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 banking institutions to originate mortgages on its behalf.

The Mortgage Insurance Division provides insurance on mortgage loans for residential, mixed residential, commercial and community service-related properties throughout the State. This insurance is supported by the Mortgage Insurance Fund, which is funded by a surcharge on the Mortgage Recording Tax.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Agency receives no direct operating support from the State. Statute requires the State to guarantee prior-year payments made by the Agency to the State. The Executive Budget recommends approximately \$158 million in appropriations in 1999-2000 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.

## **PROGRAM HIGHLIGHTS**

Since its inception in 1970, the Agency's Single Family Division has provided nearly \$6.4 billion of affordable financing for over 109,000 homes in New York. Between January 1, 1995 and the close of the Agency's fiscal year on October 31, 1998, the Agency purchased \$1.5 billion in single-family mortgages — helping nearly 17,000 New Yorkers buy their first homes. During the Agency's 1997-98 fiscal year, over 3,900 loans were financed for approximately \$359 million in mortgage loan volume.

The Mortgage Insurance Fund's portfolio of insurance liability now exceeds \$2.1 billion. In 1997-98, mortgage insurance provided by the Agency totaled \$225 million.

# MORTGAGE AGENCY

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$76,800,000	\$76,800,000	. . . .	. . . .
Aid To Localities . . . . .	56,256,000	80,702,000	+ \$24,446,000	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$133,056,000</u>	<u>\$157,502,000</u>	<u>+ \$24,446,000</u>	<u>. . . .</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$76,800,000	\$76,800,000	. . . .
Total . . . . .	<u>\$76,800,000</u>	<u>\$76,800,000</u>	<u>. . . .</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues General Fund . . . . .	\$61,800,000	\$61,800,000	. . . .
SONYMA Mortgage Insurance Fund Restoration General Fund . . . . .	15,000,000	15,000,000	. . . .
Total . . . . .	<u>\$76,800,000</u>	<u>\$76,800,000</u>	<u>. . . .</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total Change	Maintenance Undistributed Amount	Change
Infrastructure Trust Fund Guarantee - SONYMA Homeowners Mortgage Revenues . . . . .	\$61,800,000	. . . .	\$61,800,000	. . . .
SONYMA Mortgage Insurance Fund Restoration . . . . .	15,000,000	. . . .	15,000,000	. . . .
Total . . . . .	<u>\$76,800,000</u>	<u>. . . .</u>	<u>\$76,800,000</u>	<u>. . . .</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$56,256,000	\$80,702,000	+ \$24,446,000
Total . . . . .	<u>\$56,256,000</u>	<u>\$80,702,000</u>	<u>+ \$24,446,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
SONYMA Mortgage Insurance Fund Restoration			
General Fund .....	<u>\$56,256,000</u>	<u>\$80,702,000</u>	<u>+ \$24,446,000</u>
Total .....	<u>\$56,256,000</u>	<u>\$80,702,000</u>	<u>+ \$24,446,000</u>



# ***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 game tickets.

## ***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, Schenectady, Syracuse, New York City and Long Island, and a new satellite office in Fishkill to serve the Hudson Valley. District sales representatives are stationed in the regional offices, and recruit and support point-of-sale agents, which include convenience stores, newsstands, supermarkets, restaurants and bowling alleys.

In 1999-2000, Lottery will have a workforce of 346. District sales representatives reflect 35 percent of this total.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

Lottery games have raised more than \$14.5 billion in revenues for education since the Lottery's inception in 1967. In 1998-99, the Division estimates gross sales of \$3.8 billion.

The Division's costs are supported entirely with Lottery sales revenues. The 1999-2000 Executive Budget recommends \$108.7 million to support Lottery operations. By law, no more than 15 percent of gross Lottery sales may be used for administration, including sales agents' commissions which total 6 percent of gross sales. Historically, the Lottery Division's total administrative costs have been well below the statutory limit.

## ***PROGRAM HIGHLIGHTS***

### ***LOTTERY GAMES***

Lottery games sold on the Division's on-line computer system include: Lotto, Pick 10, New York Numbers, Win 4, and Take Five. These games can be played from more than 13,700 locations across the State and offer players the opportunity to match their "picks" to televised drawings that take place nightly or twice weekly, depending on the game. Winning tickets up to \$600 can be validated and redeemed by customers at any location selling Lottery products.

The Lottery Division's Instant "Scratcher" cash games have contributed significantly to the growth of Lottery revenues. The Division will market up to 45 types of Instant Cash games during 1999-2000, including the "TV Cash" game, which is associated with the "NY Wired" television show. The New York Wired initiative provides computer equipment for local schools and supports the NY Wired Scholars Program, which provides a group of accomplished high school sophomores the opportunity to participate in a year-long series of educational television programs that will be broadcast as part of the history curriculum for 7<sup>th</sup> and 8<sup>th</sup> graders across New York State.

Quick Draw, first introduced in 1995, is an electronic version of Pick 10, with winning numbers drawn by computer every five minutes, from 10 a.m. to 3 p.m. and 4 p.m. to 12 a.m. every day. Quick Draw is displayed at nearly 3,200 authorized establishments

# LOTTERY

statewide, such as restaurants and bowling alleys. The 1999-2000 Executive Budget includes legislation that would expand the number of hours played and also allow for an increased number of authorized facilities.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$105,305,000	\$108,709,400	+ \$3,404,400	. . . . .
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$105,305,000</b>	<b>\$108,709,400</b>	<b>+ \$3,404,400</b>	<b>. . . . .</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration of the Lottery Special Revenue Funds — Other . . . . .	351	346	. . . . .	346	-5
<b>Total . . . . .</b>	<b>351</b>	<b>346</b>	<b>. . . . .</b>	<b>346</b>	<b>-5</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Other . . . . .	\$105,305,000	\$108,709,400	+ \$3,404,400
<b>Total . . . . .</b>	<b>\$105,305,000</b>	<b>\$108,709,400</b>	<b>+ \$3,404,400</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration of the Lottery Special Revenue Funds — Other . . . . .	\$105,305,000	\$108,709,400	+ \$3,404,400
<b>Total . . . . .</b>	<b>\$105,305,000</b>	<b>\$108,709,400</b>	<b>+ \$3,404,400</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration of the Lottery . . . .	\$108,709,400	+ \$3,404,400	\$13,966,100	-\$69,300
Total . . . . .	<u>\$108,709,400</u>	<u>+ \$3,404,400</u>	<u>\$13,966,100</u>	<u>-\$69,300</u>

Program	Nonpersonal Service	
	Amount	Change
Administration of the Lottery . . . .	\$94,743,300	+ \$3,473,700
Total . . . . .	<u>\$94,743,300</u>	<u>+ \$3,473,700</u>

## ***LOTTERY***

---

# ***METROPOLITAN TRANSPORTATION AUTHORITY***

## ***MISSION***

The Metropolitan Transportation Authority 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 of operating and capital programs.

The Authority is composed of three independent authorities: the Metropolitan Transportation Authority, the New York City Transit Authority and the Triborough Bridge and Tunnel Authority. The Metropolitan Transportation Authority has four statutory subsidiaries: Staten Island Rapid Transit Operating Authority, Long Island Rail Road, Metropolitan Suburban Bus Authority and Metro-North Commuter Railroad. The Transit Authority, which operates the New York City subway and bus systems, has one subsidiary, the Manhattan and Bronx Surface Transit Operating Authority.

## ***ORGANIZATION AND STAFFING***

Each of the three independent authorities is governed by its own Board, although by law membership on each Board is identical. There are 19 board members, 17 voting and 2 non-voting, 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 voting members are appointed directly by the Governor, with one serving as Board Chair.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The appropriation below represents only a portion of the more than \$1 billion subsidy provided by the State to the Metropolitan Transportation Authority each year, with the additional aid appropriated in the Department of Transportation's Aid to Localities budget.

## ***PROGRAM HIGHLIGHTS***

### ***NEW YORK CITY TRANSIT AUTHORITY AND COMMUTER RAILROADS***

The Metropolitan Transportation Authority provides 24 hour-a-day transit and commuter services in the New York City metropolitan region. Its subway system is the largest in the nation and one of the largest in the world. The New York City Transit Authority operates approximately 230 local and express bus routes throughout New York City. Complementing this service are additional bus routes in Nassau County provided by the Metropolitan Suburban Bus Authority. More than one billion passengers ride the subways and buses each year. Long Island Rail Road and Metro-North Commuter Railroad, the largest two commuter rail systems in the nation, provide transportation for travelers entering New York City from outlying suburban areas in New York State and Connecticut.

# **METROPOLITAN TRANSPORTATION**

## **TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY**

The Triborough Bridge and Tunnel Authority, the largest toll authority in the Nation, operates nine intra-city bridges and tunnels in New York City: 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 the Transit Authority and commuter railroads' capital programs. In addition, the Triborough Bridge and Tunnel Authority is required by law to transfer surplus revenues to the New York City Transit Authority and the commuter railroads to support their operations.

## **OTHER SUBSIDIARIES**

The other subsidiaries — Staten Island Rapid Transit Operating Authority, Metropolitan Suburban Bus Authority, and Manhattan and Bronx Surface Transit Operating Authority — provide regional transportation services. Staten Island Rapid Transit operates transit services on Staten Island. The Manhattan and Bronx Surface Transit Operating Authority, in conjunction with the New York City Transit Authority, provides bus service within New York City, primarily to passengers traveling within a particular borough or as feeder service to the subway.

The Metropolitan Suburban Bus Authority (also known as MTA Long Island Bus) provides bus service to Nassau County, western Suffolk County and eastern Queens County, connecting these areas to the New York City Transit Authority subway stations. The Metropolitan Transportation Authority is responsible for the operation and general oversight of Long Island Bus. Nassau County is financially responsible for Long Island Bus' operating costs that are over and above those supported by fares and by Federal and State assistance.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Aid To Localities . . . . .	\$248,600,000	\$253,400,000	+ \$4,800,000	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	\$36,000,000
Total . . . . .	<u>\$248,600,000</u>	<u>\$253,400,000</u>	<u>+ \$4,800,000</u>	<u>\$36,000,000</u>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Other . . . . .	\$248,600,000	\$253,400,000	+ \$4,800,000
Total . . . . .	<u>\$248,600,000</u>	<u>\$253,400,000</u>	<u>+ \$4,800,000</u>

# **METROPOLITAN TRANSPORTATION**

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

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Dedicated Tax			
Special Revenue Funds — Other . . . . .	\$248,600,000	\$253,400,000	+ \$4,800,000
Total . . . . .	<u>\$248,600,000</u>	<u>\$253,400,000</u>	<u>+ \$4,800,000</u>

## **CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Metropolitan Transportation Authority				
Capital Projects Fund - Advances . . . . .	. . . . .	. . . . .	. . . . .	\$36,000,000
Total . . . . .	<u>. . . . .</u>	<u>. . . . .</u>	<u>. . . . .</u>	<u>\$36,000,000</u>



# **OLYMPIC REGIONAL DEVELOPMENT AUTHORITY**

## **MISSION**

In 1980, Lake Placid and the surrounding areas were host to 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. The Governor selects one of the members as Chair. The Commissioner of Economic Development currently chairs the Authority. Board members serve without compensation.
- The agency has a workforce of 172 and employs up to 800 hourly workers, depending on the season.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

In 1999-2000, State tax dollars from the General Fund will finance 20 percent, or \$3.97 million, of the Authority's \$20.2 million operating budget. This supplements \$14.9 million in revenue generated from venue marketing, fees and ticket sales to athletic and other special events; \$600,000 from the Town of North Elba; \$400,000 from the United States Olympic Committee to cover the costs associated with use of Authority facilities; \$200,000 from the Winter Sports Education Trust Fund; and \$150,000 from the Olympic Center Training Account.

A total of \$2.3 million in Capital Projects funding is recommended for health and safety projects in 1999-2000.

## **PROGRAM HIGHLIGHTS**

### **OLYMPIC FACILITIES**

The Olympic Regional Development Authority manages one of three primary sites (the others being in California and Colorado) for year-round training of America's Olympic athletes. In 1997, the Olympic facilities at Lake Placid received more than 330,000 visitors. The Authority hosts numerous national and international athletic and entertainment events — in 1998, the ECAC Hockey Championships, the Empire State Winter Games and the U.S. Ski Team Gold Cup Championships were held at Authority sites. In addition, the Authority has been the home of the Stars on Ice figure skating rehearsal and preview show since 1992.

# OLYMPIC REGIONAL DEVELOPMENT

## SKI FACILITIES

The Authority also manages the Gore and Whiteface mountain ski centers; two major downhill ski facilities that received more than 246,000 visitors in the 1997-98 ski season, and over 150,000 visitors for off-season activities such as mountain biking and sightseeing tours. Efforts are underway to significantly upgrade the ski facilities at Gore and Whiteface with private capital and expertise.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$4,212,000	\$4,322,000	+ \$110,000	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	2,317,000	2,317,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$6,529,000</b>	<b>\$6,639,000</b>	<b>+ \$110,000</b>	<b>. . . .</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$3,962,000	\$3,972,000	+ \$10,000
Special Revenue Funds — Other . . . . .	150,000	150,000	. . . .
Fiduciary Funds . . . . .	100,000	200,000	+ 100,000
<b>Total . . . . .</b>	<b>\$4,212,000</b>	<b>\$4,322,000</b>	<b>+ \$110,000</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Operations			
General Fund . . . . .	\$3,962,000	\$3,972,000	+ \$10,000
Special Revenue Funds — Other . . . . .	150,000	150,000	. . . .
Fiduciary Funds . . . . .	100,000	200,000	+ 100,000
<b>Total . . . . .</b>	<b>\$4,212,000</b>	<b>\$4,322,000</b>	<b>+ \$110,000</b>

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Contractual Services	
		Change	Amount	Change	
Operations . . . . .	\$3,972,000	+ \$10,000	\$3,972,000	+ \$10,000	
<b>Total . . . . .</b>	<b>\$3,972,000</b>	<b>+ \$10,000</b>	<b>\$3,972,000</b>	<b>+ \$10,000</b>	

# OLYMPIC REGIONAL DEVELOPMENT

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Operations . . . . .	\$350,000	+ \$100,000	\$200,000	+ \$100,000
Total . . . . .	\$350,000	+ \$100,000	\$200,000	+ \$100,000

<u>Program</u>	Maintenance Undistributed	
	Amount	Change
Operations . . . . .	\$150,000	. . . .
Total . . . . .	\$150,000	. . . .

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Comprehensive Construction Programs</u>	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Administration				
Capital Projects Fund . . . . .	\$2,317,000	\$2,317,000	. . . .	. . . .
Total . . . . .	\$2,317,000	\$2,317,000	. . . .	. . . .



# **OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION**

## **MISSION**

The mission of the Office of Parks, Recreation and Historic Preservation 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 152 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 American Falls in Niagara. Over 65 million persons visit the State's parks and historic sites annually.

New York State's uniquely well developed park system and its unparalleled recreation opportunities are an important part of the State's tourism industry and economy. Services open to the public at State parks include performing arts centers, golf courses, marinas, developed beaches, swimming pools, campgrounds, and many significant historic sites.

## **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 is located in Albany, and includes executive staff and fiscal, personnel and other administrative support functions.

For 1999-2000, the Office will have a workforce of 1,699. To supplement this permanent staff, extensive use will be made of temporary and seasonal employees, numbering more than 5,000 in the peak summer season.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 Executive Budget recommends nearly \$194 million for the Office's programs, including \$97.9 million in General Fund moneys and over \$41.9 million in fee revenues, to operate all of the Office's park facilities at current service levels and to provide resources to extend the hours of operation at certain parks and historic sites, to expand services to include new entrepreneurial ventures, and to develop parklands acquired with funding from the Environmental Protection Fund and 1996 Clean Water/Clean Air Bond Act. In addition, the Budget continues funding at the 1998-99 level for: the Empire State Games; performing arts programming at Artpark; and grants to Zoos, Botanical Gardens and Aquariums.

In 1999-2000, the share of park operations financed with user fees will increase, thus reducing the Office's reliance on tax dollars from the General Fund. However, the General Fund continues to be the Office's primary source of support for its operating and local assistance budgets, at 67 percent of all funds. The remaining 33 percent is provided by a variety of sources, including:

- User fees at the parks (29 percent). To maintain current service levels at park facilities, the Budget recommends an increase in day use fees;
- Federal grants for activities related to the use of recreational vehicles and land and water conservation (2 percent); and
- Fiduciary and Enterprise funds, including moneys earmarked for historic sites, arboretums and the Empire State Games (2 percent).

## ***PARKS, RECREATION AND HISTORIC PRESERVATION***

---

The primary focus of the Office's capital program is maintenance and rehabilitation of existing facilities, and the health and safety of park visitors. Park facilities include more than 5,000 buildings, 51 swimming pools, 76 improved beaches, 27 golf courses, 27 marinas, 40 boat launching sites, 16 nature centers, and 8,255 campsites. The Office also maintains hundreds of miles of roads and trails, expansive utility systems, 106 dams and 604 bridges.

For 1999-2000, an appropriation of nearly \$30 million is 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.

Funding from the State Park Infrastructure Fund will be supplemented with resources for State parks capital projects from the Clean Water/Clean Air Bond Act and the Environmental Protection Fund (EPF). Funding is also provided from the Bond Act for the Office's activities related to implementation of open space protection and the local grants program. In 1999-2000, the EPF provides \$14 million in funding for infrastructure and stewardship projects at State parks and lands operated by the Office and the Department of Environmental Conservation.

The Executive Budget also recommends a General Fund appropriation of \$10 million to create the New York Heritage Trail, a new program dedicated to the identification, preservation and promotion of historically significant places in New York State.

The Hudson River Park Fund, which is comprised of revenues generated by properties within the Hudson River Park, is transferred to the Office from the Empire State Development Corporation. For 1999-2000, \$7 million in new appropriations are provided from this Fund for development of the Hudson River Park. Another \$21 million is provided for the Park in the EPF.

### ***PROGRAM HIGHLIGHTS***

Since 1995-96, the Office has re-organized functions and consolidated management operations to more effectively provide safe and enjoyable recreational services to the public. The Office has also fostered public-private partnerships to enhance park facilities and events, including corporate sponsorships for fireworks displays, playground construction and the Empire State Games. With private sector support and expertise, in 2002, the Black Course at Bethpage State Park will be the first public course ever to host the U.S. Open national golf championship tournament.

The responsibilities of the Office are carried out through five major programs:

- Administration: provides executive direction, fiscal, personnel and audit services, public communications, and management of the Office's capital program;
- Park Operations: operates the State's 152 parks. Seasonal and full time personnel are assigned to specific facilities which, in turn, are part of one of the 11 regions. Staff include security and field operations staff, as well as skilled and semi-skilled maintenance personnel. Day use, golf course, and other user fees directly offset the cost of facility operations;
- Empire State Games: plans and implements the Games for the Physically Challenged, Senior Games, Summer Games and Winter Games;
- 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
- 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.

# PARKS, RECREATION AND HISTORIC PRESERVATION

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$128,550,300	\$146,023,900	+ \$17,473,600	\$100,000
Aid To Localities . . . . .	27,064,927	8,921,600	-18,143,327	13,190,600
Capital Projects . . . . .	42,631,000	39,039,000	-3,592,000	107,147,000
<b>Total . . . . .</b>	<b>\$198,246,227</b>	<b>\$193,984,500</b>	<b>-\$4,261,727</b>	<b>\$120,437,600</b>

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
<b>Administration</b>					
General Fund . . . . .	74	72	. . . .	72	-2
Special Revenue Funds — Federal . . . . .	3	3	. . . .	3	. . . .
<b>Park Operations</b>					
General Fund . . . . .	1,190	1,190	. . . .	1,190	. . . .
Special Revenue Funds — Federal . . . . .	10	10	. . . .	10	. . . .
Special Revenue Funds — Other . . . . .	64	64	. . . .	64	. . . .
Fiduciary Funds . . . . .	7	7	. . . .	7	. . . .
Capital Project Funds . . . . .	150	150	. . . .	150	. . . .
<b>Recreation Services</b>					
General Fund . . . . .	11	11	. . . .	11	. . . .
<b>Historic Preservation</b>					
General Fund . . . . .	149	149	. . . .	149	. . . .
Special Revenue Funds — Federal . . . . .	21	21	. . . .	21	. . . .
Special Revenue Funds — Other . . . . .	1	1	. . . .	1	. . . .
<b>Clean Water/Clean Air Administration Program</b>					
Capital Project Funds . . . . .	21	21	. . . .	21	. . . .
<b>Total . . . . .</b>	<b>1,701</b>	<b>1,699</b>	<b>. . . .</b>	<b>1,699</b>	<b>-2</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$89,354,400	\$97,879,900	+ \$8,525,500
Special Revenue Funds — Federal . . . . .	2,350,900	2,517,300	+ 166,400
Special Revenue Funds — Other . . . . .	33,180,000	41,953,900	+ 8,773,900
Enterprise Funds . . . . .	2,500,000	2,500,000	. . . .
Fiduciary Funds . . . . .	1,165,000	1,172,800	+ 7,800
<b>Total . . . . .</b>	<b>\$128,550,300</b>	<b>\$146,023,900</b>	<b>+ \$17,473,600</b>

# **PARKS, RECREATION AND HISTORIC PRESERVATION**

## **STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$4,363,000	\$4,985,900	+ \$622,900
Special Revenue Funds — Federal . . . . .	135,100	75,000	-60,100
Park Operations			
General Fund . . . . .	74,076,000	71,749,600	-2,326,400
Special Revenue Funds — Federal . . . . .	1,372,400	1,572,400	+ 200,000
Special Revenue Funds — Other . . . . .	33,120,500	41,893,300	+ 8,772,800
Fiduciary Funds . . . . .	1,145,000	1,152,800	+ 7,800
Recreation Services			
General Fund . . . . .	2,066,100	2,134,200	+ 68,100
Enterprise Funds . . . . .	2,500,000	2,500,000	. . . .
Historic Preservation			
General Fund . . . . .	8,849,300	19,010,200	+ 10,160,900
Special Revenue Funds — Federal . . . . .	843,400	869,900	+ 26,500
Special Revenue Funds — Other . . . . .	59,500	60,600	+ 1,100
Fiduciary Funds . . . . .	20,000	20,000	. . . .
Total . . . . .	\$128,550,300	\$146,023,900	+ \$17,473,600

## **STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,670,000	+ \$272,900	\$3,609,200	+ \$270,700	\$23,100	+ \$1,000
Park Operations . . . . .	65,161,700	+ 1,451,600	43,461,600	+ 660,000	20,173,300	+ 740,000
Recreation Services . . . . .	557,300	+ 68,100	465,900	+ 53,200	71,800	+ 13,200
Historic Preservation . . . . .	7,574,900	+ 184,900	5,987,700	+ 95,000	1,513,300	+ 85,000
Total . . . . .	\$76,963,900	+ \$1,977,500	\$53,524,400	+ \$1,078,900	\$21,781,500	+ \$839,200

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$37,700	+ \$1,200
Park Operations . . . . .	1,526,800	+ 51,600
Recreation Services . . . . .	19,600	+ 1,700
Historic Preservation . . . . .	73,900	+ 4,900
Total . . . . .	\$1,658,000	+ \$59,400

# PARKS, RECREATION AND HISTORIC PRESERVATION

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration . . . . .	\$1,315,900		+ \$350,000	\$109,300	. . . . .
Park Operations . . . . .	6,587,900		-3,743,000	810,000	-\$2,740,000
Recreation Services . . . . .	1,576,900		. . . . .	224,900	. . . . .
Historic Preservation . . . . .	11,435,300		+ 10,026,000	414,400	. . . . .
<b>Total . . . . .</b>	<b>\$20,916,000</b>		<b>+ \$6,633,000</b>	<b>\$1,558,600</b>	<b>-\$2,740,000</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration . . . . .	\$85,800		. . . . .	\$1,120,800	+ \$350,000
Park Operations . . . . .	679,900		. . . . .	3,053,000	-2,548,000
Recreation Services . . . . .	110,000		. . . . .	1,228,900	. . . . .
Historic Preservation . . . . .	115,600		. . . . .	720,300	+ 16,000
<b>Total . . . . .</b>	<b>\$991,300</b>		<b>. . . . .</b>	<b>\$6,123,000</b>	<b>-\$2,182,000</b>

Program	Amount	Equipment		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration . . . . .	. . . . .		. . . . .	. . . . .	. . . . .
Park Operations . . . . .	\$500,000		. . . . .	\$1,545,000	+ \$1,545,000
Recreation Services . . . . .	13,100		. . . . .	. . . . .	. . . . .
Historic Preservation . . . . .	185,000		+ \$10,000	10,000,000	+ 10,000,000
<b>Total . . . . .</b>	<b>\$698,100</b>		<b>+ \$10,000</b>	<b>\$11,545,000</b>	<b>+ \$11,545,000</b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Personal Service	
		Amount	Change	Amount	Change
Administration . . . . .	\$75,000		-\$60,100	. . . . .	-\$105,000
Park Operations . . . . .	44,618,500		+ 8,980,600	\$15,460,100	+ 2,111,400
Recreation Services . . . . .	2,500,000		. . . . .	. . . . .	. . . . .
Historic Preservation . . . . .	950,500		+ 27,600	586,900	+ 21,600
<b>Total . . . . .</b>	<b>\$48,144,000</b>		<b>+ \$8,948,100</b>	<b>\$16,047,000</b>	<b>+ \$2,028,000</b>

Program	Amount	Nonpersonal Service		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration . . . . .	\$75,000		+ \$44,900	. . . . .	. . . . .
Park Operations . . . . .	28,857,400		+ 6,769,200	\$301,000	+ \$100,000
Recreation Services . . . . .	2,500,000		. . . . .	. . . . .	. . . . .
Historic Preservation . . . . .	363,600		+ 6,000	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$31,796,000</b>		<b>+ \$6,820,100</b>	<b>\$301,000</b>	<b>+ \$100,000</b>

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

Fund Type	Available	Recommended	Change
	1998-99	1999-00	
General Fund . . . . .	\$25,364,927	\$6,951,600	-\$18,413,327
Special Revenue Funds — Federal . . . . .	800,000	870,000	+ 70,000
Special Revenue Funds — Other . . . . .	900,000	1,100,000	+ 200,000
<b>Total . . . . .</b>	<b>\$27,064,927</b>	<b>\$8,921,600</b>	<b>-\$18,143,327</b>

# PARKS, RECREATION AND HISTORIC PRESERVATION

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$2,000,000	\$2,000,000	. . . .
Special Revenue Funds — Federal . . . . .	200,000	200,000	. . . .
Park Operations			
Special Revenue Funds — Other . . . . .	900,000	1,100,000	+ \$200,000
Recreation Services			
Special Revenue Funds — Federal . . . . .	500,000	500,000	. . . .
Historic Preservation			
Special Revenue Funds — Federal . . . . .	100,000	170,000	+ 70,000
Natural Heritage Trust			
General Fund . . . . .	8,329,600	4,951,600	-3,378,000
Legislative Initiatives			
General Fund . . . . .	15,035,327	. . . .	-15,035,327
<b>Total . . . . .</b>	<b>\$27,064,927</b>	<b>\$8,921,600</b>	<b>-\$18,143,327</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Natural Heritage Trust				
Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$1,433,000
Community Projects Fund . . . . .	\$200,000	. . . .	-\$200,000	. . . .
Federal Capital Projects Fund				
Federal Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	2,970,000
New Facilities				
Fiduciary funds - Miscellaneous Combined Expendable Trust Fund . . . . .	. . . .	. . . .	. . . .	2,000,000
State Parks Infrastructure Fund . . . . .	1,500,000	\$925,000	-575,000	1,500,000
Maintenance and Improvements of Existing Facilities				
Fiduciary funds - Miscellaneous Combined Expendable Trust Fund . . . . .	. . . .	. . . .	. . . .	400,000
State Parks Infrastructure Fund . . . . .	22,306,000	29,030,000	+ 6,724,000	47,407,000
Misc. Capital Projects . . . . .	1,400,000	700,000	-700,000	1,379,000
Park Lands EQBA				
Capital Projects Fund - EQBA (Bondable) . . . . .	. . . .	. . . .	. . . .	407,000
Outdoor Recreation Development Bond Fund				
Outdoor Recreation Development Bond Fund . . . . .	. . . .	. . . .	. . . .	230,000
Parks and Recreation Land Acquisition Bond Fund				
Parks and Recreation Land Acquisition Bond Fund . . . . .	. . . .	. . . .	. . . .	796,000
Regional Development				
Hudson River Park Fund . . . . .	16,000,000	7,000,000	-9,000,000	16,000,000
Clean Water, Clean Air Implementation				
Clean Water Clean Air Implementation Fund . . . . .	1,225,000	1,384,000	+ 159,000	. . . .
Parks EQBA 86				
Capital Projects Fund - EQBA 86 (Bondable) . . . . .	. . . .	. . . .	. . . .	32,625,000
<b>Total . . . . .</b>	<b>\$42,631,000</b>	<b>\$39,039,000</b>	<b>-\$3,592,000</b>	<b>\$107,147,000</b>

# ***NEW YORK STATE PUBLIC AUTHORITIES***

New York State has statutorily created public authorities to carry out a variety of functions. These authorities play a critical role in managing, maintaining and improving New York State's infrastructure by building or financing roads, bridges and mass transit systems; rail, aviation, water, port and energy facilities; and housing, schools, public protection facilities and public buildings.

Established as public benefit corporations rather than departments of the State, the authorities are governed by boards of directors whose members can be appointed by the Governor, on the recommendation of the Legislature or local officials and by other involved municipalities. Although oversight mechanisms vary, all public authorities are accountable to the State and must submit reports to the Governor, the Legislature and the State Comptroller, including annual reports, independent financial audits and budget reports.

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***

Triborough Bridge and Tunnel Authority  
Thruway Authority

## ***ECONOMIC DEVELOPMENT***

Development Authority of the North Country  
Empire State Development Corporation  
Job Development Authority

## ***ENERGY AND ENVIRONMENT***

Energy Research and Development Authority  
Environmental Facilities Corporation

## ***HOUSING, HEALTH AND FINANCE***

Housing Finance Agency  
Local Government Assistance Corporation  
State of New York Mortgage Agency

## ***REGIONAL TRANSPORTATION***

Metropolitan Transportation Authority

## ***PUBLIC AUTHORITIES***

---

Public authorities which 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 owns and operates the international "Peace Bridge" crossing the Niagara River between Buffalo and Fort Erie, Ontario. Bridge tolls cover Authority costs; no State funds are used to support the Authority.

#### ***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 Hudson River. Various bridge tolls cover Authority costs; no State funds are used to support the Authority.

#### ***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 and tourist facilities. Tolls from the bridge and other service fees cover operating costs; no State funds are used to support the Authority.

### ***ECONOMIC DEVELOPMENT AUTHORITIES***

#### ***Battery Park City Authority***

The Battery Park City Authority manages the commercial and residential development of a 92-acre landfill on the southwest end of Manhattan. To date, the Authority has promoted the construction of several buildings which provide more than 5,300 housing units and 6.5 million square feet of office space. It has also developed over 3 acres of parks and recreation areas. Battery Park City Authority continues to develop roads, utilities, parks and an esplanade along the Hudson River to support the private development of this mixed commercial-residential community. The Authority receives no State funds to support its operations, instead generating its revenues from its own corporate activities.

#### ***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 as well as other office space in the vicinity. Since 1968, the Corporation has issued \$260.7 million in debt to finance these facilities and 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 owns and operates 12 generating facilities and a major transmission system.

The Authority generates and transmits electric power at wholesale rates to its primary customers — municipal and investor-owned utilities, rural electric cooperatives throughout the State, major industrial concerns and various New York City-area public corporations.

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 has the broad authority to ensure adequate, dependable and affordable gas and electric service on Long Island. The Authority has acquired a portion of the Long Island Lighting Company's assets in order to reduce commercial and residential rates by approximately 20 percent. The reduction is encouraging economic development and reducing the cost of living in that region. No State tax dollars are currently being used to fund the Authority.

**HOUSING, HEALTH AND FINANCE AUTHORITIES**

***Dormitory Authority***

The Dormitory Authority provides financing, construction management, planning and design, and equipment purchasing services for higher education, not-for-profit health care, judicial and other institutions. The Authority funds its operations from its own client-generated revenues.

The Governor has proposed the creation of the School Facilities Development Unit within the Authority. This new unit would provide school districts with lower borrowing and construction costs, as well as technical assistance in all phases of school construction and construction financing.

***Municipal Assistance Corporation for the City of New York***

The Municipal Assistance Corporation for the City of New York was created in 1975 to provide access to the credit markets for the City during a period of fiscal crisis and to help oversee its fiscal affairs. MAC's financing mission on behalf of New York City has been completed. MAC expects its only financing role in the future to be management of its existing debt. No State money is used to finance the Corporation; it is funded through a portion of New York City's sales tax.

***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 the credit markets and 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 such appropriation is required in the 1999-2000 State fiscal year. No State moneys are used to finance the Corporation, and

## ***PUBLIC AUTHORITIES***

---

failure of the State to appropriate State aid to the City does not constitute an event of default for Corporation obligations.

### ***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. The Agency is staffed by the Housing Finance Agency. No State tax dollars are used to fund the Agency.

### ***Project Finance Agency***

The Project Finance Agency was created in 1975 to provide long-term financing for low- and middle-income residential housing projects originally financed by the Urban Development Corporation. During the mid-1970's, the Urban Development Corporation faced a potential default on bonds issued to construct these projects, preventing the issuance of long-term debt to complete projects under way. The Project Finance Agency was created as the financing vehicle to complete these projects. No State tax dollars are used to fund the Agency.

## ***PORT DEVELOPMENT AUTHORITIES***

### ***Albany Port District Commission***

The Albany Port District Commission develops and operates port facilities in the cities of Albany and Rensselaer. In past years, the Authority has completed a new warehouse, rehabilitated dock facilities and added rail tracks to update the port facilities. Lease revenues account for 50 to 70 percent of the Port's annual revenue with maritime traffic making up the remainder.

### ***Ogdensburg Bridge and Port Authority***

The Ogdensburg Bridge and Port Authority operates an international bridge between Ogdensburg and Prescott, Ontario, Canada, as well as a port, an airport, an industrial park and a short-line railroad. The Authority has become increasingly involved in developing port and industrial park properties in the North Country. The Authority's industrial park now has 14 buildings which house companies providing 1,000 jobs. Its marine terminal provides the North Country's mining industries with low-cost transportation.

### ***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. This bi-state authority is responsible for the management and daily operation of more than 30 facilities, including airports, marine terminal facilities, bus terminals, interstate bridges and tunnels, an interstate commuter railroad, the World Trade Center and industrial parks. No New York State funds are used to support the Port Authority.

### ***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. Facilities operated by the Authority include a port terminal, a grain elevator and storage facilities.

**REGIONAL TRANSPORTATION AUTHORITIES**

***Capital District Transportation Authority***

The Capital District Transportation Authority provides bus service within Albany, Rensselaer, Saratoga and Schenectady counties. State funding for the Capital District Transportation Authority 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 provides bus service within Central New York through three subsidiary corporations: CNY Centro (Onondaga County), Centro of Oswego (Oswego County) and Centro of Cayuga (Cayuga County). State funding for the Central New York Regional Transportation Authority is provided through appropriations to the New York State Department of Transportation.

***Niagara Frontier Transportation Authority***

The Niagara Frontier Transportation Authority oversees the operations of a public transportation system providing bus, rail and paratransit services in Niagara and Erie counties. The Authority also operates both a primary and reliever airport, a small boat harbor and two metro transit centers which are primary terminals for private inter-city bus service for Niagara and Erie counties. State funding for the Niagara Frontier Transportation Authority is provided through appropriations to the New York State Department of Transportation.

***Rochester-Genesee Regional Transportation Authority***

The Rochester-Genesee Regional Transportation Authority provides bus service in the counties of Genesee, Livingston, Monroe, Wayne and Wyoming. The Authority operates the Regional Transit Service (Rochester area), Wayne Area Transportation System, Livingston Area Transportation Service, Wyoming Transportation Service and Batavia Bus Service. State funding for the Rochester-Genesee Regional Transportation Authority is provided through appropriations to the New York State Department of Transportation.

# PUBLIC AUTHORITIES

**Table 1**  
**FINANCIAL OPERATIONS a/**  
**OF NEW YORK STATE PUBLIC AUTHORITIES, 1998 AND 1999**  
**(thousands)**

Authorities by Function	Fiscal Year Begins	1998				1999			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/
<b>BRIDGE, TUNNEL AND HIGHWAY</b>									
Buffalo and Fort Erie Public Bridge Authority .....	Jan. 1	\$19,612	\$9,008	\$3,520	\$7,084	\$19,944	\$9,432	\$5,736	\$4,776
New York State Bridge Authority .....	Jan. 1	26,507	11,875	4,752	9,880	25,748	12,683	4,748	8,317
Thousand Islands Bridge Authority .....	Mar. 1	8,502	6,539	724	1,239	8,375	6,625	410	1,340
Triborough Bridge and Tunnel Authority .....	Jan. 1	908,726	232,653	329,838	346,235	911,633	267,918	346,520	297,195
Thruway Authority c/ .....	Jan. 1	390,063	238,133	90,396	61,534	419,639	246,246	94,125	79,268
<b>ECONOMIC DEVELOPMENT</b>									
Battery Park City Authority .	Nov. 1	114,905	18,769	63,517	32,619	123,461	22,000	64,840	36,621
Development Authority of the North Country .....	April 1	13,235	9,380	1,934	1,921	11,875	9,661	2,213	....
Empire State Development Corporation .....	April 1	358,822	48,500	310,322	....	395,351	50,111	345,240	....
Job Development Authority..	April 1	62,883	3,327	59,556	....	67,393	2,814	64,579	....
United Nations Development Corporation .....	Jan. 1	37,971	13,993	15,522	8,456	30,030	11,882	10,623	7,525
<b>ENERGY AND ENVIRONMENT</b>									
Energy Research and Development Authority ...	April 1	97,774	84,445	13,329	....	113,700	98,658	15,042	....
Environmental Facilities Corporation .....	April 1	451,251	11,657	439,069	525	494,548	11,974	481,249	1,325
Long Island Power Authority.	April 1	1,257,080	806,503	216,366	234,211	2,039,691	1,031,398	930,977	77,316
Power Authority .....	Jan. 1	1,644,200	1,067,200	244,900	332,100	1,570,900	994,700	223,700	352,500
<b>HOUSING, HEALTH AND FINANCE</b>									
Dormitory Authority .....	April 1	2,380,893	42,810	2,338,083	....	3,011,270	45,778	2,965,492	....
Housing Finance Agency ....	Nov. 1	366,888	14,463	347,625	4,800	350,594	14,925	330,614	5,055
Local Government Assistance Corporation .....	April 1	535,750	4,000	531,750	....	517,000	4,000	513,000	....
Mortgage Agency .....	Nov. 1	664,073	102,357	560,216	1,500	631,828	56,888	573,140	1,800
Municipal Assistance Corporation for the City of New York .....	July 1	525,556	9,541	516,015	....	521,817	9,541	512,276	....
Municipal Assistance Corporation for the City of Troy .....	Jan. 1	2,308	50	2,258	....	2,406	100	2,306	....
Municipal Bond Bank Agency .....	Nov. 1	5,903	192	5,691	20	6,787	146	6,606	35
Project Finance Agency .....	Nov. 1	41,575	234	41,291	50	40,669	271	39,736	60
<b>PORT DEVELOPMENT</b>									
Albany Port District Commission .....	Jan. 1	2,416	1,623	80	713	2,968	1,726	80	1,162
Ogdensburg Bridge and Port Authority .....	April 1	3,347	2,646	655	46	3,433	2,708	725	....
Port Authority of New York and New Jersey d/ .....	Jan. 1	2,426,113	1,571,213	430,228	424,672	2,426,113	1,571,213	430,228	424,672
Port of Oswego Authority ...	April 1	1,161	1,022	82	57	1,255	1,075	84	96
<b>REGIONAL TRANSPORTATION</b>									
Capital District Transportation Authority .....	April 1	27,598	27,598	....	....	27,066	27,066	....	....

## PUBLIC AUTHORITIES

Authorities by Function	Fiscal Year Begins	1998				1999			
		Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/	Total Revenues	Operating Expenses	Debt Service Requirements	Surplus (Deficit) b/
Central New York Regional Transportation Authority ..	April 1	25,716	25,556	160	....	25,669	25,619	50	....
Metropolitan Transportation Authority .....	Jan. 1	6,200,624	5,603,713	278,458	318,453	6,499,535	6,160,806	338,729	....
Niagara Frontier Transportation Authority .....	April 1	99,838	92,474	6,355	1,009	100,254	92,096	8,158	....
Rochester-Genesee Regional Transportation Authority ..	April 1	38,949	37,980	....	969	38,527	38,527	....	....
<b>GRAND TOTAL</b>		<b>\$18,740,239</b>	<b>\$10,099,454</b>	<b>\$6,852,692</b>	<b>\$1,788,093</b>	<b>\$20,439,479</b>	<b>\$10,828,587</b>	<b>\$8,311,226</b>	<b>\$1,299,063</b>

- a/ 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.
- b/ 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 covered from existing resources or management options.
- c/ Excludes debt service for bonds sold to finance State transportation programs.
- d/ Due to the unavailability of 1999 Budget information, data for 1999 is based on carry forward of previous year data.

# PUBLIC AUTHORITIES

**Table 2**  
**CAPITAL PROGRAMS a/**  
**OF NEW YORK STATE PUBLIC AUTHORITIES, 1998 AND 1999**  
**(thousands)**

Authorities by Function	1998			1999		
	Capital Program Disbursements	Available Resources	Sale of New Debt b/	Capital Program Disbursements	Available Resources	Sale of New Debt b/
<b>BRIDGE, TUNNEL AND HIGHWAY</b>						
Buffalo and Fort Erie Public Bridge Authority .....	\$23,058	\$23,058	\$31,090	\$21,578	\$21,578	....
New York State Bridge Authority .....	14,646	51,513	....	26,487	45,532	....
Thousand Islands Bridge Authority .....	1,553	1,553	....	4,800	4,800	....
Triborough Bridge and Tunnel Authority .....	118,563	204,648	....	201,000	201,000	\$220,000
Thruway Authority .....	312,400	312,400	....	408,033	274,391	133,642
<b>ECONOMIC DEVELOPMENT</b>						
Battery Park City Authority .	25,300	25,300	....	21,000	21,000	20,000
Development Authority of the North Country .....	7,794	1,794	6,000	5,400	5,400	....
Empire State Development Corporation .....	170,000	....	170,000	94,934	....	94,934
Job Development Authority..	25,000	....	25,000	25,000	....	25,000
United Nations Development Corporation .....	1,080	15,902	....	1,353	14,549	....
<b>ENERGY AND ENVIRONMENT</b>						
Energy Research and Development Authority ...	13,250	500	14,465	12,500	12,500	....
Environmental Facilities Corporation .....	....	....	747,270	....	....	700,000
Long Island Power Authority.	6,685,982	....	6,685,982	216,257	....	218,526
Power Authority .....	176,500	299,200	8,500	184,600	260,300	18,600
<b>HOUSING, HEALTH AND FINANCE</b>						
Dormitory Authority .....	3,072,743	3,282,839	4,335,035	3,403,906	4,545,131	2,643,447
Housing Finance Agency ....	244,699	192,281	358,022	565,597	297,930	400,000
Local Government Assistance Corporation .....	....	....	....	....	....	....
Mortgage Agency .....	358,794	247,265	412,250	410,000	300,721	250,000
Municipal Assistance Corporation for the City of New York .....	....	....	....	....	....	....
Municipal Assistance Corporation for the City of Troy .....	2,020	....	2,020	868	....	868
Municipal Bond Bank Agency .....	....	....	....	....	....	....
Project Finance Agency .....	....	....	....	....	....	....
<b>PORT DEVELOPMENT</b>						
Albany Port District Commission .....	700	714	....	755	1,162	....
Ogdensburg Bridge and Port Authority .....	47	47	....	3,150	2,500	650
Port Authority of New York and New Jersey c/ .....	927,410	742,047	375,000	927,410	742,047	375,000
Port of Oswego Authority ...	1,095	3,051	....	150	1,956	....
<b>REGIONAL TRANSPORTATION</b>						
Capital District Transportation Authority .....	33,116	33,116	....	57,779	50,779	7,000

## PUBLIC AUTHORITIES

Authorities by Function	1998			1999		
	Capital Program Disbursements	Available Resources	Sale of New Debt b/	Capital Program Disbursements	Available Resources	Sale of New Debt b/
Central New York Regional Transportation Authority ..	10,456	10,456	....	20,513	20,513	....
Metropolitan Transportation Authority .....	2,188,900	1,222,400	966,500	1,672,400	1,375,400	297,000
Niagara Frontier Transportation Authority .....	44,550	44,549	....	47,912	47,912	....
Rochester-Genesee Regional Transportation Authority ..	8,809	8,809	....	24,621	24,621	....
<b>GRAND TOTAL</b>	<b>\$14,468,465</b>	<b>\$6,723,442</b>	<b>\$14,137,134</b>	<b>\$8,358,003</b>	<b>\$8,271,722</b>	<b>\$5,404,667</b>

a/ 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.

b/ Includes proceeds available for capital program only.

c/ Due to the unavailability of 1999 Budget information, data for 1999 is based on carry forward of previous year data.

# PUBLIC AUTHORITIES

**Table 3**  
**DEBT STRUCTURE**  
**OF NEW YORK STATE PUBLIC AUTHORITIES AS OF SEPTEMBER 30, 1998**  
**(thousands)**

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	\$53,370	\$50,925	....	....	....	....
New York State Bridge Authority . . . . .	100,000	116,711	46,755	....	....	....	....
Thousand Islands Bridge Authority . . . . .	Unlimited	5,440	1,554	....	....	....	....
Triborough Bridge and Tunnel Authority a/ . . . . .	6,500,000	5,753,713	5,426,840	....	....	....	....
Thruway Authority . . . . .	Unlimited	7,676,222	5,730,221	....	\$236,000	\$161,310	....
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority . . . . .	1,460,000	1,052,110	964,080	....	....	....	....
Development Authority of the North Country . . . . .	Unlimited	50,042	46,090	\$1,644	....	....	....
Empire State Development Corporation . . . . .	Unlimited	4,882,767	4,258,571	16,171	1,295,000	1,075,000	....
Job Development Authority . . . . .	750,000	726,080	259,915	....	....	....	....
United Nations Development Corporation . . . . .	Unlimited	260,728	194,973	....	46,555	32,040	....
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority . . . . .	Unlimited	4,501,105	4,485,000	....	....	....	....
Environmental Facilities Corporation . . . . .	Unlimited	5,483,515	4,088,525	....	....	....	....
Long Island Power Authority . . . . .	Unlimited	4,951,000	4,951,000	....	....	....	....
Power Authority . . . . .	Unlimited	5,424,825	1,357,415	1,140,073	....	....	....
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority . . . . .	Unlimited	46,435,810	26,973,258	32,754	926,015	698,660	\$104,140
Housing Finance Agency b/ . . . . .	11,330,000	9,357,165	4,040,477	....	4,471,123	6,524,379	552,615
Local Government Assistance Corporation . . . . .	4,700,000	5,571,165	5,114,560	....	....	....	....
Mortgage Agency . . . . .	6,245,000	9,668,097	3,943,169	....	....	....	....
Municipal Assistance Corporation for the City of New York . . . . .	11,500,000	9,445,000	3,945,000	....	....	9,445	....
Municipal Assistance Corporation for the City of Troy . . . . .	75,000	59,014	58,454	4,927	....	....	....
Municipal Bond Bank Agency . . . . .	1,000,000	64,765	48,830	....	....	....	....
Project Finance Agency . . . . .	305,000	305,000	137,820	....	....	....	....
<b>PORT DEVELOPMENT</b>							
Albany Port District Commission . . . . .	Unlimited	....	....	1,358	....	....	....
Ogdensburg Bridge and Port Authority . . . . .	Unlimited	....	....	3,115	....	....	....
Port Authority of New York and New Jersey . . . . .	Unlimited	9,476,015	7,411,550	326,450	....	....	....
Port of Oswego Authority . . . . .	Unlimited	....	....	193	....	....	....
<b>REGIONAL TRANSPORTATION</b>							
Capital District Transportation Authority . . . . .	Unlimited	....	....	....	....	....	....

## PUBLIC AUTHORITIES

Authorities by Function	All Bonds and Notes				Moral Obligation Bonds		
	Statutory Authorization	Bonds Issued	Bonds Outstanding	Notes Outstanding	Authorized Limit	Bonds Issued	Bonds Outstanding
Central New York Regional Transportation Authority ..	Unlimited	....	....	4,000	....	....	....
Metropolitan Transportation Authority a/ .....	6,500,000	8,616,664	7,218,474	....	....	....	....
Niagara Frontier Transportation Authority .....	Unlimited	111,335	105,090	915,800	....	....	....
Rochester-Genesee Regional Transportation Authority ..	Unlimited	....	....	....	....	....	....
<b>GRAND TOTAL</b>		<b>\$140,047,658</b>	<b>\$90,858,546</b>	<b>\$2,446,485</b>	<b>\$6,974,693</b>	<b>\$8,500,834</b>	<b>\$656,755</b>

a/ The MTA and TBTA are collectively authorized to issue up to \$6.5 billion of bonds to finance their 1992-1999 capital programs.

b/ HFA moral obligation bond limit is reduced as bonds outstanding after April 1, 1976 are repaid.

# PUBLIC AUTHORITIES

**Table 4**  
**STATE INVOLVEMENT IN FINANCING OF PROJECTS AND OPERATIONS**  
**OF NEW YORK STATE PUBLIC AUTHORITIES, 1998 AND 1999-2000**  
**(thousands)**

Authorities by Function	Authority Bonds Outstanding, 1998 a/			Outstanding Reimbursable State Appropriations, 1998	State Appropriations Requested in Support of Authority Programs, 1999-2000 b/		
	Revenue and Nonrecourse	State Guaranteed	Moral Obligation		New Appropriations	Reapropriations	Total
<b>BRIDGE, TUNNEL AND HIGHWAY</b>							
Buffalo and Fort Erie Public Bridge Authority .....	\$50,925	....	....	....	....	....	....
New York State Bridge Authority .....	46,755	....	....	....	....	....	....
Thousand Islands Bridge Authority .....	1,554	....	....	....	....	....	....
Triborough Bridge and Tunnel Authority .....	5,426,840	....	....	....	....	....	....
Thruway Authority .....	5,730,221	....	....	....	\$2,000	\$1,540	\$3,540
<b>ECONOMIC DEVELOPMENT</b>							
Battery Park City Authority .	964,080	....	....	....	....	....	....
Development Authority of the North Country .....	46,090	....	....	....	....	....	....
Empire State Development Corporation .....	4,258,571	....	....	\$32,417	117,004	350,000	467,004
Job Development Authority..	....	\$259,915	....	....	....	....	....
United Nations Development Corporation .....	194,973	....	....	....	....	....	....
<b>ENERGY AND ENVIRONMENT</b>							
Energy Research and Development Authority ...	4,485,000	....	....	....	27,523	3,772	31,295
Environmental Facilities Corporation .....	4,088,525	....	....	6,871	7,163	....	7,163
Long Island Power Authority.	4,951,400	....	....	26,107	....	....	....
Power Authority .....	1,357,415	....	....	....	....	....	....
<b>HOUSING, HEALTH AND FINANCE</b>							
Dormitory Authority .....	26,869,118	....	\$104,140	....	....	....	....
Housing Finance Agency ....	3,487,862	....	552,615	....	4,500	11,598	16,098
Local Government Assistance Corporation .....	5,114,560	....	....	....	517,000	....	517,000
Mortgage Agency .....	3,943,169	....	....	....	....	....	....
Municipal Assistance Corporation for the City of New York .....	3,945,000	....	....	....	....	....	....
Municipal Assistance Corporation for the City of Troy .....	58,454	....	....	....	....	....	....
Municipal Bond Bank Agency .....	48,830	....	....	....	....	....	....
Project Finance Agency .....	137,820	....	....	....	....	....	....
<b>PORT DEVELOPMENT</b>							
Albany Port District Commission .....	....	....	....	1,438	9	....	9
Ogdensburg Bridge and Port Authority .....	....	....	....	19,605	....	....	....
Port Authority of New York and New Jersey .....	7,411,550	....	....	....	....	....	....
Port of Oswego Authority ...	....	....	....	4,281	....	....	....
<b>REGIONAL TRANSPORTATION</b>							

## PUBLIC AUTHORITIES

Authorities by Function	Authority Bonds Outstanding, 1998 a/			Outstanding Reimbursable State Appropriations, 1998	State Appropriations Requested in Support of Authority Programs, 1999-2000 b/		
	Revenue and Nonrecourse	State Guaranteed	Moral Obligation		New Appropriations	Reapropriations	Total
Capital District Transportation Authority .....	....	....	....	....	9,280	....	9,280
Central New York Regional Transportation Authority ..	....	....	....	....	11,422	....	11,422
Metropolitan Transportation Authority .....	7,218,474	....	....	....	1,518,044	....	1,518,044
Niagara Frontier Transportation Authority .....	105,090	....	....	3,380	16,758	4,397	21,155
Rochester-Genesee Regional Transportation Authority ..	....	....	....	....	10,178	....	10,178
<b>GRAND TOTAL</b>	<b>\$89,942,276</b>	<b>\$259,915</b>	<b>\$656,755</b>	<b>\$94,099</b>	<b>\$2,240,881</b>	<b>\$371,307</b>	<b>\$2,612,188</b>

a/ This table covers bonds outstanding as of September 30.

b/ Appropriations are included in the Executive Budget for State Fiscal Year 1999-2000 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.



# ***DEPARTMENT OF PUBLIC SERVICE***

## ***MISSION***

The Department of Public Service has a broad mandate to ensure that all New Yorkers have access to reliable and low-cost utility services. The Department 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, 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. As the transition is made from a regulated utility industry to a more competitive market, the Department will use its oversight responsibilities to foster competitive market forces which will produce lower rates for consumers, enable customers to choose from a variety of suppliers, and continue reliable service.

## ***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 and Buffalo.

The Department's budget has two programs: the Administration Program, which supports Public Service Commission activities; and the Regulation Program, which undertakes activities to ensure fair and reasonable rates, foster proper competition, monitor service standards, address consumer complaints, promote efficient operation and ensure that industry construction programs meet safety and environmental requirements.

The Department will have a workforce of 620 for 1999-2000. Approximately 97 percent of this staff is financed by utility and cable assessments and the remaining three percent is financed by Federal grants and coin-operated telephone fees.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The 1999-2000 budget recommendations for the Department of Public Service reflect the changing mission of the agency as the utility industry moves from a regulated environment to a competitive market. As the electric industry undergoes restructuring, the Department will oversee this process to ensure that policies are implemented to encourage competition for retail and wholesale business, and a level playing field in this new competitive market. It should be noted that, while power generation will eventually function in a competitive market, the monopolistic transmission and distribution of electricity will remain regulated for the foreseeable future. As the industry changes and evolves, the Department of Public Service will continue to act as a consumer advocate through education and outreach to ensure that it fulfills its core mission.

The major recommendations in the Department's operating budget include the following:

- A total of \$59.5 million is recommended from utility and cable assessments in 1999-2000. Public utility assessments are based on a utility's gross intrastate operating revenues above \$25,000. Cable television assessments are based on revenues from those companies with 1,000 or more subscribers.
- A reduction of 68 positions reflects a reorganization consistent with changing functions and workload and the agency's continuing efforts to ensure efficient operations.

## **PUBLIC SERVICE**

The local assistance budget provides a total of \$800,000 financed by applicant fees to support municipal and other parties' activities, such as preparing testimony for public hearings, related to proposed electric generation facility sitings.

### **PROGRAM HIGHLIGHTS**

The Department's highest priority for the coming year remains its move toward competition in the electric, telecommunications, and gas industries. This transition must be effectively managed to ensure that competition benefits both the State's economic interests and utility ratepayers. During this transition to competitive markets, the Department will develop the infrastructure needed for competitive alternatives, maintain the high standards of reliability and service quality that New Yorkers expect, ensure fair competition, and, where necessary, provide ratepayers effective protection.

#### **ALL FUNDS APPROPRIATIONS**

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$65,310,900	\$60,766,700	-\$4,544,200	. . . . .
Aid To Localities . . . . .	200,000	800,000	+ 600,000	\$400,000
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$65,510,900</u>	<u>\$61,566,700</u>	<u>-\$3,944,200</u>	<u>\$400,000</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
Special Revenue Funds — Other . . . . .	109	107	. . . . .	107	-2
Regulation of Utilities					
Special Revenue Funds — Federal . . . . .	12	12	. . . . .	12	. . . . .
Special Revenue Funds — Other . . . . .	567	501	. . . . .	501	-66
Total . . . . .	<u>688</u>	<u>620</u>	<u>. . . . .</u>	<u>620</u>	<u>-68</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Federal . . . . .	\$1,216,600	\$1,138,100	-\$78,500
Special Revenue Funds — Other . . . . .	64,094,300	59,628,600	-4,465,700
Total . . . . .	<u>\$65,310,900</u>	<u>\$60,766,700</u>	<u>-\$4,544,200</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
Special Revenue Funds — Other . . . . .	\$9,384,100	\$9,421,400	+ \$37,300
Regulation of Utilities			
Special Revenue Funds — Federal . . . . .	1,216,600	1,138,100	-78,500
Special Revenue Funds — Other . . . . .	54,710,200	50,207,200	-4,503,000
<u>Total . . . . .</u>	<u>\$65,310,900</u>	<u>\$60,766,700</u>	<u>-\$4,544,200</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$9,421,400	+ \$37,300	\$5,104,400	+ \$40,000
Regulation of Utilities . . . . .	51,345,300	-4,581,500	30,734,600	-2,979,600
<u>Total . . . . .</u>	<u>\$60,766,700</u>	<u>-\$4,544,200</u>	<u>\$35,839,000</u>	<u>-\$2,939,600</u>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$4,317,000	-\$2,700	. . . . .	. . . . .
Regulation of Utilities . . . . .	20,278,000	-1,497,400	\$332,700	-\$104,500
<u>Total . . . . .</u>	<u>\$24,595,000</u>	<u>-\$1,500,100</u>	<u>\$332,700</u>	<u>-\$104,500</u>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Other . . . . .	\$200,000	\$800,000	+ \$600,000
<u>Total . . . . .</u>	<u>\$200,000</u>	<u>\$800,000</u>	<u>+ \$600,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Regulation of Utilities			
Special Revenue Funds — Other . . . . .	\$200,000	\$800,000	+ \$600,000
<u>Total . . . . .</u>	<u>\$200,000</u>	<u>\$800,000</u>	<u>+ \$600,000</u>



# **STATE RACING AND WAGERING BOARD**

## **MISSION**

The Racing and Wagering Board regulates all legalized gambling activities in New York except 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 and central office staff are in Albany with additional staff operating from the New York City regional office. The agency also employs on-site inspectors at the Oneida Indians' Turning Stone Casino in Verona, Oneida County. 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 — Batavia, Buffalo, Monticello, Saratoga, Syracuse, Vernon Downs and Yonkers. The Racing and Wagering Board will have a workforce of 123 full time and 153 temporary staff in 1999-2000. These positions will be entirely supported by revenues generated by the Indian casino, charitable gaming and horse racing activities that the Board oversees.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 Executive Budget shifts responsibility for funding oversight of the horse racing industry from general taxpayers to those who benefit from the industry itself. Specifically, \$11.8 million in revenue from a new surcharge on exotic and super exotic wagers will be dedicated to: staff and related costs associated with the processing of racing licenses; investigations and subsequent legal hearings to suspend or fine violators of racing regulations; seasonal employees at the thoroughbred and harness tracks; the testing of race horses for prohibited drugs; and oversight of the financial, wagering and security operations of regional OTBs. An additional \$1.7 million from the new surcharge is recommended for direct assistance to the racing industry.

In addition, \$2 million in existing fees collected by the State from charitable gaming proceeds is recommended to support the regulation of these games. This funding will support oversight of "bell jar" games, which are games of chance in which players remove "pull tabs" from randomly drawn tickets to reveal potential winning combinations of three or more matching items. The Budget also authorizes \$3 million in revenues from fees charged to Indian casinos to pay for on-site monitoring and investigation of these casinos.

## **PROGRAM HIGHLIGHTS**

### **REGULATION OF GAMES OF CHANCE**

The Racing and Wagering Board promulgates rules and regulations governing bingo and other games of chance operated by more than 14,100 charitable and not-for-profit organizations throughout the State. The Board establishes standards for issuing licenses to suppliers and manufacturers of gaming equipment; reviews financial statements of

## RACING AND WAGERING

charitable gaming operations; and, in conjunction with local law enforcement officials, investigates illegal gaming activities. In accordance with legislation enacted in 1996, the Board will continue to expand 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 and St. Regis Mohawk Tribe to conduct gaming activities. Under these compacts, the Racing and Wagering Board is responsible for supervising current and planned gaming activities operating on these Indian lands. The Board maintains 21 employees that oversee activities at the Oneida Nation's Turning Stone Casino. The St. Regis Mohawk Tribe, located in Clinton County, plans to open a casino on its lands in 1999.

### REGULATION OF RACING

The Board's permanent staff oversee 153 temporary employees who ensure that horse races at the State's race tracks are conducted legally. As part of this effort, the Board has a contract with Cornell University to conduct research and to carry out post-race testing of blood and urine samples taken from race horses.

#### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$14,694,607	\$16,767,300	+ \$2,072,693	. . . .
Aid To Localities . . . . .	250,000	1,700,000	+ 1,450,000	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$14,944,607</u>	<u>\$18,467,300</u>	<u>+ \$3,522,693</u>	<u>. . . .</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
Special Revenue Funds — Other . . . . .	15	15	. . . .	15	. . . .
Audit and Investigation					
Special Revenue Funds — Other . . . . .	23	23	. . . .	23	. . . .
Regulation of Racing and Off-Track Betting					
Special Revenue Funds — Other . . . . .	4	4	. . . .	4	. . . .
Regulation of Wagering					
Special Revenue Funds — Other . . . . .	81	81	. . . .	81	. . . .
Total . . . . .	<u>123</u>	<u>123</u>	<u>. . . .</u>	<u>123</u>	<u>. . . .</u>

# RACING AND WAGERING

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	. . . . .	. . . . .	. . . . .
Special Revenue Funds — Other . . . . .	\$14,694,607	\$16,767,300	+ \$2,072,693
<b>Total . . . . .</b>	<b><u>\$14,694,607</u></b>	<b><u>\$16,767,300</u></b>	<b><u>+ \$2,072,693</u></b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
Special Revenue Funds — Other . . . . .	\$1,601,700	\$1,846,900	+ \$245,200
Audit and Investigation			
Special Revenue Funds — Other . . . . .	1,177,800	1,536,800	+ 359,000
Regulation of Racing and Off-Track Betting			
Special Revenue Funds — Other . . . . .	6,961,500	8,404,300	+ 1,442,800
Regulation of Wagering			
Special Revenue Funds — Other . . . . .	4,953,607	4,979,300	+ 25,693
<b>Total . . . . .</b>	<b><u>\$14,694,607</u></b>	<b><u>\$16,767,300</u></b>	<b><u>+ \$2,072,693</u></b>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$1,846,900	+ \$245,200	\$674,200	+ \$37,100
Audit and Investigation . . . . .	1,536,800	+ 359,000	1,081,500	-17,000
Regulation of Racing and Off-Track Betting . . . . .	8,404,300	+ 1,442,800	4,261,300	-5,400
Regulation of Wagering . . . . .	4,979,300	+ 25,693	2,982,700	+ 19,000
<b>Total . . . . .</b>	<b><u>\$16,767,300</u></b>	<b><u>+ \$2,072,693</u></b>	<b><u>\$8,999,700</u></b>	<b><u>+ \$33,700</u></b>

<u>Program</u>	<u>Nonpersonal Service</u>	
	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$1,172,700	+ \$208,100
Audit and Investigation . . . . .	455,300	+ 376,000
Regulation of Racing and Off-Track Betting . . . . .	4,143,000	+ 1,448,200
Regulation of Wagering . . . . .	1,996,600	+ 6,693
<b>Total . . . . .</b>	<b><u>\$7,767,600</u></b>	<b><u>+ \$2,038,993</u></b>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$250,000	. . . . .	-\$250,000
Special Revenue Funds — Other . . . . .	. . . . .	\$1,700,000	+ 1,700,000
<b>Total . . . . .</b>	<b><u>\$250,000</u></b>	<b><u>\$1,700,000</u></b>	<b><u>+ \$1,450,000</u></b>

# RACING AND WAGERING

---

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Audit and Investigation			
General Fund . . . . .	\$250,000	. . . .	-\$250,000
Racing Industry Assistance Program			
Special Revenue Funds — Other . . . . .	. . . .	\$1,700,000	+ 1,700,000
Total . . . . .	<u>\$250,000</u>	<u>\$1,700,000</u>	<u>+ \$1,450,000</u>

# **NEW YORK STATE SCIENCE AND TECHNOLOGY FOUNDATION**

## **MISSION**

The New York State Science and Technology Foundation is a public benefit corporation that identifies, promotes and invests in new high technology enterprises that have significant potential for job creation in the State. The Foundation also fosters the transfer of new technologies from research and development to commercial application.

## **ORGANIZATION AND STAFFING**

The Department of Economic Development is responsible for administration of Foundation programs. Accordingly, while the Science and Technology Foundation remains an incorporated not-for-profit entity, it functions as a division within the Department of Economic Development and has no separate staff. The Foundation's activities are governed by a 13-member Board of Directors, chaired by the Commissioner of Economic Development.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 Executive Budget will provide \$24.045 million in State tax dollars from the General Fund for Foundation programs, including \$13 million for the Centers for Advanced Technology Program; \$1.5 million for the New York State Technology Enterprise Corporation; \$300,000 for the Griffiss Local Development Corporation; \$1 million for Industrial Technology Extension Services; \$1 million for Technology Development Organizations; \$320,000 for the Northeast Parallel Architecture Center; \$125,000 for the Hudson Valley Info Mall; \$500,000 for the Buffalo Technology Transfer Center at Sisters Hospital; \$5 million for the Focus Center-New York semiconductor research center; \$550,000 for university research centers at the State University of New York at Binghamton and the University of Rochester; and \$750,000 to provide matching grants to New York public and private universities for Federal awards made by the National Science Foundation.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Aid To Localities . . . . .	\$26,793,000	\$24,045,000	-\$2,748,000	\$14,931,000
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$26,793,000</u>	<u>\$24,045,000</u>	<u>-\$2,748,000</u>	<u>\$14,931,000</u>

**SCIENCE AND TECHNOLOGY**

---

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$26,793,000	\$24,045,000	-\$2,748,000
Total .....	<u>\$26,793,000</u>	<u>\$24,045,000</u>	<u>-\$2,748,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
High Technology General Fund .....	\$26,793,000	\$24,045,000	-\$2,748,000
Total .....	<u>\$26,793,000</u>	<u>\$24,045,000</u>	<u>-\$2,748,000</u>

# THRUWAY AUTHORITY

In addition to operating a 641-mile toll-highway system, the Thruway Authority 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, numerous dams, reservoirs and water control structures.

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 and a reappropriation of \$2 million from the Canal System Development Fund for a portion of the maintenance, construction, reconstruction, development and promotion of the canals. All other Canal System and Thruway Authority programs are supported by Authority funds and are not reflected in the Executive Budget.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	. . . .	. . . .	. . . .	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	\$2,000,000	\$2,000,000	. . . .	\$2,000,000
Total . . . . .	\$2,000,000	\$2,000,000	. . . .	\$2,000,000

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Canal Development Program				
New York State Canal System Development Fund . . . . .	\$2,000,000	\$2,000,000	. . . .	\$2,000,000
Total . . . . .	\$2,000,000	\$2,000,000	. . . .	\$2,000,000



# **DEPARTMENT OF TRANSPORTATION**

## **MISSION**

The Department of Transportation directly maintains and improves the State's more than 40,000 highway lane miles and 7,500 bridges. In addition, the Department partially funds locally-operated transit systems, local government highway and bridge construction and rail and airport programs.

## **ORGANIZATION AND STAFFING**

The Department is headed by a Commissioner appointed by the Governor. The Department's main office is in Albany, with 11 regional offices in Albany, 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.

In 1999-2000, the Department will have a full-time workforce of approximately 10,600 employees. Employees 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.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Department is responsible for the implementation of the highway and bridge program. It is supported primarily by revenues from the Petroleum Business Tax, highway use and motor fuel taxes and motor vehicle fees. Substantial Federal aid and remaining proceeds of the 1988 General Obligation Bonds are also used to support the program.

The Department's operating budget is devoted primarily to highway maintenance, particularly snow and ice removal. These activities are supported in large part through State tax dollars in the General Fund, which provides approximately 79.5 percent of the funding.

Nearly \$29.2 million or 15.5 percent of total funding for Department operations is derived from fees, including those imposed on trucks registered to transport products throughout the State, special permit fees based on vehicle weights and lengths imposed on trucks hauling loads greater than those normally permitted on State roads, 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 administrative support services, snow and ice removal, highway safety and aviation programs.

Federal aid of \$6.3 million and \$4.3 million in dedicated mass transit funds help finance the remaining 5.0 percent of operations primarily for mass transportation, aviation and motor-carrier safety programs.

For 1999-2000, the Department will continue efficiency measures begun in previous years, including restricted hiring, tightened inventory controls, minimized travel costs, closely monitored overtime and other actions.

Snow and ice control services constitute the bulk of the Department's state operations budget. Recommendations include over \$100 million for State maintenance crews to control snow and ice and \$29.9 million to fund snow and ice control by municipalities.

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. The highway and bridge

## **TRANSPORTATION**

---

construction level in 1999-2000 will total \$1.5 billion, reduced by 11.8 percent from the 1998-99 level in order to reduce reliance on bond financing and augment the State's overall policy to control future debt levels. In addition, the Department is using Federal funds to implement a \$200 million initiative for local bridge projects.

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 highway user fees, portions of the petroleum business tax, the motor fuel tax and motor vehicle registration fees. 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.

The Engineering Services Fund supports the Department's engineering, planning and construction inspection activities. The Fund derives its revenues primarily from Federal aid and Dedicated Fund resources, in accordance with the funding source of individual projects.

The Department of Transportation's State and Local Highway Capital Program is the recipient of approximately \$1.3 billion in Federal Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21) funding, distributed by Federal formulas and used only for federally approved projects primarily approved by local Metropolitan Planning Organizations.

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. These programs are funded by bonds issued by the Thruway Authority with debt service paid from the State's Dedicated Highway and Bridge Trust Fund. The CHIPS capital program will be funded at \$192.3 million, and the Marchiselli program will provide \$35.0 million in 1999-2000; these levels represent reductions from the 1998-99 level that are commensurate with the debt reduction initiative in the State highway and bridge program. CHIPS operating aid will remain at \$56.2 million, the 1998-99 level.

The Multi-modal Program was established to provide total funding of \$350 million over four years, beginning in 1996-97. The Executive Budget completes the program with a \$100 million authorization for 1999-2000. Financed by the Dedicated Highway and Bridge Trust Fund, the Multi-modal Program provides capital funding for State and local highway and bridge, aviation, port and rail projects.

New appropriations totaling \$33 million will support the State's share of an \$85 million federally-funded rail freight initiative to improve access to the State's businesses and reduce highway congestion. Of this amount, \$20 million will be provided from the Department's Industrial Access Program.

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 and the Dedicated Mass Transportation Trust Fund. Mass Transportation Operating Assistance Fund revenues are derived from a 1/4 percent sales tax and a business tax surcharge levied in the New York City metropolitan region, as well as a portion of statewide taxes on transmission and transportation companies and petroleum-related businesses, which also fund the Dedicated Mass Transportation Trust Fund through a supplemental tax. State operating assistance to transit systems will total over \$1.46 billion, a decrease of \$92 million, reflecting a return to normal levels of aid after a one-time release of a balance from the MTOA Fund in 1998-99.

Over \$1.2 billion in State operating aid is recommended for the Metropolitan Transportation Authority (MTA) in 1999-2000, a decrease of \$78 million from the 1998-99 level that was enhanced by the one-time balance release. In addition to operating aid, a special \$96 million appropriation is provided from the MTOA Fund to meet the State's commitment to the MTA 1995-1999 Capital Plan. State aid supports over one-fifth of the Authority's annual operating budget. The assistance includes \$45 million in General Fund support for the MTA as the State's contribution to reduced fares for New York City school children. The City will match this contribution.

Transit operators other than the MTA will receive a total of \$202.3 million in State operating assistance in 1999-2000, a decrease of \$14.0 million from 1998-99. Of this amount, \$68.6 million is targeted for upstate transit systems. Capital funding of \$12 million is recommended for transit systems other than the MTA from the Dedicated Mass Transportation Trust Fund for a variety of transit-related needs, primarily bus purchases. This continues a program initiated in 1996-97. In addition, \$14.6 million from the Trust Fund will be provided to local transit operators for a portion of the required match to Federal capital aid.

### **PROGRAM HIGHLIGHTS**

#### **HIGHWAYS AND BRIDGES**

Improving the State's vital transportation infrastructure remains the agency's highest priority. As part of the first four years of the multi-year plan, the Department improved more than 32,000 lane miles through capital or preventive maintenance work and completed 24,000 bridge improvement projects. For 1999-2000, the Department will award over 500 contracts for construction and reconstruction and anticipates completing capital or preventive maintenance work on over 7,000 lane miles of highways and improving over 5,000 bridges through capital and maintenance activities. Preventive maintenance will continue to be an area of significant concentration. Preventive maintenance performed by State forces and private sector contractors will total \$338.2 million in 1999-2000.

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, Marchiselli and Multi-modal programs. These programs primarily fund 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. In 1999-2000, the Department will implement the Governor's initiative to inspect heavy duty trucks and buses for emissions that can damage air quality.

#### **PUBLIC TRANSPORTATION**

The Department provides oversight and funding for more than 70 locally operated public transportation systems, 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, as well as "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 and the Dedicated Mass Transportation Trust Fund as well as 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.

# TRANSPORTATION

## ALL FUNDS APPROPRIATIONS

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$233,638,000	\$216,883,000	-\$16,755,000	\$27,579,000
Aid To Localities . . . . .	1,624,476,500	1,635,413,000	+ 10,936,500	52,744,000
Capital Projects . . . . .	3,399,167,000	3,259,947,000	-139,220,000	7,971,878,000
Total . . . . .	<u>\$5,257,281,500</u>	<u>\$5,112,243,000</u>	<u>-\$145,038,500</u>	<u>\$8,052,201,000</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Office of Passenger and Freight Transportation Program					
General Fund . . . . .	86	86	. . . .	86	. . . .
Special Revenue Funds — Federal . . . . .	69	63	6	69	. . . .
Special Revenue Funds — Other . . . . .	269	278	. . . .	278	+ 9
Planning and Program Management					
Capital Project Funds . . . . .	690	. . . .	669	669	-21
Real Estate					
Capital Project Funds . . . . .	250	. . . .	242	242	-8
Design and Construction					
Capital Project Funds . . . . .	4,455	. . . .	4,319	4,319	-136
Operations					
General Fund . . . . .	3,450	3,439	. . . .	3,439	-11
Special Revenue Funds — Other . . . . .	9	9	. . . .	9	. . . .
Internal Service Funds . . . . .	22	22	. . . .	22	. . . .
New York Metropolitan Transportation Council					
Special Revenue Funds — Other . . . . .	68	68	. . . .	68	. . . .
Preventive Maintenance					
Capital Project Funds . . . . .	1,429	1,429	. . . .	1,429	. . . .
Subtotal, Direct Funded Programs . . . . .	10,797	<u>5,394</u>	<u>5,236</u>	10,630	-167
Suballocations:					
Special Revenue Funds — Federal . . . . .	3			3	. . . .
Total . . . . .	<u>10,800</u>			<u>10,633</u>	<u>-167</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$170,969,000	\$172,478,000	+ \$1,509,000
Special Revenue Funds — Federal . . . . .	11,721,000	6,332,000	-5,389,000
Special Revenue Funds — Other . . . . .	46,424,000	33,515,000	-12,909,000
Internal Service Funds . . . . .	4,524,000	4,558,000	+ 34,000
Total . . . . .	<u>\$233,638,000</u>	<u>\$216,883,000</u>	<u>-\$16,755,000</u>

# TRANSPORTATION

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Office of Passenger and Freight Transportation Program			
General Fund . . . . .	\$3,726,000	\$3,741,000	+ \$15,000
Special Revenue Funds — Federal . . . . .	11,721,000	6,332,000	-5,389,000
Special Revenue Funds — Other . . . . .	27,898,000	21,806,000	-6,092,000
Operations			
General Fund . . . . .	167,243,000	168,737,000	+ 1,494,000
Special Revenue Funds — Other . . . . .	18,526,000	10,711,000	-7,815,000
Internal Service Funds . . . . .	4,524,000	4,558,000	+ 34,000
Clean Air			
Special Revenue Funds — Other . . . . .	. . . . .	998,000	+ 998,000
Total . . . . .	<u>\$233,638,000</u>	<u>\$216,883,000</u>	<u>-\$16,755,000</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Office of Passenger and Freight Transportation Program . . . . .	\$3,741,000	+ \$15,000	\$3,741,000	+ \$15,000	. . . . .	. . . . .
Operations . . . . .	124,151,000	+ 7,258,000	108,390,000	+ 6,575,000	\$15,761,000	+ \$683,000
Total . . . . .	<u>\$127,892,000</u>	<u>+ \$7,273,000</u>	<u>\$112,131,000</u>	<u>+ \$6,590,000</u>	<u>\$15,761,000</u>	<u>+ \$683,000</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Operations . . . . .	\$44,586,000	-\$5,764,000	\$9,249,000	. . . . .
Total . . . . .	<u>\$44,586,000</u>	<u>-\$5,764,000</u>	<u>\$9,249,000</u>	<u>. . . . .</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Operations . . . . .	\$6,687,000	. . . . .	\$28,650,000	-\$5,764,000
Total . . . . .	<u>\$6,687,000</u>	<u>. . . . .</u>	<u>\$28,650,000</u>	<u>-\$5,764,000</u>

# TRANSPORTATION

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Office of Passenger and Freight Transportation Program . . . . .	\$28,138,000	-\$11,481,000	\$10,176,000	-\$3,409,000
Operations . . . . .	15,269,000	-7,781,000	1,840,000	+ 26,000
Clean Air . . . . .	998,000	+ 998,000	234,000	+ 234,000
<b>Total . . . . .</b>	<b>\$44,405,000</b>	<b>-\$18,264,000</b>	<b>\$12,250,000</b>	<b>-\$3,149,000</b>

Program	Nonpersonal Service		Maintenance	Undistributed
	Amount	Change		
Office of Passenger and Freight Transportation Program . . . . .	\$15,283,000	-\$1,703,500	\$2,679,000	-\$6,368,500
Operations . . . . .	2,800,000	-7,522,000	10,629,000	-285,000
Clean Air . . . . .	764,000	+ 764,000	.....	.....
<b>Total . . . . .</b>	<b>\$18,847,000</b>	<b>-\$8,461,500</b>	<b>\$13,308,000</b>	<b>-\$6,653,500</b>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$168,807,500	\$163,033,000	-\$5,774,500
Special Revenue Funds — Federal . . . . .	18,023,000	26,003,000	+ 7,980,000
Special Revenue Funds — Other . . . . .	1,437,646,000	1,446,377,000	+ 8,731,000
<b>Total . . . . .</b>	<b>\$1,624,476,500</b>	<b>\$1,635,413,000</b>	<b>+ \$10,936,500</b>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Rural Transportation Improvement			
General Fund . . . . .	\$59,136,000	\$58,836,000	-\$300,000
Special Revenue Funds — Federal . . . . .	8,200,000	16,180,000	+ 7,980,000
Special Revenue Funds — Other . . . . .	1,180,946,000	1,193,677,000	+ 12,731,000
Dedicated Mass Transportation Trust Program			
Special Revenue Funds — Other . . . . .	256,700,000	252,700,000	-4,000,000
Mass Transportation Assistance			
General Fund . . . . .	45,000,000	45,000,000	.....
Mass Transportation Special Assistance Program			
General Fund . . . . .	8,000,000	3,000,000	-5,000,000
Federal Highway Administration Local Planning			
Special Revenue Funds — Federal . . . . .	9,823,000	9,823,000	.....
Consolidated Local Highway Assistance Program			
General Fund . . . . .	56,197,000	56,197,000	.....
Legislative Initiatives			
General Fund . . . . .	474,500	.....	-474,500
<b>Total . . . . .</b>	<b>\$1,624,476,500</b>	<b>\$1,635,413,000</b>	<b>+ \$10,936,500</b>

# TRANSPORTATION

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
<b>Highway Facilities</b>				
Airport or Aviation State Program				
Dedicated Highway and Bridge Trust Fund . . . . .	\$4,500,000	. . . . .	-\$4,500,000	\$3,500,000
Accelerated Capacity and Transportation Improvements Fund				
Accelerated Capacity and Transportation Improvements Fund . . . . .	. . . . .	. . . . .	. . . . .	140,375,000
Other Transportation Aid				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	423,000
Federal Aid Highways - Bondable Purpose				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	9,935,000
Federal Aid Highways - Federal Purpose				
Federal Capital Projects Fund . . . . .	1,200,000,000	\$1,350,000,000	+ 150,000,000	3,739,787,000
Non-Federal Aided Highway Capital Projects				
Dedicated Highway and Bridge Trust Fund . . . . .	1,525,150,000	1,248,150,000	-277,000,000	2,453,243,000
Other Highway Aid				
Community Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	250,000
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	5,074,000
<b>Highway Facilities</b>				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	49,666,000
Suburban Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	74,265,000
Infrastructure Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	7,847,000
Priority Bond Act Projects				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	17,332,000
Road and Bridge Improvements - Bondable				
Capital Projects Fund - A.C. and T.I. Fund (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	130,355,000
Municipal Highway - Railroad Crossing Alterations				
Capital Projects Fund - Advances . . . . .	. . . . .	. . . . .	. . . . .	331,000
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	1,568,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	. . . . .	. . . . .	3,700,000
Transportation Infrastructure Renewal Bond Fund - 123				
Transportation Infrastructure Renewal Bond Fund . . . . .	. . . . .	. . . . .	. . . . .	58,521,000
Engineering Services				
NY Metro Transportation Council Account . . . . .	8,129,000	8,031,000	-98,000	15,672,000
Engineering Services Fund . . . . .	605,649,000	539,388,000	-66,261,000	906,348,000
<b>Mass Transportation and Rail Freight</b>				
Mass Transportation and Rail Freight Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	10,746,000
Rail Preservation and Development Fund				
Energy Conservation Through Improved Transportation Bond Fund . . . . .	. . . . .	. . . . .	. . . . .	2,619,000
Marine Projects				
Dedicated Mass Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	954,000
Small and Minority and Women-Owned Small Business Assistance				
Dedicated Mass Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	5,000,000
Special Rail and Aviation Program				
Dedicated Mass Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	31,541,000
Transportation Capital Facilities Bond Fund—Mass Transportation				
Transportation Capital Facilities Bond Fund - Mass Transportation . . . . .	. . . . .	. . . . .	. . . . .	1,000
Mass Transportation and Rail Freight				
Capital Projects Fund - Energy Conservation (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	2,593,000
Dedicated Highway and Bridge Trust Fund . . . . .	. . . . .	13,000,000	+ 13,000,000	8,848,000
Dedicated Mass Transportation Fund . . . . .	16,000,000	18,000,000	+ 2,000,000	29,657,000
Federal Capital Projects Fund . . . . .	. . . . .	. . . . .	. . . . .	29,837,000
Mass Transportation				
Dedicated Mass Transportation Fund . . . . .	10,489,000	14,628,000	+ 4,139,000	64,412,000
Rail Freight				
Capital Projects Fund - Advances . . . . .	. . . . .	. . . . .	. . . . .	25,902,000
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	8,375,000
Dedicated Mass Transportation Fund . . . . .	. . . . .	. . . . .	. . . . .	5,883,000
<b>Highway Maintenance Facilities</b>				
Maintenance Facilities				
Dedicated Highway and Bridge Trust Fund . . . . .	26,250,000	26,250,000	. . . . .	60,633,000
<b>Aviation</b>				
Airport or Aviation Program				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	2,821,000
Capital Projects Fund - Aviation (Bondable) . . . . .	. . . . .	. . . . .	. . . . .	8,522,000
Airport or Aviation State Program				
Regional Aviation Fund . . . . .	. . . . .	35,000,000	+ 35,000,000	. . . . .
Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00

## **TRANSPORTATION**

---

Dedicated Highway and Bridge Trust Fund . . . . .	1,500,000	6,000,000	+ 4,500,000	20,023,000
Passenger Facility Charge Fund . . . . .	1,500,000	1,500,000	. . . .	2,650,000
Special Rail and Aviation Program				
Dedicated Highway and Bridge Trust Fund . . . . .	. . . .	. . . .	. . . .	1,856,000
Transportation Capital Facilities Bond Fund—Aviation				
Transportation Capital Facilities Bond Fund - Aviation . . . . .	. . . .	. . . .	. . . .	13,552,000
Federal Airport or Aviation				
Federal Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	16,558,000
Port Development				
Port Development Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . .	. . . .	. . . .	218,000
Canals and Waterways				
Canals and Waterways - Bondable				
Capital Projects Fund - Infrastructure Renewal (Bondable) . . . . .	. . . .	. . . .	. . . .	485,000
Total . . . . .	<u>\$3,399,167,000</u>	<u>\$3,259,947,000</u>	<u>-\$139,220,000</u>	<u>\$7,971,878,000</u>
Adjustments:				
Transfer To Criminal Justice				
Services, Division of General Fund . . . . .	<u>+ 2,400,000</u>			
Appropriated for Fiscal 1998-99 . . . . .	<u>\$3,401,567,000</u>			

***GENERAL  
GOVERNMENT***



# **ADIRONDACK PARK AGENCY**

## **MISSION**

The Adirondack Park Agency (APA) was established in 1971 to "insure 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 APA is governed by an 11-member board, including the commissioners of Environmental Conservation and Economic Development and the Secretary of State. The other members, five of whom must be Park residents, are nominated by the Governor with Senate confirmation. The principal functions of the APA are:

- reviewing and issuing permits for private and State land-use projects, consistent with the Adirondack Park Master Plan and 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;
- analyzing and developing policy to improve and protect the Park;
- helping local governments develop land use plans and providing technical expertise;
- administering the State's Wild, Scenic and Recreational River System; and
- operating two Visitor Interpretive Centers: one near Paul Smith's College, Franklin County, and one in Newcomb, Essex County, at which visitors can better understand and appreciate the Park's resources.

APA's responsibilities are carried out by the following divisions: Planning, which handles local and regional 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; Interpretive, which operates the Visitor Centers; Resource Analysis, which conducts scientific research of the ecology of the Adirondacks; Economic Services, which assists project sponsors in the review process; and Local Government Services, which provides technical expertise and assistance to communities. For 1999-00, APA will have a workforce of 60 positions.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Agency's 1999-00 operating costs will be funded with State tax dollars and Federal grant moneys. The Executive Budget recommends funding of \$3.6 million in General Fund support for the Agency's operations. This recommendation will support the Agency's core functions of regulating development within the Adirondack Park and operating the Visitor Interpretive Centers at Newcomb and Paul Smith's.

In addition, the Executive Budget recommends General Fund support of \$50,000 for the Adirondack Park Local Government Review Board. The Board advises and assists the APA in carrying out its responsibilities and monitors the implementation of the Adirondack Park Land Use and Development Plan.

## **PROGRAM HIGHLIGHTS**

Since 1995-96, the Agency has worked to achieve a balance between strong environmental protection and the needs of people who live in the Adirondack Park. The Agency's priorities for the future include continued updating of the Agency's rules and

# ADIRONDACK PARK AGENCY

regulations, facilitating the development of land use plans by local governments, providing local governments with technical expertise and training, and improving resource data base information to better protect the resources of the Adirondack Park.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$3,642,800	\$3,556,800	-\$86,000	\$952,000
Aid To Localities . . . . .	50,000	50,000	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$3,692,800</b>	<b>\$3,606,800</b>	<b>-\$86,000</b>	<b>\$952,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration General Fund . . . . .	60	60	. . . .	60	. . . .
<b>Total . . . . .</b>	<b>60</b>	<b>60</b>	<b>. . . .</b>	<b>60</b>	<b>. . . .</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$3,492,800	\$3,556,800	+ \$64,000
Special Revenue Funds — Federal . . . . .	150,000	. . . .	-150,000
<b>Total . . . . .</b>	<b>\$3,642,800</b>	<b>\$3,556,800</b>	<b>-\$86,000</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration General Fund . . . . .	\$3,492,800	\$3,556,800	+ \$64,000
Special Revenue Funds — Federal . . . . .	150,000	. . . .	-150,000
<b>Total . . . . .</b>	<b>\$3,642,800</b>	<b>\$3,556,800</b>	<b>-\$86,000</b>

# ADIRONDACK PARK AGENCY

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$3,014,800	+ \$64,000	\$2,871,600	+ \$58,900	\$139,500	+ \$5,000
Total . . . . .	\$3,014,800	+ \$64,000	\$2,871,600	+ \$58,900	\$139,500	+ \$5,000

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$3,700	+ \$100
Total . . . . .	\$3,700	+ \$100

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$542,000	. . . .	\$83,500	. . . .
Total . . . . .	\$542,000	. . . .	\$83,500	. . . .

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$44,500	. . . .	\$389,900	. . . .
Total . . . . .	\$44,500	. . . .	\$389,900	. . . .

Program	Equipment	
	Amount	Change
Administration . . . . .	\$24,100	. . . .
Total . . . . .	\$24,100	. . . .

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Nonpersonal Service	
	Amount	Change	Amount	Change
Administration . . . . .	. . . .	-\$150,000	. . . .	-\$150,000
Total . . . . .	. . . .	-\$150,000	. . . .	-\$150,000

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$50,000	\$50,000	. . . .
Total . . . . .	\$50,000	\$50,000	. . . .

# ADIRONDACK PARK AGENCY

---

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
General Fund .....	\$50,000	\$50,000	.....
Total .....	<u>\$50,000</u>	<u>\$50,000</u>	<u>.....</u>

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

## ***MISSION***

The Division of Alcoholic Beverage Control (ABC) regulates and controls the manufacture, sale and distribution of alcoholic beverages within the State. The Division issues and renews licenses and permits to manufacturers, distributors, wholesalers and retailers; works with local law enforcement agencies to ensure compliance with the ABC Law; regulates trade and credit practices for the sale and distribution of alcoholic beverages by such actions as registering brand labels and controlling wholesale and retail prices; and certifies alcohol awareness training programs and individuals who participate in these programs.

## ***ORGANIZATION AND STAFFING***

The Division operates under the direction of a three member State Liquor Authority, which is appointed by the Governor with the advice and consent of the Senate. It has offices in New York City, Albany, Syracuse and Buffalo. The Division will have a workforce of 216 positions for 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 1999-2000, a total of \$13.7 million in special revenue funding will support the Division. The Budget also includes funding to implement Chapter 383 of the Laws of 1998, which authorizes voluntary alcohol awareness training programs.

## ***PROGRAM HIGHLIGHTS***

Staff assigned to the Licensing Program are responsible for the timely processing of the permits and licenses required by the Alcoholic Beverage Control Law. Reflecting the recommendations of private consultants, the Division has installed modern computer and imaging systems to re-engineer and automate the licensing process. These improvements have reduced processing time by one-third, contained operating costs and accelerated revenue collections.

In cooperation with local law enforcement agencies, staff of the Compliance Program ensure that regulated parties comply with the Law. The Division investigates and holds administrative hearings on complaints against permit and license holders. Penalties, ranging from warnings to license suspension and revocation, are imposed for violations.

### **ALL FUNDS APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$11,640,200	\$13,702,400	+ \$2,062,200	. . . . .
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$11,640,200</u>	<u>\$13,702,400</u>	<u>+ \$2,062,200</u>	<u>. . . . .</u>

# ALCOHOLIC BEVERAGE CONTROL

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund	27	.....	.....	.....	-27
Special Revenue Funds — Other	.....	27	.....	27	+ 27
Licensing and Wholesaler Services					
General Fund	81	.....	.....	.....	-81
Special Revenue Funds — Other	24	101	.....	101	+ 77
Compliance					
General Fund	55	.....	.....	.....	-55
Special Revenue Funds — Other	28	88	.....	88	+ 60
<b>Total</b>	<b>215</b>	<b>216</b>	<b>.....</b>	<b>216</b>	<b>+ 1</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	.....	.....	.....
Special Revenue Funds — Other	\$11,640,200	\$13,702,400	+ \$2,062,200
<b>Total</b>	<b>\$11,640,200</b>	<b>\$13,702,400</b>	<b>+ \$2,062,200</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
Special Revenue Funds — Other	\$2,725,700	\$3,082,100	+ \$356,400
Licensing and Wholesaler Services			
Special Revenue Funds — Other	4,333,400	5,147,200	+ 813,800
Compliance			
Special Revenue Funds — Other	4,581,100	5,473,100	+ 892,000
<b>Total</b>	<b>\$11,640,200</b>	<b>\$13,702,400</b>	<b>+ \$2,062,200</b>

# ALCOHOLIC BEVERAGE CONTROL

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$3,082,100	+ \$356,400	\$1,236,100	-\$62,500
Licensing and Wholesaler Services . . . . .	5,147,200	+ 813,800	3,488,300	-91,500
Compliance . . . . .	5,473,100	+ 892,000	3,650,600	+ 2,400
Total . . . . .	\$13,702,400	+ \$2,062,200	\$8,375,000	-\$151,600

Program	Nonpersonal Service	
	Amount	Change
Administration . . . . .	\$1,846,000	+ \$418,900
Licensing and Wholesaler Services . . . . .	1,658,900	+ 905,300
Compliance . . . . .	1,822,500	+ 889,600
Total . . . . .	\$5,327,400	+ \$2,213,800



# **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 Department of Audit and Control is organized into 12 programs, with its main office in Albany and regional offices in New York City, Buffalo, Rochester, Syracuse, Binghamton, Glens Falls and Hauppauge. These regional offices function primarily as decentralized audit centers, providing financial review of the accounting of revenues collected and expenses incurred by counties, cities, towns and villages, school and fire districts, and quasi-governmental entities. The Department will have a workforce of 2,091 positions for 1999-2000.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The operating expenses of the Department are funded primarily with State tax dollars from the General Fund and with revenues from the Employee Retirement Systems. The Executive Budget recommends \$150.1 million for the Department's State Operations budget, including \$92.3 million, or 61 percent, in General Fund support. This portion of the Department's budget includes funding for payments on certificates of participation issued for the new payroll system, \$4.5 million for ongoing operational costs of the payroll system, and \$3.8 million to improve claims management and enhance customer service in the Unclaimed Property program.

Another 35 percent of the Department's State Operations budget will be supported in 1999-2000 with the recommended \$52.2 million in funding from the Retirement Systems.

The remaining 4 percent of this budget will be funded with:

- \$4.2 million in payments made by the City of New York and certain businesses, which support the Department's costs associated with overseeing City finances and with administering an account related to oil spill cleanups; and
- \$1.3 million in charges to the Retirement Systems for the Department's staff and other costs related to administering an internal auditing program.

The General Municipal Law provides special accidental death benefits for the survivors of police and paid firefighters who have died from accidents sustained in the performance of duty. The Executive Budget recommendation includes \$18.7 million to fund the State's share of these benefits, an increase of \$1.2 million over 1998-99.

## **PROGRAM HIGHLIGHTS**

- The Executive Direction, Legal Services, and Administrative and Electronic Data Processing Services programs are responsible for the public information, internal audit, fiscal research, data processing, financial administration, legal, office services, management analysis and human resource functions of the Department.

## **AUDIT AND CONTROL**

---

- The Pre-Audit program is the Department's largest program funded from State tax dollars. Staff assigned to this program conduct a pre-audit of all State expenditures, including vouchers and payrolls. In this capacity, the Department acts as the State's bookkeeper, recording all collected revenues in their appropriate accounts and posting all payments.
- The Management Audit program audits all State agencies and public authority programs to evaluate their effectiveness and efficiency. The Higher Education Services Corporation, and the departments of Labor and Civil Service, fund on-site auditors who monitor selected activities of these agencies. All other activities of this program are funded with State tax dollars.
- The Municipal Affairs program examines and standardizes fiscal reports and accounts of all governmental and quasi-governmental entities within the State, and monitors and makes recommendations on the fiscal condition of municipalities. Staff also audit school districts and boards of cooperative education, with a portion of these costs being funded by the State Education Department.
- The Office of the State Deputy Comptroller for the City of New York assists the New York State Financial Control Board in carrying out and exercising the responsibilities assigned, and powers granted, to the Board by the Financial Emergency Act for the City of New York.
- The State Retirement program administers the State Retirement Systems, consisting of the Employees' Retirement System, the Police and Fire Retirement System, and the Public Employees' Group Life Insurance Plan. Currently, there are about 2,800 participating government employers, 582,000 active members and approximately 284,500 pensioners.
- The Investments and Cash Management program, in addition to overseeing the assets of the Retirement Systems, issues general obligation debt, invests short-term moneys for the State and local governments and selects financial institutions to provide banking services to the State.
- The Unclaimed Property program administers the Unclaimed Property Law. This involves the Department ensuring the timely transfer of all abandoned property to the State from banks, insurance and utility companies, notifying the legal owners of abandoned property and paying all valid claims where legal ownership has been established.
- The Justice Court program processes revenues generated by the local courts and by the sale of licenses for bingo and games of chance. These revenues are deposited in the Justice Court Fund and subsequently distributed to the State and localities to which the funds are owed.
- 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 are comprised of receipts from a fee levied on each barrel of petroleum shipped into the State.

# AUDIT AND CONTROL

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$135,742,100	\$150,067,200	+ \$14,325,100	. . . .
Aid To Localities . . . . .	17,482,000	18,705,000	+ 1,223,000	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$153,224,100</b>	<b>\$168,772,200</b>	<b>+ \$15,548,100</b>	<b>. . . .</b>

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Executive Direction					
General Fund . . . . .	38	36	. . . .	36	-2
Internal Service Funds . . . . .	15	15	. . . .	15	. . . .
Administrative and Electronic Data Processing Services					
General Fund . . . . .	273	266	. . . .	266	-7
Legal Services					
General Fund . . . . .	37	35	. . . .	35	-2
Investments and Cash Management					
General Fund . . . . .	11	11	. . . .	11	. . . .
Fiduciary Funds . . . . .	45	45	. . . .	45	. . . .
Pre-Audit					
General Fund . . . . .	350	345	. . . .	345	-5
Management Audit					
General Fund . . . . .	257	253	. . . .	253	-4
Municipal Affairs					
General Fund . . . . .	214	206	. . . .	206	-8
Justice Court					
General Fund . . . . .	20	20	. . . .	20	. . . .
Unclaimed Property Administration					
General Fund . . . . .	117	129	26	155	+ 38
Environmental Protection and Spill Compensation					
Special Revenue Funds — Other . . . . .	6	6	. . . .	6	. . . .
Office of the Special Deputy Comptroller for New York City					
General Fund . . . . .	32	31	. . . .	31	-1
Special Revenue Funds — Other . . . . .	33	33	. . . .	33	. . . .
State Retirement					
Fiduciary Funds . . . . .	598	598	. . . .	598	. . . .
<b>Subtotal, Direct Funded Programs . . . . .</b>	<b>2,046</b>	<b>2,029</b>	<b>26</b>	<b>2,055</b>	<b>+ 9</b>
Suballocations:					
General Fund . . . . .	20			20	. . . .
Internal Service Funds . . . . .	16			16	. . . .
<b>Total . . . . .</b>	<b>2,082</b>			<b>2,091</b>	<b>+ 9</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$79,043,400	\$92,339,000	+ \$13,295,600
Special Revenue Funds — Other . . . . .	3,851,800	4,215,000	+ 363,200
Internal Service Funds . . . . .	1,248,800	1,266,000	+ 17,200
Fiduciary Funds . . . . .	51,598,100	52,247,200	+ 649,100
<b>Total . . . . .</b>	<b>\$135,742,100</b>	<b>\$150,067,200</b>	<b>+ \$14,325,100</b>

# AUDIT AND CONTROL

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Executive Direction			
General Fund . . . . .	\$2,850,700	\$2,778,600	-\$72,100
Internal Service Funds . . . . .	1,248,800	1,266,000	+ 17,200
Administrative and Electronic Data Processing Services			
General Fund . . . . .	25,352,900	30,961,700	+ 5,608,800
Legal Services			
General Fund . . . . .	2,457,800	2,451,000	-6,800
Investments and Cash Management			
General Fund . . . . .	1,120,200	1,141,300	+ 21,100
Fiduciary Funds . . . . .	4,969,800	4,954,200	-15,600
Pre-Audit			
General Fund . . . . .	13,792,500	18,380,000	+ 4,587,500
Management Audit			
General Fund . . . . .	13,799,200	13,726,100	-73,100
Municipal Affairs			
General Fund . . . . .	12,091,500	11,526,500	-565,000
Justice Court			
General Fund . . . . .	645,800	689,400	+ 43,600
Unclaimed Property Administration			
General Fund . . . . .	4,919,200	8,763,200	+ 3,844,000
Environmental Protection and Spill Compensation Special Revenue Funds — Other . . . . .	588,000	603,000	+ 15,000
Office of the Special Deputy Comptroller for New York City			
General Fund . . . . .	2,013,600	1,921,200	-92,400
Special Revenue Funds — Other . . . . .	3,263,800	3,612,000	+ 348,200
State Retirement			
Fiduciary Funds . . . . .	46,628,300	47,293,000	+ 664,700
Total . . . . .	<u>\$135,742,100</u>	<u>\$150,067,200</u>	<u>+ \$14,325,100</u>

# AUDIT AND CONTROL

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Direction . . . . .	\$2,085,000	-\$72,100	\$2,068,700	-\$72,500	\$16,300	+ \$400
Administrative and Electronic Data						
Processing Services . . . . .	11,605,400	+ 2,141,800	11,553,600	+ 2,140,500	11,600	+ 300
Legal Services . . . . .	2,433,800	-6,800	2,421,400	-7,100	.....	.....
Investments and Cash Management . . . . .	629,900	+ 21,100	629,900	+ 21,100	.....	.....
Pre-Audit . . . . .	13,444,500	+ 6,300	13,130,900	-1,300	99,800	+ 2,400
Management Audit . . . . .	13,023,500	-503,100	13,001,400	-503,600	.....	.....
Municipal Affairs . . . . .	10,907,500	-565,000	10,888,500	-565,500	.....	.....
Justice Court . . . . .	689,400	+ 43,600	682,000	+ 43,400	7,400	+ 200
Unclaimed Property Administration . . . . .	4,978,700	+ 642,700	4,943,700	+ 607,700	.....	.....
Office of the Special Deputy Comptroller for New York City . . . . .	1,843,500	-92,400	1,812,800	-93,200	14,500	+ 400
<b>Total . . . . .</b>	<b>\$61,641,200</b>	<b>+ \$1,616,100</b>	<b>\$61,132,900</b>	<b>+ \$1,569,500</b>	<b>\$149,600</b>	<b>+ \$3,700</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Direction . . . . .	.....	.....
Administrative and Electronic Data		
Processing Services . . . . .	\$40,200	+ \$1,000
Legal Services . . . . .	12,400	+ 300
Investments and Cash Management . . . . .	.....	.....
Pre-Audit . . . . .	213,800	+ 5,200
Management Audit . . . . .	22,100	+ 500
Municipal Affairs . . . . .	19,000	+ 500
Justice Court . . . . .	.....	.....
Unclaimed Property Administration . . . . .	35,000	+ 35,000
Office of the Special Deputy Comptroller for New York City . . . . .	16,200	+ 400
<b>Total . . . . .</b>	<b>\$358,700</b>	<b>+ \$42,900</b>

# AUDIT AND CONTROL

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Executive Direction . . . . .	\$693,600			\$15,600	
Administrative and Electronic					
Data Processing Services . . . . .	19,356,300	+ \$3,467,000		663,100	
Legal Services . . . . .	17,200			5,000	
Investments and Cash					
Management . . . . .	511,400			5,700	
Pre-Audit . . . . .	4,935,500	+ 4,581,200		4,000	
Management Audit . . . . .	702,600	+ 430,000		10,200	
Municipal Affairs . . . . .	619,000			33,500	
Unclaimed Property					
Administration . . . . .	3,784,500	+ 3,201,300		16,600	
Office of the Special Deputy Comptroller for New York City . . . . .	77,700			8,800	
<b>Total . . . . .</b>	<b>\$30,697,800</b>	<b>+ \$11,679,500</b>		<b>\$762,500</b>	

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Executive Direction . . . . .	\$21,900			\$599,300	
Administrative and Electronic					
Data Processing Services . . . . .	20,600			16,440,300	+ \$3,414,000
Legal Services . . . . .	2,200			5,000	
Investments and Cash					
Management . . . . .	6,400			498,500	
Pre-Audit . . . . .	2,200			80,400	+ 73,000
Management Audit . . . . .	207,600			49,400	
Municipal Affairs . . . . .	404,800			176,500	
Unclaimed Property					
Administration . . . . .	23,300			2,119,200	+ 1,585,300
Office of the Special Deputy Comptroller for New York City . . . . .	31,600			37,300	
<b>Total . . . . .</b>	<b>\$720,600</b>			<b>\$20,005,900</b>	<b>+ \$5,072,300</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$2,800		\$54,000	
Administrative and Electronic				
Data Processing Services . . . . .	58,700		2,173,600	+ \$53,000
Legal Services . . . . .	5,000			
Investments and Cash				
Management . . . . .	800			
Pre-Audit . . . . .	12,700		4,836,200	+ 4,508,200
Management Audit . . . . .	5,400		430,000	+ 430,000
Municipal Affairs . . . . .	4,200			
Unclaimed Property				
Administration . . . . .	9,400		1,616,000	+ 1,616,000
Office of the Special Deputy Comptroller for New York City . . . . .				
<b>Total . . . . .</b>	<b>\$99,000</b>		<b>\$9,109,800</b>	<b>+ \$6,607,200</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$1,266,000	+ \$17,200	\$901,000	+ \$10,000
Investments and Cash Management Environmental Protection and Spill Compensation . . . . .	4,954,200	-15,600	2,826,800	-10,700
Office of the Special Deputy Comptroller for New York City . . . . .	603,000	+ 15,000	294,000	+ 4,000
State Retirement . . . . .	3,612,000	+ 348,200	2,590,000	+ 251,400
	47,293,000	+ 664,700	23,898,100	+ 270,900
Total . . . . .	<u>\$57,728,200</u>	<u>+ \$1,029,500</u>	<u>\$30,509,900</u>	<u>+ \$525,600</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$365,000	+ \$7,200	. . . .	. . . .
Investments and Cash Management Environmental Protection and Spill Compensation . . . . .	2,127,400	-4,900	. . . .	. . . .
Office of the Special Deputy Comptroller for New York City . . . . .	309,000	+ 11,000	. . . .	. . . .
State Retirement . . . . .	1,022,000	+ 96,800	. . . .	. . . .
	21,967,400	+ 66,300	\$1,427,500	+ \$327,500
Total . . . . .	<u>\$25,790,800</u>	<u>+ \$176,400</u>	<u>\$1,427,500</u>	<u>+ \$327,500</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$17,482,000	\$18,705,000	+ \$1,223,000
Total . . . . .	<u>\$17,482,000</u>	<u>\$18,705,000</u>	<u>+ \$1,223,000</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Pre-Audit General Fund . . . . .	\$17,482,000	\$18,705,000	+ \$1,223,000
Total . . . . .	<u>\$17,482,000</u>	<u>\$18,705,000</u>	<u>+ \$1,223,000</u>



# ***BANKING DEPARTMENT***

## ***MISSION***

The Banking Department is charged with protecting the public interest and promoting a desirable business climate by regulating and supervising approximately 4,000 State-chartered banking institutions with total assets of approximately \$1.8 trillion. In carrying out this responsibility, the Department approves acquisitions, branch expansions, mergers and other forms of consolidation. It also levies fines, orders cessation of unsound financial practices and replaces management as needed. In addition, the Department is authorized to take possession of failing institutions and to operate or liquidate them for the benefit of depositors and creditors. In exercising this oversight function, the Banking Department maintains the highest standards to assure the continued safety and soundness of, and the full public confidence in, the institutions supervised. By dealing decisively with institutions that are not in compliance with banking laws and regulations, or cases of malfeasance, the Department promotes a desirable business climate for all financial institutions operating in New York State.

## ***ORGANIZATION AND STAFFING***

The Superintendent of Banks, appointed by the Governor, directs the Department. The Superintendent is also the Chair of the 17-member Banking Board, a quasi-legislative body which regulates the conduct of banking in the State. Members of the Board are appointed by the Governor with the consent of the Senate. They receive travel reimbursement but are not otherwise compensated. The Department maintains offices in Albany, New York City, Syracuse, London, and Tokyo. The Banking Department will have a workforce of 640 positions for 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Banking Department is entirely supported by fees charged to regulated financial institutions and organizations. The Budget recommends \$61.8 million for the Department, including \$59 million supported by these banking industry fees.

The Budget includes funds for the State's Holocaust Claims Processing Office. The Holocaust Office, established in 1997, assists Holocaust survivors and their heirs in their search for assets rightfully belonging to them that have been withheld by banks and insurance companies.

## ***PROGRAM HIGHLIGHTS***

To ensure the safety and soundness of banking institutions, the Department monitors these institutions to identify problems and works with management to promptly solve them. This responsibility is carried out through annual on-site examinations of most State-chartered institutions, the regular review of institutional financial reports and periodic site visits.

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

The Banking Department continues to respond to the changing environment of the financial services industry. The passage of legislation providing parity between New York

# BANKING

chartered banks and national banks reinforces the banking community's view that the New York State charter and the State's regulatory environment is competitive, efficient, cost effective and user-friendly. Additionally, the Department's fair but firm approach to criminal banking activities protects the public and provides support to institutions that do abide by applicable laws and regulations. Lastly, the Department continues to review its internal programs, policies, and procedures in order to eliminate any inefficiencies and promote a strong and health financial services industry.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$59,945,700	\$61,845,900	+ \$1,900,200	. . . . .
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$59,945,700</b>	<b>\$61,845,900</b>	<b>+ \$1,900,200</b>	<b>. . . . .</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
Special Revenue Funds — Other . . . . .	64	64	. . . . .	64	. . . . .
Regulation					
Special Revenue Funds — Other . . . . .	553	533	. . . . .	533	-20
Analysis and Compliance					
Special Revenue Funds — Other . . . . .	38	38	. . . . .	38	. . . . .
Subtotal, Direct Funded Programs . . . . .	655	635	. . . . .	635	-20
Suballocations:					
Special Revenue Funds — Other . . . . .	5			5	. . . . .
<b>Total . . . . .</b>	<b>660</b>			<b>640</b>	<b>-20</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	. . . . .	. . . . .	. . . . .
Special Revenue Funds — Other . . . . .	\$57,245,700	\$59,145,900	+ \$1,900,200
Fiduciary Funds . . . . .	2,700,000	2,700,000	. . . . .
<b>Total . . . . .</b>	<b>\$59,945,700</b>	<b>\$61,845,900</b>	<b>+ \$1,900,200</b>
Adjustments:			
Transfer(s) From			
Banking Department			
General Fund . . . . .	-340,000		
Transfer(s) To			
Banking Department			
Special Revenue Funds — Other . . . . .	+ 340,000		
Insurance Department			
Special Revenue Funds — Other . . . . .	+ 210,000		
Appropriated 1998-99 . . . . .	\$60,155,700		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
Special Revenue Funds — Other . . . . .	\$4,958,800	\$5,116,400	+ \$157,600
Fiduciary Funds . . . . .	2,700,000	2,700,000	. . . .
Regulation			
Special Revenue Funds — Other . . . . .	49,620,900	51,154,500	+ 1,533,600
Analysis and Compliance			
Special Revenue Funds — Other . . . . .	2,666,000	2,875,000	+ 209,000
<b>Total . . . . .</b>	<b><u>\$59,945,700</u></b>	<b><u>\$61,845,900</u></b>	<b><u>+ \$1,900,200</u></b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Personal Service</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$7,816,400	+ \$157,600	\$3,432,900	+ \$135,100
Regulation . . . . .	51,154,500	+ 1,533,600	31,795,700	+ 1,093,700
Analysis and Compliance . . . . .	2,875,000	+ 209,000	2,007,200	+ 158,900
<b>Total . . . . .</b>	<b><u>\$61,845,900</u></b>	<b><u>+ \$1,900,200</u></b>	<b><u>\$37,235,800</u></b>	<b><u>+ \$1,387,700</u></b>

<u>Program</u>	<u>Nonpersonal Service</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$4,383,500	+ \$22,500	. . . .	. . . .
Regulation . . . . .	18,380,400	+ 439,900	\$978,400	. . . .
Analysis and Compliance . . . . .	867,800	+ 50,100	. . . .	. . . .
<b>Total . . . . .</b>	<b><u>\$23,631,700</u></b>	<b><u>+ \$512,500</u></b>	<b><u>\$978,400</u></b>	<b><u>. . . .</u></b>



# DIVISION OF THE BUDGET

## MISSION

The Governor is responsible under the State Constitution for the preparation and execution of the State's expenditure and revenue plans. The Division of the Budget prepares a proposed budget under the Governor's direction and executes the budget as adopted by the Legislature. The Division also serves as the Governor's primary advisor on such fiscal matters as local government and public authority finances. In carrying out these responsibilities, the Budget Division assisted the Governor in eliminating a 1995-96 deficit of \$5 billion, implementing historic tax reductions and ending each year since 1994-95 with budget surpluses.

## ORGANIZATION AND STAFFING

Headed by the Director of the Budget, the Division is located in Albany. The Division will have a workforce of 360 positions for 1999-2000.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The recommended General Fund appropriation for 1999-2000 of \$29.6 million will fund the Budget Division's basic operations, reflecting tightened nonpersonal service controls and other efficiencies.

## 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.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$37,012,300	\$37,281,900	+ \$269,600	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$37,012,300</u>	<u>\$37,281,900</u>	<u>+ \$269,600</u>	<u>. . . .</u>

# BUDGET

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Budget Division					
General Fund	350	350	....	350	....
Special Revenue Funds — Other	10	....	10	10	....
<b>Total</b>	<b>360</b>	<b>350</b>	<b>10</b>	<b>360</b>	<b>....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$29,162,300	\$29,631,900	+ \$469,600
Special Revenue Funds — Other	6,200,000	6,200,000	....
Internal Service Funds	1,500,000	1,300,000	-200,000
Fiduciary Funds	150,000	150,000	....
<b>Total</b>	<b>\$37,012,300</b>	<b>\$37,281,900</b>	<b>+ \$269,600</b>
Adjustments:			
Transfer(s) To			
State, Department of			
General Fund	+ 80,600		
Appropriated 1998-99	\$37,092,900		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Budget Division			
General Fund	\$29,121,200	\$29,631,900	+ \$510,700
Special Revenue Funds — Other	6,200,000	6,200,000	....
Internal Service Funds	1,500,000	1,300,000	-200,000
Fiduciary Funds	150,000	150,000	....
Other Community Projects			
General Fund	41,100	....	-41,100
<b>Total</b>	<b>\$37,012,300</b>	<b>\$37,281,900</b>	<b>+ \$269,600</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Budget Division	\$19,286,600	+ \$505,300	\$18,951,400	+ \$505,300	\$175,100	....
<b>Total</b>	<b>\$19,286,600</b>	<b>+ \$505,300</b>	<b>\$18,951,400</b>	<b>+ \$505,300</b>	<b>\$175,100</b>	<b>....</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Budget Division	\$160,100	....
<b>Total</b>	<b>\$160,100</b>	<b>....</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Supplies and Materials</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division . . . . .	\$10,345,300	+ \$5,400	\$141,500	. . . .
Total . . . . .	<u>\$10,345,300</u>	<u>+ \$5,400</u>	<u>\$141,500</u>	<u>. . . .</u>

<u>Program</u>	<u>Travel</u>		<u>Contractual Services</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division . . . . .	\$185,500	. . . .	\$2,606,800	. . . .
Total . . . . .	<u>\$185,500</u>	<u>. . . .</u>	<u>\$2,606,800</u>	<u>. . . .</u>

<u>Program</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division . . . . .	\$23,200	. . . .	\$7,388,300	+ \$5,400
Total . . . . .	<u>\$23,200</u>	<u>. . . .</u>	<u>\$7,388,300</u>	<u>+ \$5,400</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Budget Division . . . . .	\$7,650,000	-\$200,000	\$7,650,000	-\$200,000
Total . . . . .	<u>\$7,650,000</u>	<u>-\$200,000</u>	<u>\$7,650,000</u>	<u>-\$200,000</u>

**BUDGET**

---

# **DEPARTMENT OF CIVIL SERVICE**

## **MISSION**

In accordance with the Civil Service Law, the Department of Civil Service is charged with providing human resource management services to State and local governments.

## **ORGANIZATION AND STAFFING**

Under the direction of a Commissioner nominated by the Governor, the Department is based in Albany. The Civil Service Commission, consisting of the Commissioner, who serves as its President, and two Commissioners appointed by the Governor, is an appellate body responsible for reviewing the Department's classification and staffing decisions. The Department will have a workforce of 665 positions for 1999-2000.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Department is funded in part with tax dollars from the General Fund that support 53 percent of the agency's operations. The remaining 47 percent of its operations are funded with payments from other agencies and governmental entities, most of which are made by employers participating in the New York State Health Insurance Program who pay premiums to offset the Department's cost of administering the program. Similarly, the Department is reimbursed for testing and other services provided to such State agencies as the Banking Department, whose operations are funded by special industry assessments.

The Executive Budget recommends funding of \$54 million for the Department, which includes \$28.4 million in General Fund support and \$25.6 million in payments from other State agencies and public entities. This recommendation continues funding to refine the New York State Electronic Personnel System (NYSTEP) in 1999-2000. The Executive Budget also recommends funding to implement 1998 legislation establishing a long-term health care insurance program for State and participating local employees and retirees. A recommended decrease of \$3.9 million reflects the partial completion of the redesigned Benefits Eligibility and Accounting System which supports the New York State Health Insurance Program.

## **PROGRAM HIGHLIGHTS**

The Department of Civil Service has expanded its use of technology to provide improved services to State and local agencies. In July 1998, the Department completed its NYSTEP System, which automates the payroll certification and routine personnel management functions. Other important technological improvements include automation of reemployment roster activities through the on-line Reemployment Certification System, completion of the first phase of the Accident Reporting System (ARS) which provides on-line electronic reporting of all on-the-job injuries and illnesses and implementation of the ONECARD Rx Program which automates the filling of drug prescriptions.

The Department was also active in a statewide effort to recruit the computer professionals needed to reprogram the State's high priority computer systems so that they will accommodate the Year 2000 date change. Among other actions, the Department created a more simple selection process and strengthened its recruiting efforts, resulting in over 300 computer professionals being hired in a highly competitive job market.

The Department continues to make substantial progress in meeting many of the Governor's Civil Service Reform agenda's objectives, including a reduction in the number of long-term provisional employees from 3,501 to 967, the administration of statewide

## CIVIL SERVICE

"battery" promotional examinations that were taken by more than 13,000 State employees in 1997 and a reduction in the number of position titles from 5,900 to approximately 5,000. The Department has also maintained the goal of reporting the results of certain written examinations within an average of 60 days.

The responsibilities of the Department are carried out through six divisions:

- The Division of Information Resource Management provides the Department's basic data, information and systems. During 1999-2000, the Division will continue to refine several automation projects, including the NYSTEP and ARS systems.
- The Staffing Services Division provides State agencies with personnel selection and placement services. The Division coordinates the Department's response to agency personnel operations and develops and administers a variety of tests for State positions, including oral, performance, training and experience and performance assessment tests.
- The Testing Services Division develops, administers and validates all State and local written tests.
- The Division of Classification and Compensation determines appropriate job titles for agency functions and salary levels for existing and new positions.
- The Division of Personnel Services encompasses the Employee Benefits Division and the Employee Health Service program. The Employee Benefits Division administers health, dental, life, vision, disability and accident insurance programs for State employees and participating local governments. Responsibilities include contracting with insurance companies and other vendors to deliver services, financial management of these programs, communicating plan provisions to enrollees, assisting enrollees to resolve disputed claims and maintaining enrollment information and accounting for nearly \$2.1 billion in annual premiums.
- The Municipal Service Division assists 105 local civil service agencies in classifying positions, interpreting laws and rules and, together with the Testing Division, providing selection devices and examinations.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$54,672,500	\$54,032,200	-\$640,300	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$54,672,500</u>	<u>\$54,032,200</u>	<u>-\$640,300</u>	<u>. . . .</u>

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

1999-00 Recommended Average Fill Level

<u>Program</u>	<u>Available 1998-99</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	<u>Change</u>
Administration and Information Management					
General Fund . . . . .	109	94	15	109	. . . .
Internal Service Funds . . . . .	23	23	. . . .	23	. . . .
Personnel Benefit Services					
General Fund . . . . .	39	39	. . . .	39	. . . .
Internal Service Funds . . . . .	172	177	6	183	+ 11
Personnel Management Services					
General Fund . . . . .	259	252	. . . .	252	-7
Internal Service Funds . . . . .	21	21	. . . .	21	. . . .
Local Civil Service					
General Fund . . . . .	17	17	. . . .	17	. . . .
Subtotal, Direct Funded Programs . . . . .	640	623	21	644	+ 4
Suballocations:					
General Fund . . . . .	21			21	. . . .
Internal Service Funds . . . . .	3			. . . .	-3
Total . . . . .	664			665	+ 1

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$27,449,500	\$28,404,200	+ \$954,700
Special Revenue Funds — Other . . . . .	496,000	1,000,000	+ 504,000
Internal Service Funds . . . . .	26,292,000	24,193,000	-2,099,000
Fiduciary Funds . . . . .	435,000	435,000	. . . .
Total . . . . .	\$54,672,500	\$54,032,200	-\$640,300

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration and Information Management			
General Fund . . . . .	\$10,030,500	\$10,648,900	+ \$618,400
Internal Service Funds . . . . .	2,095,000	2,145,000	+ 50,000
Personnel Benefit Services			
General Fund . . . . .	1,899,300	1,971,400	+ 72,100
Special Revenue Funds — Other . . . . .	496,000	500,000	+ 4,000
Internal Service Funds . . . . .	21,696,000	19,563,000	-2,133,000
Fiduciary Funds . . . . .	435,000	435,000	. . . .
Personnel Management Services			
General Fund . . . . .	14,616,300	14,866,800	+ 250,500
Special Revenue Funds — Other . . . . .	. . . .	500,000	+ 500,000
Internal Service Funds . . . . .	2,501,000	2,485,000	-16,000
Local Civil Service			
General Fund . . . . .	903,400	917,100	+ 13,700
Total . . . . .	\$54,672,500	\$54,032,200	-\$640,300

# CIVIL SERVICE

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration and Information Management . . . . .	\$4,659,300	+ \$319,200	\$4,656,500	+ \$319,200	.....	.....
Personnel Benefit Services . . . . .	1,881,200	+ 72,100	1,851,400	+ 72,100	\$28,300	.....
Personnel Management Services . . . . .	12,907,500	+ 250,500	12,072,300	+ 250,500	819,400	.....
Local Civil Service . . . . .	881,000	+ 13,700	880,300	+ 13,700	.....	.....
<b>Total . . . . .</b>	<b>\$20,329,000</b>	<b>+ \$655,500</b>	<b>\$19,460,500</b>	<b>+ \$655,500</b>	<b>\$847,700</b>	<b>.....</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration and Information Management . . . . .	\$2,800	.....
Personnel Benefit Services . . . . .	1,500	.....
Personnel Management Services . . . . .	15,800	.....
Local Civil Service . . . . .	700	.....
<b>Total . . . . .</b>	<b>\$20,800</b>	<b>.....</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration and Information Management . . . . .	\$5,989,600	+ \$299,200	\$44,500	.....
Personnel Benefit Services . . . . .	90,200	.....	38,300	.....
Personnel Management Services . . . . .	1,959,300	.....	108,200	.....
Local Civil Service . . . . .	36,100	.....	6,400	.....
<b>Total . . . . .</b>	<b>\$8,075,200</b>	<b>+ \$299,200</b>	<b>\$197,400</b>	<b>.....</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration and Information Management . . . . .	\$32,100	.....	\$4,360,700	+ \$299,200
Personnel Benefit Services . . . . .	9,600	.....	27,500	.....
Personnel Management Services . . . . .	116,100	.....	1,719,000	.....
Local Civil Service . . . . .	11,000	.....	18,700	.....
<b>Total . . . . .</b>	<b>\$168,800</b>	<b>.....</b>	<b>\$6,125,900</b>	<b>+ \$299,200</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Information Management . . . . .	.....	.....	\$1,552,300	.....
Personnel Benefit Services . . . . .	\$14,800	.....	.....	.....
Personnel Management Services . . . . .	16,000	.....	.....	.....
Local Civil Service . . . . .	.....	.....	.....	.....
<b>Total . . . . .</b>	<b>\$30,800</b>	<b>.....</b>	<b>\$1,552,300</b>	<b>.....</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration and Information				
Management . . . . .	\$2,145,000	+ \$50,000	\$1,178,000	+ \$36,000
Personnel Benefit Services . . . . .	20,498,000	-2,129,000	7,200,000	+ 434,000
Personnel Management Services . . . . .	2,985,000	+ 484,000	. . . . .	. . . . .
Total . . . . .	<u>\$25,628,000</u>	<u>-\$1,595,000</u>	<u>\$8,378,000</u>	<u>+ \$470,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration and Information				
Management . . . . .	\$967,000	+ \$14,000	. . . . .	. . . . .
Personnel Benefit Services . . . . .	4,442,000	+ 1,322,000	\$8,856,000	-\$3,885,000
Personnel Management Services . . . . .	. . . . .	. . . . .	2,985,000	+ 484,000
Total . . . . .	<u>\$5,409,000</u>	<u>+ \$1,336,000</u>	<u>\$11,841,000</u>	<u>-\$3,401,000</u>



# **CONSUMER PROTECTION BOARD**

## **MISSION**

The Consumer Protection Board (CPB) was created to protect the rights of the State's consumers. The CPB represents consumers in utility rate cases and related proceedings; advises the Governor on consumer issues; helps draft legislation that protects consumers; handles consumer complaints and promotes consumer education.

## **ORGANIZATION AND STAFFING**

The Consumer Protection Board consists of two units: Utility Intervention and Consumer Advocacy. The Utility Intervention Unit is staffed by attorneys and experts in the field of economics, engineering, finance, and accounting. The Advocacy Unit employs specialists in the field of consumer law, complaint handling, consumer education, and research. The CPB is located in Albany, with satellite offices in Rochester and New York City. For 1999-2000 the Consumer Protection Board will have a workforce of 32.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Consumer Protection Board is financed primarily from an assessment on utility companies operating within the State. The assessment provides 76 percent of CPB's funding and State tax dollars from the General Fund provides 16 percent. The balance of the Consumer Protection Board's funding is derived from the Long Island Power Authority (LIPA), which will reimburse CPB for its activities related to LIPA's customers.

The Executive Budget recommends approximately \$2.8 million for the Consumer Protection Board for 1999-2000 including over \$442,000 in General Fund support and \$2.3 million in funding provided from utilities.

## **PROGRAM HIGHLIGHTS**

The Utility Intervention Unit is responsible for representing residential and commercial customers in rate proceedings before the Public Service Commission (PSC). The Board participates in proceedings involving telephone, electric, gas and water utilities as well as generic proceedings to formulate regulation to protect the interests of consumers as the various industries work toward deregulation. These are on-going proceedings to shape the future of regulation. The Board's participation in these proceedings offers the consumers' perspective and assists regulators in developing policies that balance the interests of all parties. A sample of the on-going proceedings include telephone as local service opens to competition, and metering and other issues for gas and electric as incumbent utilities are no longer the sole service provider. Proceedings dealing with the divestiture of assets are conducted on an individual utility basis as the need arises.

In addition, during 1999 many of the State's utilities are required to greatly expand the amount of electricity subject to competition. Many of these issues will require efforts to educate the public so that they may make informed decisions. The Board will undertake outreach activities relative to natural gas and telephone in conjunction with PSC activities in those areas, which will be similar to our efforts in electricity.

The Consumer Advocacy Unit mediates disputes between consumers and businesses, analyzes legislation affecting consumers, investigates consumer-related issues, and conducts education programs. The Consumer Advocacy Unit received over 9,100 complaints and inquiries during 1998, a 38 percent increase over 1997.

# CONSUMER PROTECTION

## ALL FUNDS APPROPRIATIONS

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$2,813,100	\$2,791,400	-\$21,700	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$2,813,100</b>	<b>\$2,791,400</b>	<b>-\$21,700</b>	<b>. . . .</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Consumer Protection					
General Fund . . . . .	7	7	. . . .	7	. . . .
Utility Intervention					
Special Revenue Funds — Other . . . . .	25	25	. . . .	25	. . . .
<b>Total . . . . .</b>	<b>32</b>	<b>32</b>	<b>. . . .</b>	<b>32</b>	<b>. . . .</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$413,500	\$442,500	+ \$29,000
Special Revenue Funds — Other . . . . .	2,399,600	2,348,900	-50,700
<b>Total . . . . .</b>	<b>\$2,813,100</b>	<b>\$2,791,400</b>	<b>-\$21,700</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Consumer Protection			
General Fund . . . . .	\$413,500	\$442,500	+ \$29,000
Utility Intervention			
Special Revenue Funds — Other . . . . .	2,399,600	2,348,900	-50,700
<b>Total . . . . .</b>	<b>\$2,813,100</b>	<b>\$2,791,400</b>	<b>-\$21,700</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Consumer Protection . . . . .	\$299,600	+ \$29,000	\$299,600	+ \$29,000
<b>Total . . . . .</b>	<b>\$299,600</b>	<b>+ \$29,000</b>	<b>\$299,600</b>	<b>+ \$29,000</b>

# CONSUMER PROTECTION

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>	<u>Change</u>	<u>Supplies and Materials</u>	<u>Amount</u>	<u>Change</u>
Consumer Protection . . . . .	\$142,900		. . . .		\$13,000	. . . .
Total . . . . .	<u>\$142,900</u>		<u>. . . .</u>		<u>\$13,000</u>	<u>. . . .</u>

<u>Program</u>	<u>Amount</u>	<u>Travel</u>	<u>Change</u>	<u>Contractual Services</u>	<u>Amount</u>	<u>Change</u>
Consumer Protection . . . . .	\$24,500		. . . .		\$97,400	. . . .
Total . . . . .	<u>\$24,500</u>		<u>. . . .</u>		<u>\$97,400</u>	<u>. . . .</u>

<u>Program</u>	<u>Amount</u>	<u>Equipment</u>	<u>Change</u>
Consumer Protection . . . . .	\$8,000		. . . .
Total . . . . .	<u>\$8,000</u>		<u>. . . .</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>	<u>Change</u>	<u>Personal Service</u>	<u>Amount</u>	<u>Change</u>
Utility Intervention . . . . .	\$2,348,900		-\$50,700		\$1,547,400	-\$36,800
Total . . . . .	<u>\$2,348,900</u>		<u>-\$50,700</u>		<u>\$1,547,400</u>	<u>-\$36,800</u>

<u>Program</u>	<u>Amount</u>	<u>Nonpersonal Service</u>	<u>Change</u>	<u>Maintenance Undistributed</u>	<u>Amount</u>	<u>Change</u>
Utility Intervention . . . . .	\$791,500		-\$13,900		\$10,000	. . . .
Total . . . . .	<u>\$791,500</u>		<u>-\$13,900</u>		<u>\$10,000</u>	<u>. . . .</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, and is supported by a workforce of 42. 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 and tests each machine upon delivery. The Board also assists County Boards of Elections by completing administrative reviews, assisting in resolving complaints, and producing reports and recommendations.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Board receives more than 99 percent of its funding from the General Fund and less than 1 percent from a fee imposed upon prospective vendors of electronic voting machines and ballot-counting devices.

The Executive Budget recommends \$3.1 million in General Fund support for the Board of Elections. This recommended funding will permit the Board to continue to carry out its various responsibilities related to the electoral process, including the Board's voter outreach activities and its interaction with local Boards of Elections.

## PROGRAM HIGHLIGHTS

Over the past 24 years, the scope of the Board's services has grown to include providing legal counsel to 62 County Boards of Election, administering registration efforts, providing technical assistance to administrators of elections, and investigating violations of the Election Law.

A priority of the Board is expanding the use of modern technology in both its own operations and those of local boards. In 1997, the agency began a two year initiative to develop an automated system for the electronic filing of campaign financial disclosure statements which will become operational in January 1999. This effort will promote timely disclosure of campaign information to the public by making the data available on the Internet.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$3,107,300	\$3,107,000	-\$300	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	\$3,107,300	\$3,107,000	-\$300	. . . .

# ELECTIONS

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Regulation of Elections General Fund .....	46	46	....	46	....
Total .....	46	46	....	46	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund .....	\$3,067,300	\$3,087,000	+ \$19,700
Special Revenue Funds — Other .....	40,000	20,000	-20,000
Total .....	\$3,107,300	\$3,107,000	-\$300

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Regulation of Elections General Fund .....	\$3,067,300	\$3,087,000	+ \$19,700
Special Revenue Funds — Other .....	40,000	20,000	-20,000
Total .....	\$3,107,300	\$3,107,000	-\$300

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Regulation of Elections .....	\$2,087,000	+ \$51,700	\$2,087,000	+ \$51,700
Total .....	\$2,087,000	+ \$51,700	\$2,087,000	+ \$51,700

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Contractual Services</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Regulation of Elections . . . . .	\$1,000,000		-\$32,000	\$733,000	-\$32,000
Total . . . . .	<u>\$1,000,000</u>		<u>-\$32,000</u>	<u>\$733,000</u>	<u>-\$32,000</u>

<u>Program</u>	<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>
Regulation of Elections . . . . .	\$267,000	. . . .
Total . . . . .	<u>\$267,000</u>	<u>. . . .</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Regulation of Elections . . . . .	\$20,000	-\$20,000	\$20,000	-\$20,000
Total . . . . .	<u>\$20,000</u>	<u>-\$20,000</u>	<u>\$20,000</u>	<u>-\$20,000</u>



# **OFFICE OF EMPLOYEE RELATIONS**

## **MISSION**

The Office of Employee Relations (OER) serves as the Governor's agent in carrying out the State's labor relations responsibilities as an employer in accordance with the Public Employees' Fair Employment Act (the Taylor Law).

## **ORGANIZATION AND STAFFING**

Under the administration of a Director appointed by the Governor, the agency is located in Albany. OER will have a workforce of 95 positions for 1999-2000, 46 of which are funded by State tax dollars from the General Fund and are involved in negotiating the collective bargaining agreements. State tax dollars also support another 49 positions involved in implementing collectively bargained programs.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends about \$6.3 million for the Office of Employee Relations, which includes \$3.8 million in General Fund moneys. This funding will provide continued support for the Office's primary mission of negotiating and administering collective bargaining agreements.

Funding from the Office's other sources include:

- \$2,047,400 in charges to the Collective Bargaining Agreements to support statewide employee training and other developmental programs and the cost of administering these bargaining agreements; and
- Revenues of \$450,000 received from non-General Fund agencies to reimburse the Office for providing training programs and collective bargaining services provided by the Office. These revenues also include payments from the National Association of State Directors of Employee Relations to support the operations of that organization.

## **PROGRAM HIGHLIGHTS**

The Office of Employee Relations, which is commemorating its 30<sup>th</sup> year as an agency, represents the Governor in Executive Branch collective bargaining negotiations with eight public employee unions, assists State agencies to interpret and administer the negotiated agreements, and represents the State in hearings and arbitrations before the Public Employment Relations Board. The agency's focus for the remainder of this fiscal year and into next fiscal year will be to negotiate new collective bargaining agreements.

The Office of Employee Relations also is the Executive Branch's in-house consulting agency for advancing total quality concepts and improving the productivity of State government. Currently, the agency is working with more than 25 agencies on various organizational development and improvement initiatives. The Office is further charged with designing and administering statewide training programs, developing policy and providing oversight for several employee benefit programs.

In its capacity as the Governor's labor relations agent, the Office continues to be instrumental in providing direction for workforce management and, through labor management partnerships, working with the unions to mitigate the impact of structural changes aimed at improving the efficiency of State government. The Office is also making

## EMPLOYEE RELATIONS

a concerted effort to provide and enhance a consistent labor relations philosophy in all departments and agencies. This is being accomplished by promoting labor-management cooperation in resolving issues and workplace problems and by increasing the use of technology for better communication of common issues and concerns.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$6,162,000	\$6,281,800	+ \$119,800	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$6,162,000</b>	<b>\$6,281,800</b>	<b>+ \$119,800</b>	<b>. . . .</b>

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

Program	Available 1998-99	Personal Service (Regular)	1999-00 Recommended Average Fill Level		Change
			Maintenance Undistributed	Total Recommended 1999-00	
Contract Negotiation and Administration					
General Fund . . . . .	40	40	. . . .	40	. . . .
Internal Service Funds . . . . .	49	49	. . . .	49	. . . .
Management Confidential Affairs					
General Fund . . . . .	6	6	. . . .	6	. . . .
<b>Total . . . . .</b>	<b>95</b>	<b>95</b>	<b>. . . .</b>	<b>95</b>	<b>. . . .</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$3,732,400	\$3,784,400	+ \$52,000
Special Revenue Funds — Other . . . . .	400,000	450,000	+ 50,000
Internal Service Funds . . . . .	2,029,600	2,047,400	+ 17,800
<b>Total . . . . .</b>	<b>\$6,162,000</b>	<b>\$6,281,800</b>	<b>+ \$119,800</b>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Contract Negotiation and Administration			
General Fund . . . . .	\$2,819,400	\$2,855,400	+ \$36,000
Special Revenue Funds — Other . . . . .	400,000	450,000	+ 50,000
Internal Service Funds . . . . .	2,029,600	2,047,400	+ 17,800
Management Confidential Affairs			
General Fund . . . . .	913,000	929,000	+ 16,000
<b>Total . . . . .</b>	<b>\$6,162,000</b>	<b>\$6,281,800</b>	<b>+ \$119,800</b>

## EMPLOYEE RELATIONS

### STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Contract Negotiation and Administration . . . . .	\$2,603,500	+ \$36,000	\$2,589,200	+ \$36,000	\$11,700	. . . .
Management Confidential Affairs . . . . .	323,300	+ 16,000	322,800	+ 16,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$2,926,800</b>	<b>+ \$52,000</b>	<b>\$2,912,000</b>	<b>+ \$52,000</b>	<b>\$11,700</b>	<b>. . . .</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Contract Negotiation and Administration . . . . .	\$2,600	. . . .
Management Confidential Affairs . . . . .	500	. . . .
<b>Total . . . . .</b>	<b>\$3,100</b>	<b>. . . .</b>

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Supplies and Materials	
		Change	Amount	Change	
Contract Negotiation and Administration . . . . .	\$251,900	. . . .	\$33,900	. . . .	
Management Confidential Affairs . . . . .	605,700	. . . .	18,300	. . . .	
<b>Total . . . . .</b>	<b>\$857,600</b>	<b>. . . .</b>	<b>\$52,200</b>	<b>. . . .</b>	

Program	Amount	Travel		Contractual Services	
		Change	Amount	Change	
Contract Negotiation and Administration . . . . .	\$30,400	. . . .	\$187,600	. . . .	
Management Confidential Affairs . . . . .	13,500	. . . .	27,900	. . . .	
<b>Total . . . . .</b>	<b>\$43,900</b>	<b>. . . .</b>	<b>\$215,500</b>	<b>. . . .</b>	

Program	Maintenance Undistributed	
	Amount	Change
Contract Negotiation and Administration . . . . .	. . . .	. . . .
Management Confidential Affairs . . . . .	\$546,000	. . . .
<b>Total . . . . .</b>	<b>\$546,000</b>	<b>. . . .</b>

# EMPLOYEE RELATIONS

---

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Contract Negotiation and Administration . . . . .	\$2,497,400	+ \$67,800	\$1,728,700	+ \$17,800
Total . . . . .	<u>\$2,497,400</u>	<u>+ \$67,800</u>	<u>\$1,728,700</u>	<u>+ \$17,800</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Contract Negotiation and Administration . . . . .	\$318,700	. . . .	\$450,000	+ \$50,000
Total . . . . .	<u>\$318,700</u>	<u>. . . .</u>	<u>\$450,000</u>	<u>+ \$50,000</u>

# EXECUTIVE CHAMBER

## MISSION

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

## ORGANIZATION AND STAFFING

The Office of the Governor is located in the State Capitol in Albany. This budget represents programs directly related to the Governor's Office and is supported by General Fund revenues.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The 1999-2000 Executive Budget recommends a General Fund appropriation of \$16.1 million, an increase of \$3.7 million from 1998-99. This recommendation includes funding for the continuing improvement of the Chamber's computers and related technology and for the ongoing costs of the Moreland Act Commission. A fiduciary fund appropriation of \$100,000 is also requested to permit the use of private grants within the Office of Community Affairs.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$12,376,000	\$16,089,400	+ \$3,713,400	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$12,376,000</u>	<u>\$16,089,400</u>	<u>+ \$3,713,400</u>	<u>. . . .</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Executive Chamber General Fund . . . . .	177	177	. . . .	177	. . . .
Total . . . . .	<u>177</u>	<u>177</u>	<u>. . . .</u>	<u>177</u>	<u>. . . .</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$12,276,000	\$15,989,400	+ \$3,713,400
Fiduciary Funds . . . . .	100,000	100,000	. . . .
Total . . . . .	<u>\$12,376,000</u>	<u>\$16,089,400</u>	<u>+ \$3,713,400</u>

# EXECUTIVE CHAMBER

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Executive Chamber			
General Fund .....	\$12,276,000	\$15,989,400	+ \$3,713,400
Fiduciary Funds .....	100,000	100,000	.....
Total .....	<u>\$12,376,000</u>	<u>\$16,089,400</u>	<u>+ \$3,713,400</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Chamber .....	\$8,667,400	+ \$211,400	\$8,481,900	+ \$211,400	\$74,000	.....
Total .....	<u>\$8,667,400</u>	<u>+ \$211,400</u>	<u>\$8,481,900</u>	<u>+ \$211,400</u>	<u>\$74,000</u>	<u>.....</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Chamber .....	\$111,500	.....
Total .....	<u>\$111,500</u>	<u>.....</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Chamber .....	\$7,322,000	+ \$3,502,000	\$172,700	.....
Total .....	<u>\$7,322,000</u>	<u>+ \$3,502,000</u>	<u>\$172,700</u>	<u>.....</u>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Chamber .....	\$217,100	.....	\$2,178,500	.....
Total .....	<u>\$217,100</u>	<u>.....</u>	<u>\$2,178,500</u>	<u>.....</u>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Chamber .....	\$31,200	.....	\$4,722,500	+ \$3,502,000
Total .....	<u>\$31,200</u>	<u>.....</u>	<u>\$4,722,500</u>	<u>+ \$3,502,000</u>

**EXECUTIVE CHAMBER**

---

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Maintenance Undistributed	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Executive Chamber . . . . .	<u>\$100,000</u>	<u>. . . .</u>	<u>\$100,000</u>	<u>. . . .</u>
Total . . . . .	<u>\$100,000</u>	<u>. . . .</u>	<u>\$100,000</u>	<u>. . . .</u>

**EXECUTIVE CHAMBER**

**LIEUTENANT GOVERNOR, OFFICE OF**

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$353,600	\$457,200	+ \$103,600	. . . . .
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$353,600</b>	<b>\$457,200</b>	<b>+ \$103,600</b>	<b>. . . . .</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Office of the Lieutenant Governor					
General Fund . . . . .	8	8	. . . . .	8	. . . . .
<b>Total . . . . .</b>	<b>8</b>	<b>8</b>	<b>. . . . .</b>	<b>8</b>	<b>. . . . .</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$353,600	\$457,200	+ \$103,600
<b>Total . . . . .</b>	<b>\$353,600</b>	<b>\$457,200</b>	<b>+ \$103,600</b>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Office of the Lieutenant Governor			
General Fund . . . . .	\$353,600	\$457,200	+ \$103,600
<b>Total . . . . .</b>	<b>\$353,600</b>	<b>\$457,200</b>	<b>+ \$103,600</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Amount	Total	Maintenance Undistributed Amount	Change
		Change		
Office of the Lieutenant Governor . . . . .	\$457,200	+ \$103,600	\$457,200	+ \$103,600
<b>Total . . . . .</b>	<b>\$457,200</b>	<b>+ \$103,600</b>	<b>\$457,200</b>	<b>+ \$103,600</b>

# **OFFICE OF GENERAL SERVICES**

## **MISSION**

The Office of General Services (OGS) was established in 1960 to consolidate into a single agency state-of-the-art, cost efficient support services required to operate a changing and increasingly complex State government. These included telecommunications and computer systems, building design and construction, leasing, facility maintenance, purchasing of goods and services, and other basic support services, including mail, parking, printing and surplus property.

In recent years, these activities have continued and evolved to meet State government's changing needs. Many additional responsibilities have been added to make the Office the central "housekeeping" agency for the State. Among these more recent responsibilities are the purchasing of new technologies, participating in the statewide financing of various types of equipment, and overseeing the distribution of surplus Federal food to public and private organizations.

The Office supports the operations of State agencies by providing voice and data communication; centralized information processing; space planning and leasing; real property management and maintenance; centralized contracting for commodities, services and printing; employee and visitor parking management; and interagency mail and courier assistance. The Office also helps local governments reduce their operating costs by distributing federally donated foods and surplus equipment to them, and by offering them the use of its centralized commodity and service contracts.

## **ORGANIZATION AND STAFFING**

The Office is headed by a Commissioner, who is appointed by the Governor, with a central, executive staff and is structured around customer-focused, business enterprises: Real Property Management and Development; Information Technology and Procurement; Design and Construction; and Interagency Services. The Office will have a workforce of 2,172 positions for 1999-2000.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends \$446.3 million for the Office, which includes support of \$207.8 million in State tax dollars from the General Fund. This recommendation also includes \$232.5 million in user fees charged to State agencies and other governmental entities that utilize OGS central and other support services, and \$6 million in Federal funding. Most of this funding supports the operation of State office buildings, rehabilitation and other projects aimed at preserving or extending the useful life of office buildings, and the provision of centralized services to State agencies. The change in General Fund support reflects normal salary adjustments offset by reduced requirements for contractual services. The additional Internal Services funding is attributable to increased usage of the EmpireNet by several agencies.

Recommended funding for the Capital Projects Budget includes support for critical projects at the State Capitol and for the modernization of State office buildings in the Capital District. Most of the increase in the Capital Projects Budget results from the Office completing its program for replacing petroleum storage tanks at State facilities. To meet the Federal requirement for New York and other states to replace their storage tanks by December 22, 1998, the Office moved appropriations in 1998-99 from its office building program to the petroleum storage tank program. Recommended funding for 1999-2000 will ensure that the Office maintains its current spending for the upkeep and preservation of office buildings.

## **GENERAL SERVICES**

---

### **PROGRAM HIGHLIGHTS**

#### **EXECUTIVE DIRECTION**

Employees in this group provide the day-to-day leadership of the agency, and assure that Administration policies are reflected in the Office's programs and services. In addition, this group helps State agencies acquire vehicle insurance, administers financing the State equipment purchasing program and coordinates the centralized purchasing of electricity.

#### **REAL PROPERTY MANAGEMENT AND DEVELOPMENT**

This program is responsible for providing for the safe and efficient operation of approximately 50 major and 70 ancillary State-owned and operated buildings across the State. Services provided by this program include building management, operation, maintenance, cleaning and security for facilities encompassing 17.7 million interior gross square feet with a replacement value estimated at \$4.4 billion. Employees assigned to this program also manage building renovation projects, administer service contracts for the maintenance and operation of certain heating, ventilation and air conditioning systems, and negotiate agreements as needed for leased space. The Office stepped up its effort in 1996-97 to improve the upkeep of the State Capitol and, in cooperation with the Commission on the Restoration of the Capitol, undertook a study of critical rehabilitation needs that is guiding ongoing improvements.

The Office is also making a major capital investment in office facilities in the Albany area. The need for this effort results from years of under-investment, and the related need for State offices to accommodate modern technological and other requirements. This program includes new office buildings for the Department of Environmental Conservation and the Office of the State Comptroller, a new parking garage in downtown Albany, and the modernization of the Alfred E. Smith Office Building and selected buildings at the Harriman State Office Campus.

#### **TECHNOLOGY AND PROCUREMENT**

This group provides State agencies with state-of-the-art voice and data communications services, and manages the statewide procurement of goods, services and commodities having an annual value of \$1.5 billion. In carrying out these responsibilities, this group provides centralized information processing services and establishes standards for each commodity purchased by the Office by developing detailed specifications, evaluating bids, and monitoring vendor performance and quality control. Eligible local governments, schools and not-for-profit organizations may use these centralized contracts, which generally offer the best prices because of the State's purchasing power, to reduce their own operating costs.

#### **DESIGN AND CONSTRUCTION**

This group provides architectural, engineering, planning, design and construction management services to State agencies operating State-owned facilities. This group provides these services to over 20 agencies, and has projects valued at approximately \$300 million underway in design and \$500 million underway in construction.

# GENERAL SERVICES

## INTERAGENCY SERVICES

Employees in this group provide and manage the delivery of interagency mail, employee and visitor parking, and the State's fleet of vehicles, and transfer of Federal and State surplus property. These employees also warehouse federally donated food and distribute it to school districts and food pantries.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$330,499,000	\$350,450,300	+ \$19,951,300	\$3,250,000
Aid To Localities . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Capital Projects . . . . .	53,500,000	95,800,000	+ 42,300,000	95,728,000
<b>Total . . . . .</b>	<b>\$383,999,000</b>	<b>\$446,250,300</b>	<b>+ \$62,251,300</b>	<b>\$98,978,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
<b>Executive Direction</b>					
General Fund . . . . .	130	129	. . . .	129	-1
Internal Service Funds . . . . .	18	18	. . . .	18	. . . .
<b>Real Property Management and Development</b>					
General Fund . . . . .	976	974	. . . .	974	-2
Special Revenue Funds — Other . . . . .	49	49	. . . .	49	. . . .
Enterprise Funds . . . . .	14	14	. . . .	14	. . . .
Internal Service Funds . . . . .	106	106	. . . .	106	. . . .
<b>Design and Construction</b>					
Internal Service Funds . . . . .	491	491	. . . .	491	. . . .
<b>Information Technology and Procurement</b>					
General Fund . . . . .	133	132	. . . .	132	-1
Special Revenue Funds — Other . . . . .	15	15	. . . .	15	. . . .
Internal Service Funds . . . . .	243	243	. . . .	243	. . . .
<b>Capital Planning</b>					
Capital Project Funds . . . . .	1	1	. . . .	1	. . . .
<b>Total . . . . .</b>	<b>2,176</b>	<b>2,172</b>	<b>. . . .</b>	<b>2,172</b>	<b>-4</b>

# GENERAL SERVICES

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$111,942,000	\$111,987,300	+ \$45,300
Special Revenue Funds — Federal . . . . .	6,050,000	6,050,000	. . . . .
Special Revenue Funds — Other . . . . .	11,183,000	16,648,000	+ 5,465,000
Enterprise Funds . . . . .	1,054,000	1,153,000	+ 99,000
Internal Service Funds . . . . .	198,916,000	213,658,000	+ 14,742,000
Fiduciary Funds . . . . .	1,354,000	954,000	-400,000
<b>Total . . . . .</b>	<b>\$330,499,000</b>	<b>\$350,450,300</b>	<b>+ \$19,951,300</b>
Adjustments:			
Transfer(s) From			
Debt Service			
Debt Service Funds . . . . .	-3,000,000		
<b>Appropriated 1998-99 . . . . .</b>	<b>\$327,499,000</b>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
<b>Executive Direction</b>			
General Fund . . . . .	\$11,252,100	\$12,609,200	+ \$1,357,100
Enterprise Funds . . . . .	54,000	56,000	+ 2,000
Internal Service Funds . . . . .	42,523,000	40,186,000	-2,337,000
Fiduciary Funds . . . . .	504,000	704,000	+ 200,000
<b>Real Property Management and Development</b>			
General Fund . . . . .	93,870,700	92,778,400	-1,092,300
Special Revenue Funds — Other . . . . .	5,193,000	13,380,000	+ 8,187,000
Enterprise Funds . . . . .	1,000,000	1,097,000	+ 97,000
Internal Service Funds . . . . .	9,110,000	8,784,000	-326,000
Fiduciary Funds . . . . .	850,000	250,000	-600,000
<b>Design and Construction</b>			
General Fund . . . . .	325,000	. . . . .	-325,000
Internal Service Funds . . . . .	43,137,000	43,261,000	+ 124,000
<b>Information Technology and Procurement</b>			
General Fund . . . . .	6,494,200	6,599,700	+ 105,500
Special Revenue Funds — Federal . . . . .	6,050,000	6,050,000	. . . . .
Special Revenue Funds — Other . . . . .	5,990,000	3,268,000	-2,722,000
Internal Service Funds . . . . .	104,146,000	121,427,000	+ 17,281,000
<b>Total . . . . .</b>	<b>\$330,499,000</b>	<b>\$350,450,300</b>	<b>+ \$19,951,300</b>

# GENERAL SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Executive Direction . . . . .	\$6,026,900	+ \$182,100	\$5,891,700	+ \$179,800	\$116,000	+ \$2,000
Real Property Management and Development . . . . .	33,069,300	+ 807,700	32,369,300	+ 807,700	. . . .	. . . .
Information Technology and Procurement . . . . .	6,086,700	+ 105,500	6,048,500	+ 104,900	23,900	+ 400
Total . . . . .	\$45,182,900	+ \$1,095,300	\$44,309,500	+ \$1,092,400	\$139,900	+ \$2,400

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Executive Direction . . . . .	\$19,200	+ \$300
Real Property Management and Development . . . . .	700,000	. . . .
Information Technology and Procurement . . . . .	14,300	+ 200
Total . . . . .	\$733,500	+ \$500

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$6,582,300	+ \$1,175,000	\$212,700	. . . .
Real Property Management and Development . . . . .	59,709,100	-1,200,000	6,663,100	. . . .
Information Technology and Procurement . . . . .	513,000	. . . .	43,500	. . . .
Total . . . . .	\$66,804,400	-\$25,000	\$6,919,300	. . . .

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$87,900	. . . .	\$2,058,900	. . . .
Real Property Management and Development . . . . .	262,200	. . . .	51,355,400	-\$1,200,000
Information Technology and Procurement . . . . .	23,300	. . . .	439,500	. . . .
Total . . . . .	\$373,400	. . . .	\$53,853,800	-\$1,200,000

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$47,800	. . . .	\$4,175,000	+ \$1,175,000
Real Property Management and Development . . . . .	1,428,400	. . . .	. . . .	. . . .
Information Technology and Procurement . . . . .	6,700	. . . .	. . . .	. . . .
Total . . . . .	\$1,482,900	. . . .	\$4,175,000	+ \$1,175,000

# GENERAL SERVICES

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$40,946,000	-\$2,135,000	\$935,000	+ \$48,000
Real Property Management and Development . . . . .	23,511,000	+ 7,358,000	5,182,000	-1,101,000
Design and Construction . . . . .	43,261,000	+ 124,000	24,678,000	-128,000
Information Technology and Procurement . . . . .	130,745,000	+ 14,559,000	11,358,000	-702,000
<b>Total . . . . .</b>	<b>\$238,463,000</b>	<b>+ \$19,906,000</b>	<b>\$42,153,000</b>	<b>-\$1,883,000</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Executive Direction . . . . .	\$40,011,000	-\$2,183,000	. . . .	. . . .
Real Property Management and Development . . . . .	18,079,000	+ 9,059,000	\$250,000	-\$600,000
Design and Construction . . . . .	18,583,000	+ 252,000	. . . .	. . . .
Information Technology and Procurement . . . . .	119,387,000	+ 15,261,000	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$196,060,000</b>	<b>+ \$22,389,000</b>	<b>\$250,000</b>	<b>-\$600,000</b>

## CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Comprehensive Construction Programs	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Flood Disaster Restoration Program Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	\$3,000,000
Maintenance and Improvement of Real Property Facilities Capital Projects Fund . . . . .	\$31,500,000	\$73,800,000	+ \$42,300,000	42,027,000
Capital Projects Fund - Advances . . . . .	. . . .	. . . .	. . . .	5,902,000
Design and Construction Supervision Capital Projects Fund . . . . .	10,000,000	21,500,000	+ 11,500,000	17,398,000
Petroleum Storage Tank Capital Projects Fund . . . . .	12,000,000	500,000	-11,500,000	27,104,000
Federal Capital Projects Fund . . . . .	. . . .	. . . .	. . . .	297,000
<b>Total . . . . .</b>	<b>\$53,500,000</b>	<b>\$95,800,000</b>	<b>+ \$42,300,000</b>	<b>\$95,728,000</b>

# OFFICE OF THE STATE INSPECTOR GENERAL

## MISSION

The Office of the State Inspector General is responsible for detecting, investigating, eliminating and deterring fraud, corruption, criminal activity, conflicts of interest and abuse in State government. Its mission is designed to ensure that State government maintains the highest standards of integrity and accountability.

## ORGANIZATION AND STAFFING

The Office of the State Inspector General was fundamentally restructured pursuant to Executive Order 39 issued by the Governor in June, 1996. The Executive Order provides for the consolidation of most of the State's inspector general activities in a single Office that replaces what were formerly separate, semi-independent deputy inspectors general based in the agencies they served. Headed by the Inspector General who is appointed by the Governor, the Office is headquartered in Albany and has offices in New York City and Buffalo. It will have a workforce of 95 in 1999-2000.

## FISCAL BACKGROUND AND HIGHLIGHTS

The 1999-2000 Executive Budget recommends a General Fund appropriation of \$4.7 million and \$1.3 million in support coming primarily from certain public authorities.

## PROGRAM HIGHLIGHTS

In 1997, the Office acted on more than 1,000 complaints of fraud, abuse and criminal activity and opened approximately 400 investigations. The Office has focused its investigative efforts on major cases of contract irregularities, bribery and other serious allegations of corruption that have led to over 70 arrests and the identification of millions of dollars in State funds obtained through fraud. In addition, the Office has established an investigative presence in the areas of corrections and parole which has yielded significant results.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$6,123,100	\$5,975,000	-\$148,100	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$6,123,100</u>	<u>\$5,975,000</u>	<u>-\$148,100</u>	<u>. . . .</u>

# STATE INSPECTOR GENERAL

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Inspector General					
General Fund	76	76	.....	76	.....
Special Revenue Funds — Other	19	19	.....	19	.....
<b>Total</b>	<b>95</b>	<b>95</b>	<b>.....</b>	<b>95</b>	<b>.....</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$4,823,100	\$4,675,000	-\$148,100
Special Revenue Funds — Other	1,300,000	1,300,000	.....
<b>Total</b>	<b>\$6,123,100</b>	<b>\$5,975,000</b>	<b>-\$148,100</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Inspector General			
General Fund	\$4,823,100	\$4,675,000	-\$148,100
Special Revenue Funds — Other	1,300,000	1,300,000	.....
<b>Total</b>	<b>\$6,123,100</b>	<b>\$5,975,000</b>	<b>-\$148,100</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Inspector General	\$4,091,000	+ \$33,900	\$4,091,000	+ \$33,900
<b>Total</b>	<b>\$4,091,000</b>	<b>+ \$33,900</b>	<b>\$4,091,000</b>	<b>+ \$33,900</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Contractual Services	
	Amount	Change	Amount	Change
Inspector General	\$584,000	-\$182,000	\$584,000	-\$182,000
<b>Total</b>	<b>\$584,000</b>	<b>-\$182,000</b>	<b>\$584,000</b>	<b>-\$182,000</b>

# STATE INSPECTOR GENERAL

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Inspector General . . . . .	\$1,300,000	. . . .	\$968,000	. . . .
Total . . . . .	<u>\$1,300,000</u>	<u>. . . .</u>	<u>\$968,000</u>	<u>. . . .</u>

Program	Nonpersonal Service	
	Amount	Change
Inspector General . . . . .	\$332,000	. . . .
Total . . . . .	<u>\$332,000</u>	<u>. . . .</u>



# ***INSURANCE DEPARTMENT***

## ***MISSION***

The Insurance Department, which was established January 1, 1860, is charged with regulating the insurance industry and with ensuring that the interests of insurance consumers, companies, and producers are balanced. Specific statutory responsibilities include approving the formation, consolidation or merger of insurance organizations, monitoring the financial stability of insurers, overseeing the testing and licensing of agents, adjusters, consultants and insurance intermediaries, and disciplining licensees who violate the Insurance Law or regulations.

## ***ORGANIZATION AND STAFFING***

The Insurance Department is headed by a Superintendent, who is appointed by the Governor. The Department maintains offices in Albany and New York City and local offices in Mineola, Rochester, Syracuse and Buffalo. The Department's activities are carried out through three programs: Administration, Regulation, and Consumer Services. The Department will have a workforce of 946 positions for 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Insurance Department is funded by assessments on domestic insurance carriers and by examination fees. These moneys fully support the operations of the Department as well as insurance-specific operations in other agencies.

The Executive Budget recommends \$98.5 million for the Insurance Department, which will fund the Department's current level of activity and provide \$12.2 million to the Department of State for costs associated with fire prevention efforts and enforcement of state building code regulations.

The Budget will enable the Department to further its regulatory efforts in the area of managed care and to continue to detect instances of fraud and abuse in the health insurance industry.

## ***PROGRAM HIGHLIGHTS***

The Department ensures that insurance companies meet statutory requirements regarding their financial condition and corporate conduct by monitoring the financial condition of companies and conducting periodic field examinations of insurers. It strives for the fair treatment of policy holders, claimants, and the public through the regulation of company claims and sales practices, and its timely responses to consumer complaints.

The Department promotes high standards of ethical conduct and technical knowledge through oversight of testing, pre-licensing and continuing education of insurers and agents. It maintains a registry of all licensees, collects fees and imposes fines related to the revocation of licenses and irregular activities.

Reflecting the dynamic and changing environment confronting the insurance industry, the Department has reformed and rescinded over half its regulations and eased the process by which companies are licensed and new insurance products approved. Additionally, the Department will continue to implement several new laws in the areas of health insurance coverage, consumer protection of policy holders and insurance for residents of coastal areas. Finally, the Department continues to work closely with the Banking Department to assist Holocaust victims and their families to identify and recover assets from foreign financial institutions.

# INSURANCE

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$98,612,800	\$98,521,000	-\$91,800	\$500,000
Aid To Localities . . . . .	.....	.....	.....	.....
Capital Projects . . . . .	.....	.....	.....	.....
<b>Total . . . . .</b>	<b>\$98,612,800</b>	<b>\$98,521,000</b>	<b>-\$91,800</b>	<b>\$500,000</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
Special Revenue Funds — Other . . . . .	133	133	.....	133	.....
Regulation					
Special Revenue Funds — Other . . . . .	727	706	.....	706	-21
Consumer Services					
Special Revenue Funds — Other . . . . .	107	107	.....	107	.....
<b>Total . . . . .</b>	<b>967</b>	<b>946</b>	<b>.....</b>	<b>946</b>	<b>-21</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
Special Revenue Funds — Other . . . . .	\$98,612,800	\$98,521,000	-\$91,800
<b>Total . . . . .</b>	<b>\$98,612,800</b>	<b>\$98,521,000</b>	<b>-\$91,800</b>
Adjustments:			
Transfer(s) From			
Banking Department			
General Fund . . . . .	-210,000		
State, Department of			
Special Revenue Funds — Other . . . . .	-1,575,800		
Appropriated 1998-99 . . . . .	<u>\$96,827,000</u>		

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
Special Revenue Funds — Other . . . . .	\$9,617,600	\$10,080,800	+\$463,200
Regulation			
Special Revenue Funds — Other . . . . .	82,608,900	81,838,400	-770,500
Consumer Services			
Special Revenue Funds — Other . . . . .	6,386,300	6,601,800	+ 215,500
<b>Total . . . . .</b>	<b>\$98,612,800</b>	<b>\$98,521,000</b>	<b>-\$91,800</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	\$10,080,800	+ \$463,200	\$7,010,100	+ \$349,600
Regulation . . . . .	81,838,400	-770,500	38,181,400	+ 410,800
Consumer Services . . . . .	6,601,800	+ 215,500	4,638,900	+ 197,400
Total . . . . .	<u>\$98,521,000</u>	<u>-\$91,800</u>	<u>\$49,830,400</u>	<u>+ \$957,800</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$3,070,700	+ \$113,600	. . . . .	. . . . .
Regulation . . . . .	29,211,100	-772,000	\$14,445,900	-\$409,300
Consumer Services . . . . .	1,962,900	+ 18,100	. . . . .	. . . . .
Total . . . . .	<u>\$34,244,700</u>	<u>-\$640,300</u>	<u>\$14,445,900</u>	<u>-\$409,300</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 mandate, the Department performs a wide range of responsibilities. Major activities of the Department include prosecuting or defending all 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; investigating Medicaid fraud; and defending the legal and civil rights of New Yorkers.

## **ORGANIZATION AND STAFFING**

The legal functions of the Department of Law are divided into major divisions which comprise bureaus dealing with specific legal issues and cases. These are the Divisions of Appeals and Opinions, Criminal, State Counsel, Public Advocacy, and Regional Offices.

The Department's main office is located in Albany. The Department also has a major office in the City of New York and regional offices in Binghamton, Poughkeepsie, Syracuse, Buffalo, Plattsburgh, Rochester, Watertown, and Mineola and in Suffolk and Westchester counties. The Department will have a workforce of 1,700 positions for 1999-2000.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommends \$137.6 million for the Department. This recommendation includes \$87.9 million in tax dollars from the General Fund, which will finance 64 percent of these expenses for 1999-2000. Additional support for 1999-2000 will be provided by:

- Federal funding of \$25.7 million that finance Medicaid fraud efforts and that fund 19 percent of the Department's budget;
- Revenues of \$18.5 million related to the collection of non-tax debt and litigation settlements comprise 13 percent of the Department's budget; and
- The remaining 4 percent of the Department's expenses are funded with \$5.5 million consisting of assets seized as part of criminal prosecution activities, anti-trust cases and Medicaid fraud recoveries.

The General Fund recommendation includes about \$1.1 million for payments on certificates of participation issued mainly for computer equipment. This recommendation also includes \$917,000 for the annualized cost of staff approved in 1998-99 for increased litigation workload and the Department's technology operations.

## **PROGRAM HIGHLIGHTS**

Agency divisions perform the following functions:

- The Administration Division serves as the Support Service and Business Management arm of the Attorney General by providing budget, personnel, operations, and technology management activities for the agency.

- The Division of Appeals and Opinions handles appellate litigation in both State and Federal courts, determines which cases warrant appeal and the arguments to be advanced in these cases on behalf of the State of New York. The Division also prepares opinions, both formal and informal, interpreting State laws for State agencies and municipalities.
- The Criminal Division investigates and prosecutes criminal cases, including those involving medicaid fraud dealing with health care crime and organized crime involving multi-county, multi-state and even multi-national criminal activities occurring within New York State.
- The Division of State Counsel provides State agencies, the Governor, other State officials and the Legislature with counsel and representation in legal proceedings. It 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. It also enforces State Labor and Workers Compensation Laws and defends and prosecutes actions in defense of the State.
- The Division of Public Advocacy defends and protects the public interest in the courts. It enforces laws to prevent trade restraint and promotes competition, protects charitable donors and beneficiaries from unscrupulous practices in charitable asset management, and enforces laws prohibiting discrimination. It also protects consumers from fraudulent, misleading, deceptive and illegal trade practices, enforces laws enacted to prevent environmental damage and protects the public by regulating sales of investment securities.
- The Regional Offices program provides mini-satellite offices of the main agency offices in all regions of the State to afford State residents enhanced service delivery.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$137,616,200	\$137,124,400	-\$491,800	\$47,074,100
Aid To Localities . . . . .	405,500	437,800	+ 32,300	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$138,021,700</u>	<u>\$137,562,200</u>	<u>-\$459,500</u>	<u>\$47,074,100</u>

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

<u>Program</u>	1999-00 Recommended Average Fill Level				<u>Change</u>
	<u>Available 1998-99</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	
Administration					
General Fund . . . . .	137	146	. . . .	146	+ 9
Counsel for the State					
General Fund . . . . .	271	280	. . . .	280	+ 9
Special Revenue Funds — Other . . . . .	95	95	. . . .	95	. . . .
Internal Service Funds . . . . .	109	. . . .	109	109	. . . .
Appeals and Opinions					
General Fund . . . . .	68	66	. . . .	66	-2
Public Advocacy					
General Fund . . . . .	270	265	. . . .	265	-5
Criminal Prosecutions					
General Fund . . . . .	169	164	. . . .	164	-5
Regional Offices					
General Fund . . . . .	159	154	. . . .	154	-5
Medicaid Fraud Control					
General Fund . . . . .	73	73	. . . .	73	. . . .
Special Revenue Funds — Federal . . . . .	244	269	. . . .	269	+ 25
Subtotal, Direct Funded Programs . . . . .	<u>1,595</u>	<u>1,512</u>	<u>109</u>	1,621	+ 26
Suballocations:					
General Fund . . . . .	27			27	. . . .
Special Revenue Funds — Federal . . . . .	7			7	. . . .
Special Revenue Funds — Other . . . . .	52			45	-7
Total . . . . .	<u>1,681</u>			<u>1,700</u>	+ 19

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$83,842,600	\$87,485,400	+ \$3,642,800
Special Revenue Funds — Federal . . . . .	24,683,000	25,660,000	+ 977,000
Special Revenue Funds — Other . . . . .	22,595,700	17,374,000	-5,221,700
Internal Service Funds . . . . .	6,494,900	6,605,000	+ 110,100
Total . . . . .	<u>\$137,616,200</u>	<u>\$137,124,400</u>	<u>-\$491,800</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$16,150,200	\$18,251,900	+ \$2,101,700
Special Revenue Funds — Other . . . . .	4,800,000	. . . . .	-4,800,000
Counsel for the State			
General Fund . . . . .	22,009,400	23,391,000	+ 1,381,600
Special Revenue Funds — Other . . . . .	11,575,100	11,874,000	+ 298,900
Internal Service Funds . . . . .	6,494,900	6,605,000	+ 110,100
Appeals and Opinions			
General Fund . . . . .	4,355,700	4,286,700	-69,000
Public Advocacy			
General Fund . . . . .	15,734,000	16,150,700	+ 416,700
Special Revenue Funds — Other . . . . .	500,000	500,000	. . . . .
Criminal Prosecutions			
General Fund . . . . .	11,570,300	11,753,500	+ 183,200
Special Revenue Funds — Other . . . . .	2,500,000	2,500,000	. . . . .
Regional Offices			
General Fund . . . . .	10,041,900	9,749,300	-292,600
Medicaid Fraud Control			
General Fund . . . . .	3,981,100	3,902,300	-78,800
Special Revenue Funds — Federal . . . . .	24,683,000	25,660,000	+ 977,000
Special Revenue Funds — Other . . . . .	3,220,600	2,500,000	-720,600
<b>Total . . . . .</b>	<u>\$137,616,200</u>	<u>\$137,124,400</u>	<u>-\$491,800</u>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$6,506,300	+ \$429,700	\$6,488,900	+ \$429,300	. . . . .	. . . . .
Counsel for the State . . . . .	16,838,000	+ 448,600	15,697,000	+ 429,000	\$1,141,000	+ \$19,600
Appeals and Opinions . . . . .	3,634,600	-69,000	3,634,600	-69,000	. . . . .	. . . . .
Public Advocacy . . . . .	14,561,800	+ 416,700	14,485,000	+ 415,400	76,800	+ 1,300
Criminal Prosecutions . . . . .	9,512,600	+ 183,200	9,429,600	+ 181,800	83,000	+ 1,400
Regional Offices . . . . .	7,963,900	-292,600	7,963,900	-292,600	. . . . .	. . . . .
Medicaid Fraud Control . . . . .	3,913,100	-78,800	3,859,400	-78,800	53,700	. . . . .
<b>Total . . . . .</b>	<u>\$62,930,300</u>	<u>+ \$1,037,800</u>	<u>\$61,558,400</u>	<u>+ \$1,015,100</u>	<u>\$1,354,500</u>	<u>+ \$22,300</u>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$17,400	+ \$400
Counsel for the State . . . . .	. . . . .	. . . . .
Appeals and Opinions . . . . .	. . . . .	. . . . .
Public Advocacy . . . . .	. . . . .	. . . . .
Criminal Prosecutions . . . . .	. . . . .	. . . . .
Regional Offices . . . . .	. . . . .	. . . . .
Medicaid Fraud Control . . . . .	. . . . .	. . . . .
<b>Total . . . . .</b>	<u>\$17,400</u>	<u>+ \$400</u>

**STATE OPERATIONS — GENERAL AND OFFSET FUNDS**  
**SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED**  
**APPROPRIATIONS AND CHANGES**  
**1999-00 RECOMMENDED**

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$11,745,600	+ \$1,672,000	\$91,600	. . . .
Counsel for the State . . . . .	6,553,000	+ 933,000	159,500	. . . .
Appeals and Opinions . . . . .	652,100	. . . .	344,200	. . . .
Public Advocacy . . . . .	1,588,900	. . . .	78,300	. . . .
Criminal Prosecutions . . . . .	2,240,900	. . . .	69,200	. . . .
Regional Offices . . . . .	1,785,400	. . . .	18,900	. . . .
Medicaid Fraud Control . . . . .	2,489,200	. . . .	34,600	. . . .
<b>Total . . . . .</b>	<b>\$27,055,100</b>	<b>+ \$2,605,000</b>	<b>\$796,300</b>	<b>. . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$65,900	. . . .	\$11,328,800	+ \$1,672,000
Counsel for the State . . . . .	369,500	. . . .	5,872,500	+ 933,000
Appeals and Opinions . . . . .	28,500	. . . .	277,100	. . . .
Public Advocacy . . . . .	75,800	. . . .	1,299,300	. . . .
Criminal Prosecutions . . . . .	297,600	. . . .	1,849,300	. . . .
Regional Offices . . . . .	212,700	. . . .	1,517,800	. . . .
Medicaid Fraud Control . . . . .	38,900	. . . .	960,100	. . . .
<b>Total . . . . .</b>	<b>\$1,088,900</b>	<b>. . . .</b>	<b>\$23,104,900</b>	<b>+ \$2,605,000</b>

Program	Equipment		General State Charges	
	Amount	Change	Amount	Change
Administration . . . . .	\$259,300	. . . .	. . . .	. . . .
Counsel for the State . . . . .	151,500	. . . .	. . . .	. . . .
Appeals and Opinions . . . . .	2,300	. . . .	. . . .	. . . .
Public Advocacy . . . . .	135,500	. . . .	. . . .	. . . .
Criminal Prosecutions . . . . .	24,800	. . . .	. . . .	. . . .
Regional Offices . . . . .	36,000	. . . .	. . . .	. . . .
Medicaid Fraud Control . . . . .	4,900	. . . .	\$1,450,700	. . . .
<b>Total . . . . .</b>	<b>\$614,300</b>	<b>. . . .</b>	<b>\$1,450,700</b>	<b>. . . .</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND**  
**SUMMARY OF APPROPRIATIONS AND CHANGES**  
**1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Administration . . . . .	. . . .	-\$4,800,000	. . . .	. . . .
Counsel for the State . . . . .	\$18,479,000	+ 409,000	\$6,611,000	+ \$161,500
Public Advocacy . . . . .	500,000	. . . .	. . . .	. . . .
Criminal Prosecutions . . . . .	2,500,000	. . . .	. . . .	. . . .
Medicaid Fraud Control . . . . .	28,160,000	+ 256,400	14,614,000	+ 355,800
<b>Total . . . . .</b>	<b>\$49,639,000</b>	<b>-\$4,134,600</b>	<b>\$21,225,000</b>	<b>+ \$517,300</b>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	. . . .	. . . .	. . . .	-\$4,800,000
Counsel for the State . . . . .	\$5,263,000	+ \$137,400	\$6,605,000	+ 110,100
Public Advocacy . . . . .	500,000	. . . .	. . . .	. . . .
Criminal Prosecutions . . . . .	. . . .	. . . .	2,500,000	. . . .
Medicaid Fraud Control . . . . .	11,046,000	+ 701,200	2,500,000	-800,600
<b>Total . . . . .</b>	<b>\$16,809,000</b>	<b>+ \$838,600</b>	<b>\$11,605,000</b>	<b>-\$5,490,500</b>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$405,500	\$437,800	+ \$32,300
Total .....	<u>\$405,500</u>	<u>\$437,800</u>	<u>+ \$32,300</u>

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Criminal Prosecutions General Fund .....	\$405,500	\$437,800	+ \$32,300
Total .....	<u>\$405,500</u>	<u>\$437,800</u>	<u>+ \$32,300</u>

# TEMPORARY STATE COMMISSION ON LOBBYING

## MISSION

The Temporary State Commission on Lobbying is responsible for monitoring, maintaining and making public the identities, activities, and expenditures of lobbyists, clients and public corporations attempting to influence the legislative, regulatory and rule- and rate-making actions of elected State officials and agency decision makers. The Commission is also authorized to hold hearings and impose civil penalties. A final responsibility of the Commission is to collect, maintain, and make public the records of appearances before regulatory State agencies.

## ORGANIZATION AND STAFFING

The Lobbying Act sets forth the administrative and enforcement responsibilities of the Commission. Under the guidance of a six-member bipartisan board appointed by the Governor, with advice from the legislative leaders, these responsibilities are carried out by a workforce of nine.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Commission receives 94 percent of its support from State tax dollars from the General Fund. The remaining 6 percent of its operations are funded by civil penalty fines assessed on lobbyists for violations of the Lobbying Law.

The Executive Budget recommends \$579,000 in General Fund support for the Commission. This recommended funding will allow the Commission to continue its present level of oversight activity.

## PROGRAM HIGHLIGHTS

In 1997, the Commission's oversight responsibilities included 2,100 registered lobbyists, 1,250 clients of lobbyists, and 50 public corporations which reported lobbying expenses of \$51.4 million. The Commission's monitoring responsibilities encompassed both registered and unregistered special interest groups. These groups were active on over 18,000 bills before the Legislature and 2,150 rules, regulations and rate applications involving State agencies.

In 1996, the Commission established a web site on the Internet to further increase the public's access to lobbying information. The web site has been accessed more than 830,000 times through the end of September 1998. A scanning and imaging system allows for almost same day processing of incoming registrations and reports.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$606,200	\$619,000	+ \$12,800	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	\$606,200	\$619,000	+ \$12,800	. . . .

# LOBBYING

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Operations					
General Fund	9	9	....	9	....
Total	9	9	....	9	....

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$566,200	\$579,000	+ \$12,800
Special Revenue Funds — Other	40,000	40,000	....
Total	\$606,200	\$619,000	+ \$12,800

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Operations			
General Fund	\$566,200	\$579,000	+ \$12,800
Special Revenue Funds — Other	40,000	40,000	....
Total	\$606,200	\$619,000	+ \$12,800

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)	
	Amount	Change	Amount	Change
Operations	\$503,000	+ \$12,800	\$503,000	+ \$12,800
Total	\$503,000	+ \$12,800	\$503,000	+ \$12,800

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Contractual Services	
		Change	Amount	Change	
Operations	\$76,000	....	\$76,000	....	
Total	\$76,000	....	\$76,000	....	

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
	<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Operations . . . . .	<u>\$40,000</u>	<u>. . . .</u>	<u>\$40,000</u>	<u>. . . .</u>
Total . . . . .	<u>\$40,000</u>	<u>. . . .</u>	<u>\$40,000</u>	<u>. . . .</u>



# ***PUBLIC EMPLOYMENT RELATIONS BOARD***

## ***MISSION***

The Public Employment Relations Board resolves labor disputes between public employers and employees. The Board provides mediation, fact-finding and arbitration in contract disputes for approximately 4,000 negotiating units in New York. In addition, the Board settles questions of union representation, conducts hearings on charges of improper practices, designates Management/Confidential positions, and acts as a clearinghouse for information on wages, benefits and employment practices.

## ***ORGANIZATION AND STAFFING***

The Board consists of a full-time Chair and two part-time members nominated by the Governor for six-year terms. The Board's jurisdiction includes State, county, and local governments, certain special service districts, school districts and public authorities. Central offices are in Albany, with additional staff in Buffalo and New York City. The Board will have a workforce of 41 positions for 1999-2000.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

The Board receives 94 percent of its funding from the General Fund, which supports its mediation, fact-finding, and arbitration services and administrative costs.

The Executive Budget recommends \$3.3 million in General Fund support for the Board, and the Board's remaining expenses of \$192,500 are financed by fees paid by public employers and unions for filings and publications.

## ***PROGRAM HIGHLIGHTS***

The Board provides three principal services: conciliation, settlement of petitions involving representation, and rulings on charges of improper practices.

### ***CONCILIATION***

The Board provided assistance in approximately 435 of the 2,700 State and local contracts negotiated in 1997-98. The Board has followed many of these cases through the full range of impasse resolution steps: mediation, followed by either fact-finding or arbitration and conciliation.

### ***REPRESENTATION***

Through its Office of Public Employment Practices and Representation, the Board reviews all petitions from public employee unions and employers requesting the creation of new negotiating units or the transfer of members between units. It also reviews requests to remove positions from negotiating units and may designate them management or confidential. In 1998-99, the Board expects to receive approximately 150 petitions raising questions about representation and to conduct 20 elections for representation.

# PUBLIC EMPLOYMENT RELATIONS

## EMPLOYMENT PRACTICES

The Board conducts hearings and renders decisions on improper practice charges, and expects to receive petitions on approximately 1,400 charges of improper employment and negotiating practices in the coming year. In 1997-98, the agency wrote over 300 decisions and closed, either by decision or settlement, over 1,100 improper practice cases. Each case must be addressed in a pre-hearing conference attended by the affected parties. If a case cannot be resolved, a Board administrative law judge must rule on the charge after conducting a formal hearing.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$3,419,600	\$3,499,900	+ \$80,300	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$3,419,600</u>	<u>\$3,499,900</u>	<u>+ \$80,300</u>	<u>. . . .</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	39	39	. . . .	39	. . . .
Special Revenue Funds — Other . . . . .	2	2	. . . .	2	. . . .
Total . . . . .	<u>41</u>	<u>41</u>	<u>. . . .</u>	<u>41</u>	<u>. . . .</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$3,227,100	\$3,307,400	+ \$80,300
Special Revenue Funds — Other . . . . .	192,500	192,500	. . . .
Total . . . . .	<u>\$3,419,600</u>	<u>\$3,499,900</u>	<u>+ \$80,300</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund . . . . .	\$3,227,100	\$3,307,400	+ \$80,300
Special Revenue Funds — Other . . . . .	192,500	192,500	. . . .
Total . . . . .	<u>\$3,419,600</u>	<u>\$3,499,900</u>	<u>+ \$80,300</u>

# PUBLIC EMPLOYMENT RELATIONS

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Total Personal Service Amount</u>	<u>Change</u>	<u>Personal Service Regular (Annual Salaried) Amount</u>	<u>Change</u>	<u>Temporary Service (Nonannual Salaried) Amount</u>	<u>Change</u>
Administration . . . . .	\$2,910,800	+ \$68,700	\$2,543,800	+ \$57,900	\$363,900	+ \$10,700
Total . . . . .	<u>\$2,910,800</u>	<u>+ \$68,700</u>	<u>\$2,543,800</u>	<u>+ \$57,900</u>	<u>\$363,900</u>	<u>+ \$10,700</u>

<u>Program</u>	<u>Holiday/Overtime Pay (Annual Salaried) Amount</u>	<u>Change</u>
Administration . . . . .	\$3,100	+ \$100
Total . . . . .	<u>\$3,100</u>	<u>+ \$100</u>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Amount</u>	<u>Total Change</u>	<u>Supplies and Materials Amount</u>	<u>Change</u>
Administration . . . . .	\$396,600	+ \$11,600	\$30,900	+ \$900
Total . . . . .	<u>\$396,600</u>	<u>+ \$11,600</u>	<u>\$30,900</u>	<u>+ \$900</u>

<u>Program</u>	<u>Amount</u>	<u>Travel Change</u>	<u>Contractual Services Amount</u>	<u>Change</u>
Administration . . . . .	\$51,500	+ \$1,500	\$114,200	+ \$9,200
Total . . . . .	<u>\$51,500</u>	<u>+ \$1,500</u>	<u>\$114,200</u>	<u>+ \$9,200</u>

<u>Program</u>	<u>Maintenance Undistributed Amount</u>	<u>Change</u>
Administration . . . . .	\$200,000	. . . .
Total . . . . .	<u>\$200,000</u>	<u>. . . .</u>

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

<u>Program</u>	<u>Amount</u>	<u>Total Change</u>	<u>Personal Service Amount</u>	<u>Change</u>
Administration . . . . .	\$192,500	. . . .	\$50,000	. . . .
Total . . . . .	<u>\$192,500</u>	<u>. . . .</u>	<u>\$50,000</u>	<u>. . . .</u>

<u>Program</u>	<u>Nonpersonal Service Amount</u>	<u>Change</u>
Administration . . . . .	\$142,500	. . . .
Total . . . . .	<u>\$142,500</u>	<u>. . . .</u>



# **OFFICE OF REAL PROPERTY SERVICES**

## **MISSION**

The Office of Real Property Services is charged with the general supervision of local property tax administration in New York. The Office plays a major role in developing the State's property tax policy and helps local governments with property tax administration pursuant to constitutional provisions for the supervision, review and equalization of local assessments for purposes of taxation.

## **ORGANIZATION AND STAFFING**

The Office of Real Property Services is headed by the State Board of Real Property Services, a five-member Board appointed by the Governor, and its day-to-day administration is conducted by a Board-appointed Executive Director. The agency has a central office in Albany and five regional offices in Batavia, Syracuse, Newburgh, Melville and Saranac Lake. Recent initiatives have successfully streamlined the agency's operations and management structure.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 Executive Budget will support a staffing level of 476 positions for the Office of Real Property Services. Approximately 78 percent of these positions will be supported by State tax dollars from the General Fund and the remaining 22 percent will be supported by various fees.

General Fund appropriations of \$22.7 million will finance 62 percent of the Office's \$37 million operating budget in 1999-2000. Three revenue accounts support the remaining 38 percent: the Improvement of Real Property Tax Administration Account; the Industrial and Utility Services Account; and the Local Services Account. These accounts are funded from the State's share of the real property transfer recording fee, chargebacks for assessments made on industrial, utility and railroad property and charges for miscellaneous consulting and computing services and products.

Budget recommendations for the Office of Real Property Services for 1999-2000 include:

- Funds for administrative, technical and financial assistance to local governments for the administration of the School Tax Relief (STAR) initiative;
- Resources necessary to redesign the property tax system to ensure that taxpayers receive clear, complete and timely information about assessments and taxes on their properties; and
- Financial aid to local governments to improve assessment administration and to reimburse local assessors for the cost of attending required training courses.

## **PROGRAM HIGHLIGHTS**

The Office of Real Property Services is involved with all State-level responsibilities relating to the real property tax, which represents the largest revenue source for counties, municipalities, school districts and special districts. Accordingly, the Office has programs to determine the full market value of taxable real property in each municipality, to provide policy guidance as well as technical and financial assistance to local assessing units and to assist other State agencies with information and administrative support in areas that relate to property tax policy or administration.

## **REAL PROPERTY SERVICES**

---

### **DETERMINATION OF MUNICIPAL FULL VALUE**

State laws permit New York's local governments to select the percentage of full value they use in assessing properties. However, the Office of Real Property Services establishes equalization rates and ratios to estimate a uniform measure of full value for approximately 1,000 assessing units every year. As a part of recent streamlining efforts, the agency has implemented a new, simplified approach to the preparation of equalization rates by increasing its reliance on accurate and up-to-date data from local governments. The agency's shift in emphasis from labor-intensive property appraisals to cooperative efforts with local governments, which began in 1996-97, has produced annual savings of approximately \$2.5 million.

### **ASSISTANCE AND SERVICES TO LOCAL GOVERNMENTS**

Since many municipal assessing units are very small-scale operations, local property tax administrators are dependent on the Office of Real Property Services. Centralized services to assessors and taxing jurisdictions include administrative, legal, and technical assistance. In helping municipalities, the Office works closely with county offices of real property tax services, many of which have developed programs for coordinating reassessment projects on a county-wide basis.

In furthering the State-local partnership in property tax administration, the Office also administers State aid programs to help municipalities defray the cost of creating and maintaining equitable assessment rolls. "Maintenance aid" provides partial State reimbursement to local governments for costs associated with revaluation of properties and to encourage local governments to maintain quality assessment data. "Consolidation aid" provides State funding as an incentive to promote increased cost efficiency through the consolidation of smaller assessing units. Since 1994, over 430 local assessing units have implemented revaluations or updates to their assessment rolls; and 383 of them received financial and technical assistance from the Office of Real Property Services. In this same period, 44 towns in 12 separate counties have formed coordinated assessment programs.

Through the Office of Real Property Services, the State also provides advisory appraisals for certain complex properties such as utilities and large manufacturing plants. Advisory appraisals not only help localities conduct such specialized assessments, they also promote uniformity in appraisal procedures.

As the State-level coordinating agency for implementation of the STAR initiative, the Office works with local assessing units to ensure that the full benefits of this statewide tax exemption program reach all eligible taxpayers. To assist in these efforts, the Office administers a grant program which defrays the cost of processing applications for STAR exemptions by local assessing units.

### **OTHER SERVICES AND RESPONSIBILITIES**

The Office of Real Property Services maintains inventory and valuation data on approximately 3.5 million acres of State-owned land that are subject to local taxation. Local assessments on taxable State-owned properties are scrutinized by the agency and either certified for payment or brought to administrative and judicial review, as appropriate.

In conjunction with the State Education Department and the Department of Taxation and Finance, the Office is responsible for administering the School District Income Verification program. This program verifies and corrects the school district codes reported on personal income tax returns to accurately assign personal income to school districts. These data are then used as a measure of local fiscal capacity in school aid formulas.

## REAL PROPERTY SERVICES

Special assessments are statutorily authorized for agricultural properties, transportation properties owned by railroad companies and oil and gas wells. The Office establishes values of agricultural land, ceilings on assessments of railroad properties and values of oil- and gas-producing facilities.

### ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$39,501,000	\$37,037,200	-\$2,463,800	. . . .
Aid To Localities . . . . .	21,929,000	18,911,000	-3,018,000	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<u>\$61,430,000</u>	<u>\$55,948,200</u>	<u>-\$5,481,800</u>	<u>. . . .</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Policy and Organizational Support Services					
General Fund . . . . .	233	189	35	224	-9
Special Revenue Funds — Other . . . . .	36	32	. . . .	32	-4
Regional Operations					
General Fund . . . . .	146	140	. . . .	140	-6
Special Revenue Funds — Other . . . . .	75	75	. . . .	75	. . . .
Income Verification					
General Fund . . . . .	5	5	. . . .	5	. . . .
<b>Total . . . . .</b>	<u>495</u>	<u>441</u>	<u>35</u>	<u>476</u>	<u>-19</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$26,145,300	\$22,686,100	-\$3,459,200
Special Revenue Funds — Other . . . . .	13,355,700	14,351,100	+ 995,400
<b>Total . . . . .</b>	<u>\$39,501,000</u>	<u>\$37,037,200</u>	<u>-\$2,463,800</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Policy and Organizational Support Services			
General Fund . . . . .	\$19,330,800	\$16,061,100	-\$3,269,700
Special Revenue Funds — Other . . . . .	4,391,500	4,389,100	-2,400
Regional Operations			
General Fund . . . . .	6,566,500	6,381,500	-185,000
Special Revenue Funds — Other . . . . .	8,964,200	9,962,000	+ 997,800
Income Verification			
General Fund . . . . .	248,000	243,500	-4,500
<b>Total . . . . .</b>	<u>\$39,501,000</u>	<u>\$37,037,200</u>	<u>-\$2,463,800</u>

# REAL PROPERTY SERVICES

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Policy and Organizational Support Services . . . . .	\$9,234,300	-\$269,700	\$9,234,300	-\$258,100	. . . .	-\$11,600
Regional Operations . . . . .	6,295,000	-185,000	6,295,000	-176,000	. . . .	-9,000
Income Verification . . . . .	193,500	-4,500	193,500	-4,500	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$15,722,800</b>	<b>-\$459,200</b>	<b>\$15,722,800</b>	<b>-\$438,600</b>	<b>. . . .</b>	<b>-\$20,600</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Policy and Organizational Support Services . . . . .	\$6,826,800	-\$3,000,000	\$252,700	. . . .
Regional Operations . . . . .	86,500	. . . .	68,400	. . . .
Income Verification . . . . .	50,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$6,963,300</b>	<b>-\$3,000,000</b>	<b>\$321,100</b>	<b>. . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Policy and Organizational Support Services . . . . .	\$368,200	. . . .	\$2,010,800	. . . .
Regional Operations . . . . .	18,100	. . . .	. . . .	. . . .
Income Verification . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$386,300</b>	<b>. . . .</b>	<b>\$2,010,800</b>	<b>. . . .</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Policy and Organizational Support Services . . . . .	\$695,100	. . . .	\$3,500,000	-\$3,000,000
Regional Operations . . . . .	. . . .	. . . .	. . . .	. . . .
Income Verification . . . . .	50,000	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$745,100</b>	<b>. . . .</b>	<b>\$3,500,000</b>	<b>-\$3,000,000</b>

# REAL PROPERTY SERVICES

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services . . . . .	\$4,389,100	-\$2,400	\$2,882,000	. . . . .
Regional Operations . . . . .	9,962,000	+ 997,800	3,450,000	. . . . .
Total . . . . .	\$14,351,100	+ \$995,400	\$6,332,000	. . . . .
Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Policy and Organizational				
Support Services . . . . .	\$1,507,100	-\$2,400	. . . . .	. . . . .
Regional Operations . . . . .	5,512,000	-2,200	\$1,000,000	+ \$1,000,000
Total . . . . .	\$7,019,100	-\$4,600	\$1,000,000	+ \$1,000,000

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$21,929,000	\$18,911,000	-\$3,018,000
Total . . . . .	\$21,929,000	\$18,911,000	-\$3,018,000

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Policy and Organizational Support Services			
General Fund . . . . .	\$21,861,000	\$18,911,000	-\$2,950,000
Other Community Projects			
General Fund . . . . .	68,000	. . . . .	-68,000
Total . . . . .	\$21,929,000	\$18,911,000	-\$3,018,000



# **GOVERNOR'S OFFICE OF REGULATORY REFORM**

## **MISSION**

The Governor's Office of Regulatory Reform was restructured in 1995 and charged with the promotion of private sector job growth in New York through the review and reform of State regulations. The Office creates a positive climate for job growth by reviewing and streamlining regulations, expediting regulatory approval and improving attitudes of regulators toward those affected by State regulations. Since 1994-95, the Office has substantively reviewed and/or eliminated nearly 1,300 rules which, together with other regulatory, statutory and permitting reforms, has saved the State's businesses \$1.7 billion in operating and other expenses.

## **ORGANIZATION AND STAFFING**

Led by a Director appointed by the Governor, the Office is located in Albany. Agency objectives are achieved through its Business Permits Assistance and Regulatory Review programs. The Office will have a workforce of 38 positions for 1999-2000.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Office's operations are supported by State tax dollars from the General Fund. The Executive Budget recommends \$2.5 million in support for the Office to maintain its current effort to streamline the State's regulatory process. The recommended funding will also support a sophisticated database, which provides businesses with comprehensive information on the permits related to starting or expanding a business.

## **PROGRAM HIGHLIGHTS**

### **REGULATORY REVIEW**

The Office reviews both the need for proposed new and revised regulations and their economic impact. Staff are continuing efforts begun in 1994-95 to review all existing State agency regulations to identify those that hamper the growth of business and jobs in New York State. The Office requires regulating agencies to analyze the costs and benefits of any proposed new or amended rule and to consider the effect of the regulatory change on job creation and retention, public health, safety and welfare. Recommendations are also made to agencies to help them simplify their regulatory processes.

### **BUSINESS PERMITS ASSISTANCE**

The Business Permits Assistance program provides comprehensive information about permits required to operate businesses in New York State, in addition to consulting with local governments to better coordinate local permit applications. Program staff also assist agencies in streamlining and simplifying permit procedures required for business and local government undertakings. This program has provided assistance since 1994 to almost 200,000 individuals or firms interested in starting or growing a business in New York. This effort was facilitated by the development in 1995 of a master application form for complex business ventures and a comprehensive permit reform program in 1997 which already is expected to generate over \$50 million in savings to New York businesses.

# REGULATORY REFORM

## ALL FUNDS APPROPRIATIONS

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$2,743,300	\$2,468,800	-\$274,500	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$2,743,300</b>	<b>\$2,468,800</b>	<b>-\$274,500</b>	<b>. . . .</b>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration General Fund . . . . .	38	38	. . . .	38	. . . .
<b>Total . . . . .</b>	<b>38</b>	<b>38</b>	<b>. . . .</b>	<b>38</b>	<b>. . . .</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$2,743,300	\$2,468,800	-\$274,500
<b>Total . . . . .</b>	<b>\$2,743,300</b>	<b>\$2,468,800</b>	<b>-\$274,500</b>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration General Fund . . . . .	\$2,743,300	\$2,468,800	-\$274,500
<b>Total . . . . .</b>	<b>\$2,743,300</b>	<b>\$2,468,800</b>	<b>-\$274,500</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$2,074,100	+ \$114,000	\$2,069,400	+ \$113,900	\$4,700	+ \$100
<b>Total . . . . .</b>	<b>\$2,074,100</b>	<b>+ \$114,000</b>	<b>\$2,069,400</b>	<b>+ \$113,900</b>	<b>\$4,700</b>	<b>+ \$100</b>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	Total	<u>Change</u>	Supplies and Materials	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$394,700		-\$388,500		\$51,500	+ \$1,500
Total . . . . .	<u>\$394,700</u>		<u>-\$388,500</u>		<u>\$51,500</u>	<u>+ \$1,500</u>

<u>Program</u>	<u>Amount</u>	Travel	<u>Change</u>	Contractual Services	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$51,500		+ \$1,500		\$190,550	-\$394,450
Total . . . . .	<u>\$51,500</u>		<u>+ \$1,500</u>		<u>\$190,550</u>	<u>-\$394,450</u>

<u>Program</u>	<u>Amount</u>	Equipment	<u>Change</u>
Administration . . . . .	\$101,150		+ \$2,950
Total . . . . .	<u>\$101,150</u>		<u>+ \$2,950</u>



# **DEPARTMENT OF STATE**

## **MISSION**

The Department of State's mission is to 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 18 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 813 positions for 1999-2000.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

Approximately 32 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 16 percent. The Executive Budget recommends funding of \$98.2 million for the Department of State; \$81.6 million in Federal funding and fee revenues, and \$16.6 million in General Fund support.

Major recommendations include:

- Expedited filing and retrieval services in the Bureau of Corporations to assure New York's business community rapid access to and dissemination of financial information.
- Funding of \$1.4 million to implement legislation authorizing the adoption of model fire prevention, building and energy codes.
- Implementing the 1998 Hearing Aid Dispenser Act requiring the licensing of audiologists.
- Funding of \$5 million for a Revitalization Projects and Infrastructure Renewal (RePAIR) program to assist cities with demolishing and clearing abandoned buildings and vacated industrial and commercial structures.

## **PROGRAM HIGHLIGHTS**

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

- The Local Government and Community Service Program includes the Office of Fire Prevention and Control which works with paid and volunteer fire companies on arson investigations and the handling of hazardous material, and 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 its Office for Local Government, support land use planning activities in the New York City/Catskill Watershed, coordinate New York's coastal resources and waterfront revitalization activities, provide low interest loans to fire and ambulance companies through the Emergency Services Revolving Loan Program and administer the Department's federal grant programs, including the Appalachian Regional Commission and Community Services Block Grants.

# STATE

- 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 license of 13 occupations; and 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 budget contains funds for the Lake George Park Commission, the State Ethics Commission, the State Athletic Commission, the Commission on Uniform State Laws, and the Tug Hill Commission.

## ALL FUNDS APPROPRIATIONS

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$41,701,600	\$43,487,800	+ \$1,786,200	\$8,040,800
Aid To Localities . . . . .	62,405,808	53,400,000	-9,005,808	50,067,100
Capital Projects . . . . .	1,055,000	1,317,000	+ 262,000	1,008,000
Total . . . . .	<u>\$105,162,408</u>	<u>\$98,204,800</u>	<u>-\$6,957,608</u>	<u>\$59,115,900</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund . . . . .	46	46	. . . .	46	. . . .
Local Government and Community Services					
General Fund . . . . .	44	44	. . . .	44	. . . .
Special Revenue Funds — Federal . . . . .	75	75	. . . .	75	. . . .
Special Revenue Funds — Other . . . . .	28	16	. . . .	16	-12
Fiduciary Funds . . . . .	2	2	. . . .	2	. . . .
State Ethics Commission					
General Fund . . . . .	21	21	. . . .	21	. . . .
Licensing Services					
General Fund . . . . .	17	17	. . . .	17	. . . .
Special Revenue Funds — Other . . . . .	418	412	. . . .	412	-6
Lake George Park Commission					
Special Revenue Funds — Other . . . . .	10	10	. . . .	10	. . . .
Tug Hill Commission					
General Fund . . . . .	16	16	. . . .	16	. . . .
Clean Water/Clean Air Administration Program					
Capital Project Funds . . . . .	6	6	. . . .	6	. . . .
Subtotal, Direct Funded Programs . . . . .	<u>683</u>	<u>665</u>	<u>. . . .</u>	<u>665</u>	<u>-18</u>
Suballocations:					
General Fund . . . . .	4			4	. . . .
Special Revenue Funds — Federal . . . . .	3			3	. . . .
Special Revenue Funds — Other . . . . .	118			137	+ 19
Capital Project Funds . . . . .	4			4	. . . .
Total . . . . .	<u>812</u>			<u>813</u>	<u>+ 1</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$10,000,800	\$9,923,500	-\$77,300
Special Revenue Funds — Federal . . . . .	6,100,000	6,215,000	+ 115,000
Special Revenue Funds — Other . . . . .	25,600,800	27,349,300	+ 1,748,500
<b>Total . . . . .</b>	<b>\$41,701,600</b>	<b>\$43,487,800</b>	<b>+ \$1,786,200</b>
<b>Adjustments:</b>			
Transfer(s) From			
Budget, Division of the			
General Fund . . . . .	-80,600		
Transfer(s) To			
Insurance Department			
Special Revenue Funds — Other . . . . .	+ 1,575,800		
Appropriated 1998-99 . . . . .	<u>\$43,196,800</u>		

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Administration			
General Fund . . . . .	\$4,316,000	\$4,298,000	-\$18,000
Local Government and Community Services			
General Fund . . . . .	2,812,300	2,717,900	-94,400
Special Revenue Funds — Federal . . . . .	6,100,000	6,215,000	+ 115,000
Special Revenue Funds — Other . . . . .	1,131,800	2,606,800	+ 1,475,000
State Ethics Commission			
General Fund . . . . .	1,434,300	1,460,000	+ 25,700
Licensing Services			
General Fund . . . . .	673,400	641,300	-32,100
Special Revenue Funds — Other . . . . .	23,483,100	23,775,900	+ 292,800
Lake George Park Commission			
Special Revenue Funds — Other . . . . .	973,300	954,000	-19,300
Tug Hill Commission			
General Fund . . . . .	764,800	806,300	+ 41,500
Special Revenue Funds — Other . . . . .	12,600	12,600	. . . .
<b>Total . . . . .</b>	<b>\$41,701,600</b>	<b>\$43,487,800</b>	<b>+ \$1,786,200</b>

# STATE

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration . . . . .	\$2,766,600	-\$26,600	\$2,757,400	-\$26,600	\$2,900	. . . .
Local Government and Community Services . . . . .	2,173,300	-94,400	2,153,100	-94,400	20,200	. . . .
State Ethics Commission . . . . .	1,167,600	+ 25,700	1,135,700	+ 25,700	21,000	. . . .
Licensing Services . . . . .	547,600	-32,100	547,600	-32,100	. . . .	. . . .
Tug Hill Commission . . . . .	699,200	+ 41,500	699,200	+ 41,500	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$7,354,300</b>	<b>-\$85,900</b>	<b>\$7,293,000</b>	<b>-\$85,900</b>	<b>\$44,100</b>	<b>. . . .</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration . . . . .	\$6,300	. . . .
Local Government and Community Services . . . . .	. . . .	. . . .
State Ethics Commission . . . . .	10,900	. . . .
Licensing Services . . . . .	. . . .	. . . .
Tug Hill Commission . . . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$17,200</b>	<b>. . . .</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Supplies and Materials	
	Amount	Change	Amount	Change
Administration . . . . .	\$1,531,400	+ \$8,600	\$171,000	. . . .
Local Government and Community Services . . . . .	544,600	. . . .	14,700	. . . .
State Ethics Commission . . . . .	292,400	. . . .	26,100	. . . .
Licensing Services . . . . .	93,700	. . . .	10,400	. . . .
Tug Hill Commission . . . . .	107,100	. . . .	7,700	. . . .
<b>Total . . . . .</b>	<b>\$2,569,200</b>	<b>+ \$8,600</b>	<b>\$229,900</b>	<b>. . . .</b>

Program	Travel		Contractual Services	
	Amount	Change	Amount	Change
Administration . . . . .	\$37,600	. . . .	\$1,229,900	. . . .
Local Government and Community Services . . . . .	160,300	. . . .	368,600	. . . .
State Ethics Commission . . . . .	44,000	. . . .	186,500	. . . .
Licensing Services . . . . .	1,100	. . . .	78,700	. . . .
Tug Hill Commission . . . . .	17,900	. . . .	79,400	. . . .
<b>Total . . . . .</b>	<b>\$260,900</b>	<b>. . . .</b>	<b>\$1,943,100</b>	<b>. . . .</b>

Program	Equipment		Maintenance Undistributed	
	Amount	Change	Amount	Change
Administration . . . . .	\$3,700	. . . .	\$89,200	+ \$8,600
Local Government and Community Services . . . . .	1,000	. . . .	. . . .	. . . .
State Ethics Commission . . . . .	35,800	. . . .	. . . .	. . . .
Licensing Services . . . . .	3,500	. . . .	. . . .	. . . .
Tug Hill Commission . . . . .	2,100	. . . .	. . . .	. . . .
<b>Total . . . . .</b>	<b>\$46,100</b>	<b>. . . .</b>	<b>\$89,200</b>	<b>+ \$8,600</b>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Local Government and Community				
Services . . . . .	\$8,821,800	+ \$1,590,000	\$3,915,700	+ \$79,500
Licensing Services . . . . .	23,775,900	+ 292,800	13,927,900	-113,200
Lake George Park Commission . . . . .	954,000	-19,300	483,500	-14,400
Tug Hill Commission . . . . .	12,600	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$33,564,300</u>	<u>+ \$1,863,500</u>	<u>\$18,327,100</u>	<u>-\$48,100</u>

Program	Nonpersonal Service		Maintenance	Undistributed
	Amount	Change		
Local Government and Community				
Services . . . . .	\$3,315,500	+ \$69,900	\$1,590,600	+ \$1,440,600
Licensing Services . . . . .	9,848,000	+ 406,000	. . . . .	. . . . .
Lake George Park Commission . . . . .	470,500	-4,900	. . . . .	. . . . .
Tug Hill Commission . . . . .	12,600	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$13,646,600</u>	<u>+ \$471,000</u>	<u>\$1,590,600</u>	<u>+ \$1,440,600</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$14,065,808	\$5,350,000	-\$8,715,808
Special Revenue Funds — Federal . . . . .	43,040,000	45,150,000	+ 2,110,000
Special Revenue Funds — Other . . . . .	300,000	300,000	. . . . .
Fiduciary Funds . . . . .	5,000,000	2,600,000	-2,400,000
Total . . . . .	\$62,405,808	<u>\$53,400,000</u>	<u>-\$9,005,808</u>
Adjustments:			
Transfer(s) From			
Local Government Assistance			
General Fund . . . . .	-350,000		
Appropriated 1998-99 . . . . .	<u>\$62,055,808</u>		

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Local Government and Community Services			
General Fund . . . . .	\$3,713,420	\$5,350,000	+ \$1,636,580
Special Revenue Funds — Federal . . . . .	43,040,000	45,150,000	+ 2,110,000
Fiduciary Funds . . . . .	5,000,000	2,600,000	-2,400,000
Licensing Services			
Special Revenue Funds — Other . . . . .	300,000	300,000	. . . . .
Legislative Initiatives			
General Fund . . . . .	10,352,388	. . . . .	-10,352,388
Total . . . . .	<u>\$62,405,808</u>	<u>\$53,400,000</u>	<u>-\$9,005,808</u>

**STATE**

---

**CAPITAL PROJECTS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Comprehensive Construction Programs</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations 1999-00</u>
Office of Fire Prevention and Control Capital Projects Fund .....	\$549,000	\$729,000	+ \$180,000	\$750,000
Clean Water, Clean Air Implementation Clean Water Clean Air Implementation Fund .....	348,000	348,000	. . . .	. . . .
Design and Construction Supervision Capital Projects Fund .....	158,000	240,000	+ 82,000	258,000
Total .....	<u>\$1,055,000</u>	<u>\$1,317,000</u>	<u>+ \$262,000</u>	<u>\$1,008,000</u>

# ***DEPARTMENT OF TAXATION AND FINANCE***

## ***MISSION***

The Department of Taxation and Finance administers the State's taxes and related local taxes and manages the State Treasury. In fulfilling its responsibilities under the State's Tax Laws, the Department collects approximately \$33.9 billion in State revenue and approximately \$19 billion in local taxes, including New York City and the City of Yonkers income taxes, on behalf of municipalities.

## ***ORGANIZATION AND STAFFING***

The Department is headed by a Commissioner who is appointed by the Governor and confirmed by the Senate. It fulfills its mission through 11 programs: Administration, Revenue Support, Office of the Counsel, Tax Policy and Analysis, Tax Enforcement, Tax Compliance, Treasury Management, Audit, Revenue and Information Management, Taxpayer Services and the Office of Conciliation and Mediation. The Department of Taxation and Finance will have a workforce of 5,515 positions in 1999-2000, of which 5,074 will be funded by State tax dollars in the General Fund.

## ***FISCAL BACKGROUND AND BUDGET HIGHLIGHTS***

In 1999-2000, the Department will be financed primarily with State tax dollars from the General Fund, which support its revenue generation, collection, and administration programs. The Executive Budget recommends \$368 million to support the Department's operating budget. This amount includes \$271.3 million in General Fund support, which will finance 73.7 percent of the Department's operations, and which will be supplemented by fee income of \$32.8 million and Federal funding of \$300,000. These fees and Federal moneys will support costs associated with the collection of personal income taxes for New York City; financial and investment services for certain State agencies and public benefit corporations; and implementation of the International Fuel Tax Agreement. The Budget further recommends \$63.7 million for the Banking Services Fund. The Fund pays banking institutions for certain services related to administering personal income and other taxes.

## ***PROGRAM HIGHLIGHTS***

Tax and Finance Department employees are responsible for providing equitable and efficient service to taxpayers. The Department is organized along functional lines to support a high level of taxpayer service:

- **Administration:** This program includes the Department's central policy direction and oversight functions. Activities include fiscal management, human resources/payroll, internal audit, management services and public information.
- **Revenue Support:** This program provides essential support services for the Department, including managing office and warehouse space, developing and printing tax forms and instructions, and mailing tax liability notices, refunds and other tax forms.
- **Office of the Counsel:** This Office prepares regulations, interprets statutes, manages litigation, and drafts and reviews proposed legislation. The Office is involved in resolving taxpayer protests and litigation, and maintains coordination between the Department, the Department of Law and the Division of Tax Appeals.

## TAXATION AND FINANCE

---

- **Tax Policy and Analysis:** This program estimates the revenues expected to be produced by each tax, assesses the impact of different tax structures and tax proposals on the State's economy, reviews tax policies and legislation, and prepares descriptive and analytical studies.
- **Tax Enforcement:** This program identifies and investigates alleged evasion of the State tax code. Staff assigned to this program work with Federal, State and local law enforcement officials in the prosecution of tax fraud and tax evasion cases.
- **Tax Compliance:** This is the State's largest accounts receivable program, collecting delinquent State and local taxes. Computer-generated billings and an automated telephone collection system are used in collection activities.
- **Audit:** The Audit Division ensures that voluntarily remitted taxes are accurate and complete. The Division plans, conducts and evaluates desk and field audits, increasingly with the aid of technology.
- **Revenue and Information Management:** This program contains the Department's information management, tax processing and tax accounting functions. It supports the collection of an estimated \$52.9 billion in State and local voluntary and non-voluntary tax collections.
- **Taxpayer Services:** This program assists taxpayers in fulfilling their tax obligations by developing and distributing tax information, advice and instructions.
- **Office of Conciliation and Mediation:** This program offers taxpayers the option of informally resolving disputes with the Department.

### ALL FUNDS APPROPRIATIONS

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations . . . . .	\$341,523,000	\$368,048,000	+ \$26,525,000	\$450,000
Aid To Localities . . . . .	750,000	. . . .	-750,000	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$342,273,000</u>	<u>\$368,048,000</u>	<u>+ \$25,775,000</u>	<u>\$450,000</u>

## TAXATION AND FINANCE

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration					
General Fund	95	95	. . . .	95	. . . .
Counsel					
General Fund	79	78	. . . .	78	-1
Tax Policy and Analysis					
General Fund	37	36	. . . .	36	-1
Tax Enforcement					
General Fund	124	123	. . . .	123	-1
Tax Compliance					
General Fund	845	835	. . . .	835	-10
Treasury Management					
Special Revenue Funds — Other	37	37	. . . .	37	. . . .
Audit					
General Fund	1,936	1,913	. . . .	1,913	-23
Revenue and Information Management					
General Fund	1,774	1,753	. . . .	1,753	-21
Special Revenue Funds — Other	392	392	. . . .	392	. . . .
Taxpayer Services					
General Fund	137	135	. . . .	135	-2
Revenue Support Services					
General Fund	72	71	. . . .	71	-1
Office of Conciliation and Mediation					
General Fund	36	35	. . . .	35	-1
Subtotal, Direct Funded Programs	<u>5,564</u>	<u>5,503</u>	<u>. . . .</u>	5,503	-61
Suballocations:					
Special Revenue Funds — Federal	12			12	. . . .
Total	<u>5,576</u>			<u>5,515</u>	<u>-61</u>

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund	\$269,732,000	\$271,282,000	+ \$1,550,000
Special Revenue Funds — Federal	300,000	300,000	. . . .
Special Revenue Funds — Other	22,129,000	32,761,000	+ 10,632,000
Internal Service Funds	49,362,000	63,705,000	+ 14,343,000
Total	<u>\$341,523,000</u>	<u>\$368,048,000</u>	<u>+ \$26,525,000</u>

# TAXATION AND FINANCE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration			
General Fund	\$5,051,000	\$5,115,000	+ \$64,000
Counsel			
General Fund	4,682,000	4,695,000	+ 13,000
Tax Policy and Analysis			
General Fund	2,020,000	2,025,000	+ 5,000
Tax Enforcement			
General Fund	7,780,000	7,801,000	+ 21,000
Tax Compliance			
General Fund	30,787,000	30,872,000	+ 85,000
Treasury Management			
Special Revenue Funds — Other	1,944,000	2,003,000	+ 59,000
Audit			
General Fund	98,324,000	98,598,000	+ 274,000
Revenue and Information Management			
General Fund	80,499,000	80,723,000	+ 224,000
Special Revenue Funds — Federal	300,000	300,000	
Special Revenue Funds — Other	20,185,000	30,758,000	+ 10,573,000
Taxpayer Services			
General Fund	9,094,000	9,120,000	+ 26,000
Revenue Support Services			
General Fund	29,383,000	30,215,000	+ 832,000
Office of Conciliation and Mediation			
General Fund	2,112,000	2,118,000	+ 6,000
Banking Services			
Internal Service Funds	49,362,000	63,705,000	+ 14,343,000
<b>Total</b>	<b>\$341,523,000</b>	<b>\$368,048,000</b>	<b>+ \$26,525,000</b>

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration	\$4,709,000	+ \$63,000	\$4,671,000	+ \$63,000		
Counsel	4,568,000	+ 13,000	4,350,000	+ 12,000	\$213,000	+ \$1,000
Tax Policy and Analysis	2,002,000	+ 5,000	1,919,000	+ 5,000	80,000	
Tax Enforcement	6,207,000	+ 17,000	6,183,000	+ 17,000	16,000	
Tax Compliance	29,359,000	+ 81,000	29,309,000	+ 81,000		
Audit	83,045,000	+ 231,000	82,088,000	+ 228,000	835,000	+ 2,000
Revenue and Information Management	61,035,000	+ 169,000	58,002,000	+ 161,000	2,448,000	+ 6,000
Taxpayer Services	6,800,000	+ 19,000	5,835,000	+ 16,000	961,000	+ 3,000
Revenue Support Services	4,010,000	+ 11,000	3,515,000	+ 10,000	492,000	+ 1,000
Office of Conciliation and Mediation	2,024,000	+ 6,000	2,006,000	+ 6,000		
<b>Total</b>	<b>\$203,759,000</b>	<b>+ \$615,000</b>	<b>\$197,878,000</b>	<b>+ \$599,000</b>	<b>\$5,045,000</b>	<b>+ \$13,000</b>

Program	Holiday/Overtime Pay (Annual Salaried)	
	Amount	Change
Administration	\$38,000	
Counsel	5,000	
Tax Policy and Analysis	3,000	
Tax Enforcement	8,000	
Tax Compliance	50,000	
Audit	122,000	+ \$1,000
Revenue and Information Management	585,000	+ 2,000
Taxpayer Services	4,000	
Revenue Support Services	3,000	
Office of Conciliation and Mediation	18,000	
<b>Total</b>	<b>\$836,000</b>	<b>+ \$3,000</b>

# TAXATION AND FINANCE

## STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Amount	Total		Supplies and Materials	
		Amount	Change	Amount	Change
Administration . . . . .	\$406,000		+ \$1,000	\$289,000	+ \$1,000
Counsel . . . . .	127,000		.....	8,000	.....
Tax Policy and Analysis . . . . .	23,000		.....	5,000	.....
Tax Enforcement . . . . .	1,594,000		+ 4,000	11,000	.....
Tax Compliance . . . . .	1,513,000		+ 4,000	277,000	+ 1,000
Audit . . . . .	15,553,000		+ 43,000	32,000	.....
Revenue and Information					
Management . . . . .	19,688,000		+ 55,000	1,348,000	-71,000
Taxpayer Services . . . . .	2,320,000		+ 7,000	70,000	.....
Revenue Support Services . . . . .	26,205,000		+ 821,000	150,000	.....
Office of Conciliation and Mediation . . . . .	94,000		.....	4,000	.....
<b>Total</b> . . . . .	<b>\$67,523,000</b>		<b>+ \$935,000</b>	<b>\$2,194,000</b>	<b>-\$69,000</b>

Program	Amount	Travel		Contractual Services	
		Amount	Change	Amount	Change
Administration . . . . .	\$5,000		.....	\$73,000	.....
Counsel . . . . .	30,000		.....	87,000	.....
Tax Policy and Analysis . . . . .	6,000		.....	10,000	.....
Tax Enforcement . . . . .	514,000		+ \$1,000	987,000	+ \$2,000
Tax Compliance . . . . .	599,000		+ 1,000	.....	.....
Audit . . . . .	3,319,000		+ 9,000	11,051,000	+ 31,000
Revenue and Information					
Management . . . . .	88,000		-5,000	15,348,000	-804,000
Taxpayer Services . . . . .	10,000		.....	2,237,000	+ 7,000
Revenue Support Services . . . . .	6,000		.....	26,049,000	+ 821,000
Office of Conciliation and Mediation . . . . .	69,000		.....	21,000	.....
<b>Total</b> . . . . .	<b>\$4,646,000</b>		<b>+ \$6,000</b>	<b>\$55,863,000</b>	<b>+ \$57,000</b>

Program	Amount	Equipment		Maintenance Undistributed	
		Amount	Change	Amount	Change
Administration . . . . .	\$39,000		.....	.....	.....
Counsel . . . . .	2,000		.....	.....	.....
Tax Policy and Analysis . . . . .	2,000		.....	.....	.....
Tax Enforcement . . . . .	82,000		+ \$1,000	.....	.....
Tax Compliance . . . . .	637,000		+ 2,000	.....	.....
Audit . . . . .	1,151,000		+ 3,000	.....	.....
Revenue and Information					
Management . . . . .	1,254,000		-65,000	\$1,650,000	+ \$1,000,000
Taxpayer Services . . . . .	3,000		.....	.....	.....
Revenue Support Services . . . . .	.....		.....	.....	.....
Office of Conciliation and Mediation . . . . .	.....		.....	.....	.....
<b>Total</b> . . . . .	<b>\$3,170,000</b>		<b>-\$59,000</b>	<b>\$1,650,000</b>	<b>+ \$1,000,000</b>

# TAXATION AND FINANCE

## STATE OPERATIONS — OTHER THAN GENERAL FUND SUMMARY OF APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total		Personal Service	
	Amount	Change	Amount	Change
Treasury Management . . . . .	\$2,003,000	+ \$59,000	\$1,334,000	+ \$40,000
Revenue and Information Management . . . . .	31,058,000	+ 10,573,000	16,380,000	+ 430,000
Banking Services . . . . .	63,705,000	+ 14,343,000	. . . .	. . . .
Total . . . . .	<u>\$96,766,000</u>	<u>+ \$24,975,000</u>	<u>\$17,714,000</u>	<u>+ \$470,000</u>

Program	Nonpersonal Service		Maintenance Undistributed	
	Amount	Change	Amount	Change
Treasury Management . . . . .	\$669,000	+ \$19,000	. . . .	. . . .
Revenue and Information Management . . . . .	14,378,000	+ 10,143,000	\$300,000	. . . .
Banking Services . . . . .	. . . .	. . . .	63,705,000	+ \$14,343,000
Total . . . . .	<u>\$15,047,000</u>	<u>+ \$10,162,000</u>	<u>\$64,005,000</u>	<u>+ \$14,343,000</u>

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$750,000	. . . .	-\$750,000
Total . . . . .	<u>\$750,000</u>	<u>. . . .</u>	<u>-\$750,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration General Fund . . . . .	\$750,000	. . . .	-\$750,000
Total . . . . .	<u>\$750,000</u>	<u>. . . .</u>	<u>-\$750,000</u>

# 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 and Tax Tribunal oral arguments in Troy, New York City and Buffalo, while small claims hearings are conducted throughout the State. The Division will have a workforce of 37 positions for 1999-2000.

## FISCAL BACKGROUND AND BUDGET HIGHLIGHTS

The Division's activities are supported entirely with State tax dollars, which finance the Tribunal's staff and other expenses such as rent and supplies.

The Executive Budget recommends \$3.176 million in annual General Fund support for the Division. This recommendation will enable the Tribunal to continue to provide for the timely resolution of taxpayer disputes with the Department of Taxation and Finance.

## 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. In addition, there has been a 16.3 percent increase in the immediate disposition of cases, and a reduction from 33 to 19.8 months in the amount of time between the filing of a petition and the issuance of a determination. Since 1997-98, there has been an 11 percent reduction in case inventory.

Since January 1997, the Division has been conducting formal hearings in New York City to provide easier access for taxpayers in the New York City metropolitan area. Recently, the Division expanded this initiative to Buffalo. At both the New York City and Buffalo locations, the Division utilizes existing State office space, thus providing improved service at nominal additional cost.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations . . . . .	\$3,316,000	\$3,176,000	-\$140,000	. . . .
Aid To Localities . . . . .	. . . .	. . . .	. . . .	. . . .
Capital Projects . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$3,316,000</u>	<u>\$3,176,000</u>	<u>-\$140,000</u>	<u>. . . .</u>

# TAX APPEALS

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

Program	1999-00 Recommended Average Fill Level				Change
	Available 1998-99	Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Administration General Fund .....	40	37	....	37	-3
Total .....	40	37	....	37	-3

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund .....	\$3,316,000	\$3,176,000	-\$140,000
Total .....	\$3,316,000	\$3,176,000	-\$140,000

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Administration General Fund .....	\$3,316,000	\$3,176,000	-\$140,000
Total .....	\$3,316,000	\$3,176,000	-\$140,000

## STATE OPERATIONS — GENERAL FUND SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Personal Service		Personal Service Regular (Annual Salaried)		Temporary Service (Nonannual Salaried)	
	Amount	Change	Amount	Change	Amount	Change
Administration .....	\$2,681,000	-\$140,000	\$2,525,000	-\$140,000	\$156,000	....
Total .....	\$2,681,000	-\$140,000	\$2,525,000	-\$140,000	\$156,000	....

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Supplies and Materials</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$495,000		. . . .	\$38,000	. . . .
Total . . . . .	<u>\$495,000</u>		<u>. . . .</u>	<u>\$38,000</u>	<u>. . . .</u>

<u>Program</u>	<u>Amount</u>	<u>Travel</u>		<u>Contractual Services</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$55,000		. . . .	\$344,000	. . . .
Total . . . . .	<u>\$55,000</u>		<u>. . . .</u>	<u>\$344,000</u>	<u>. . . .</u>

<u>Program</u>	<u>Amount</u>	<u>Equipment</u>	
		<u>Amount</u>	<u>Change</u>
Administration . . . . .	\$58,000		. . . .
Total . . . . .	<u>\$58,000</u>		<u>. . . .</u>



# **OFFICE FOR TECHNOLOGY**

## **MISSION**

The Office for Technology, formerly the Governor's Task Force on Information Resource Management, was statutorily created in 1997. The Office is responsible for planning and coordinating the State's investment in information technology in consultation with an Advisory Council for Technology consisting of representatives of State agencies and the Legislature. In carrying out this mission, the Office works to accomplish three objectives: achieving financial efficiencies; improving communication between State and local agencies; and making it easier for citizens and the private sector to do business with New York.

## **ORGANIZATION AND STAFFING**

The Office is located in Albany and has a staff of 22 for 1999-2000. It is supported with State tax dollars from the General Fund.

## **FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 General Fund recommendation of \$101.4 million includes \$1.5 million to maintain current staffing levels and support ongoing agency efforts. A total of \$26 million is also recommended for payments on Certificates of Participation for the programming and other changes required to make selected computer systems Year 2000 compliant. Additional recommendations include:

- A new \$19 million General Fund appropriation to correct Year 2000 problems in the State's "embedded systems," the most critical of which are found in heating, cooling and other building operations systems. The Office, which is charged with providing overall guidance on Year 2000 projects, will allocate this funding among the highest priority projects.
- A \$20 million General Fund appropriation for any unanticipated Year 2000 compliance expenses.
- A \$12 million General Fund appropriation for operating the consolidated State data center. An additional \$22 million is proposed for the renovation of permanent space to house the center.
- A new \$20.1 million Internal Service Fund appropriation for the New York Intranet (NYT). This fund will be supported with fees charged to State and local users of the NYT.

A new \$10 million Internal Service Fund appropriation is recommended for the Office for Technology to coordinate the development of computer systems that will be used by various agencies. This effort will both facilitate the development of new systems and lower expenses by eliminating unnecessary duplication.

## **PROGRAM HIGHLIGHTS**

Since its inception as a Task Force in 1996, the Office has been actively involved in designing and implementing statewide policies and practices to govern the management of information technologies. One of the early products of the Office was an agenda created to guide the State's technology activities over the next five years. The agenda, released in 1996, identified five priorities: the need for statewide policies and direction to guide

## TECHNOLOGY

the State's technology efforts; greater coordination and sharing of information among agencies involved in projects having multi-agency implications; reducing duplication of efforts by encouraging data sharing; coordinating technology purchases; and creating a statewide "intranet" to link State and local agencies.

A wide variety of activities are underway to implement this agenda. The Office has issued over 31 "Technical Policy Bulletins" that give State agencies policy guidance on such topics as data security and the electronic exchange of data. Under the auspices of the Office, several inter-agency work groups are also developing or have developed technology-related productivity initiatives that involve such topics as the use of office systems improvements and imaging technology to increase productivity and achieve savings. A related activity, which further reflects the role of the Office in encouraging the exchange of information, is the creation of the Geographic Information Systems (GIS) clearinghouse, where over 130 governmental and not-for-profit members are now sharing their GIS data.

The Office for Technology is also taking important steps to improve the State's management of technology services. One of the Office's top priorities is the consolidation of the State's data centers. A total of 24 separate data centers are being consolidated into a single operation, which will improve computing services for 21 agencies and produce significant future savings. In addition to these benefits, the consolidation has already resulted in stronger management of the State's data centers, as demonstrated by greater coordination of purchases of sophisticated equipment.

Another priority is the installation of a new statewide telecommunications network, known as the New York Intranet (NYT), that will provide State and local governments with more reliable and less costly data, voice and video communications. When fully operational, the NYT will improve service delivery, reduce costs, and increase reliability through use of a fiber optic cable network currently being installed along the Thruway Authority's right-of-way. This network will also have greater capacity to transmit data, provide local entities and citizens with easier access to State government and facilitate increased interagency cooperation and data-sharing.

The Office will also be responsible for overseeing the operation of the Human Services Application Service Center. This Center is part of the new Welfare Management System currently being developed by the Office of Temporary and Disability Assistance, the Department of Labor, the Office of Children and Family Services and the Department of Health.

### ALL FUNDS APPROPRIATIONS

Category	Available	Appropriations	Change	Reappropriations
	1998-99	Recommended 1999-00		Recommended 1999-00
State Operations . . . . .	\$42,606,000	\$131,483,000	+ \$88,877,000	\$50,100,000
Aid To Localities . . . . .	.....	.....	.....	.....
Capital Projects . . . . .	.....	.....	.....	.....
Total . . . . .	<u>\$42,606,000</u>	<u>\$131,483,000</u>	<u>+ \$88,877,000</u>	<u>\$50,100,000</u>

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

<u>Program</u>	<u>Available 1998-99</u>	<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	<u>Change</u>
Technology					
General Fund . . . . .	5	22	. . . .	22	+ 17
Total . . . . .	<u>5</u>	<u>22</u>	<u>. . . .</u>	<u>22</u>	<u>+ 17</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund . . . . .	\$2,606,000	\$101,417,300	+ \$98,811,300
Special Revenue Funds — Other . . . . .	40,000,000	. . . .	-40,000,000
Internal Service Funds . . . . .	. . . .	30,065,700	+ 30,065,700
Total . . . . .	<u>\$42,606,000</u>	<u>\$131,483,000</u>	<u>+ \$88,877,000</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Technology			
General Fund . . . . .	\$2,606,000	\$101,417,300	+ \$98,811,300
Special Revenue Funds — Other . . . . .	40,000,000	. . . .	-40,000,000
Internal Service Funds . . . . .	. . . .	30,065,700	+ 30,065,700
Total . . . . .	<u>\$42,606,000</u>	<u>\$131,483,000</u>	<u>+ \$88,877,000</u>

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total Personal Service Amount</u>	<u>Change</u>	<u>Personal Service Regular (Annual Salaried) Amount</u>	<u>Change</u>	<u>Holiday/Overtime Pay (Annual Salaried) Amount</u>	<u>Change</u>
Technology . . . . .	\$1,286,300	+ \$1,065,300	\$1,281,100	+ \$1,065,300	\$5,200	. . . .
Total . . . . .	<u>\$1,286,300</u>	<u>+ \$1,065,300</u>	<u>\$1,281,100</u>	<u>+ \$1,065,300</u>	<u>\$5,200</u>	<u>. . . .</u>

# TECHNOLOGY

**STATE OPERATIONS — GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Supplies and Materials</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology . . . . .	\$100,131,000	+ \$97,746,000		\$20,000	. . . .
Total . . . . .	<u>\$100,131,000</u>	<u>+ \$97,746,000</u>		<u>\$20,000</u>	<u>. . . .</u>

<u>Program</u>	<u>Amount</u>	<u>Travel</u>		<u>Contractual Services</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology . . . . .	\$25,000	. . . .		\$26,178,000	+ \$23,884,000
Total . . . . .	<u>\$25,000</u>	<u>. . . .</u>		<u>\$26,178,000</u>	<u>+ \$23,884,000</u>

<u>Program</u>	<u>Amount</u>	<u>Equipment</u>		<u>Maintenance Undistributed</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology . . . . .	\$46,000	. . . .		\$73,862,000	+ \$73,862,000
Total . . . . .	<u>\$46,000</u>	<u>. . . .</u>		<u>\$73,862,000</u>	<u>+ \$73,862,000</u>

**STATE OPERATIONS — OTHER THAN GENERAL FUND  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Amount</u>	<u>Total</u>		<u>Maintenance Undistributed</u>	
		<u>Amount</u>	<u>Change</u>	<u>Amount</u>	<u>Change</u>
Technology . . . . .	\$30,065,700	-\$9,934,300		\$30,065,700	-\$9,934,300
Total . . . . .	<u>\$30,065,700</u>	<u>-\$9,934,300</u>		<u>\$30,065,700</u>	<u>-\$9,934,300</u>

***MISCELLANEOUS***



# MISCELLANEOUS

## ALL STATE APPROPRIATION FOR SERVICES, EXPENSES OR GRANTS

ALL FUNDS APPROPRIATIONS				
Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations .....	....	....	....	....
Aid To Localities .....	\$541,000	....	-\$541,000	\$541,000
Capital Projects .....	....	....	....	....
Total .....	<u>\$541,000</u>	<u>....</u>	<u>-\$541,000</u>	<u>\$541,000</u>

## COLLECTIVE BARGAINING AGREEMENTS

### PROGRAM HIGHLIGHTS

The sum of \$16,595,800 is recommended as the reappropriations for labor/management initiatives funded pursuant to the current agreements that have been reached with employee unions. This funding supports such initiatives as joint labor/management committees, certain employee benefits, training, safety and health, child care and employee assistance.

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund .....	\$35,806,955	....	-\$35,806,955
Special Revenue Funds — Other .....	130,000	....	-130,000
Total .....	<u>\$35,936,955</u>	<u>....</u>	<u>-\$35,936,955</u>
Adjustments:			
Transfer(s) From			
Miscellaneous - All State Departments and Agencies			
General Fund .....	<u>-480,900</u>		
Appropriated 1998-99 .....	<u>\$35,456,055</u>		

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Negotiated Agreements					
General Fund .....	<u>60</u>	<u>....</u>	<u>60</u>	<u>60</u>	<u>....</u>
Total .....	<u>60</u>	<u>....</u>	<u>60</u>	<u>60</u>	<u>....</u>

**DEFERRED COMPENSATION BOARD**

**MISSION**

The Deferred Compensation Board oversees the administration of public employee Deferred Compensation Plan assets.

**ORGANIZATION AND STAFFING**

The Board consists of three members, one each appointed by the Governor, the Senate Majority Leader and the Assembly Speaker. The Board contracts with a law firm, a financial management firm, and an accounting firm which collectively advise the Board on fund administration. In addition, the Board contracts with a third-party administrator to operate the Plan and serve as its record keeper.

**FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The Executive Budget recommendations for 1999-2000 will provide continued support for the current operations of the Deferred Compensation Board. The recommended funding for 1999-2000 consists of \$150,000 in State tax dollars from the General Fund for the costs of providing legal advice and assistance to local governments on the establishment and maintenance of deferred compensation plans. The balance of funds needed to operate the Plan are derived from a participant fee and administrative rebates that the Plan receives from the investment firms.

**PROGRAM HIGHLIGHTS**

The Board continues to pursue the highest and safest return for Plan assets that total more than \$3.5 billion. In 1997, the Board established an independent trust to hold the Plan's assets. This action was taken in response to 1996 changes in Federal law which requires that all retirement savings be held for the exclusive benefit of Plan participants. In 1998, the Board made substantial changes by expanding the investment options available to participants and improving communication through the establishment of a web site. The Board will continue to provide guidance to local governments on compliance issues related to Federal statutory changes and the State's Model Deferred Compensation Plan. The Board will also continue to improve the statewide Deferred Compensation Plan for public employees.

Category	ALL FUNDS APPROPRIATIONS			
	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations .....	\$150,000	\$150,000	....	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$150,000</u>	<u>\$150,000</u>	<u>....</u>	<u>....</u>

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Operations			
General Fund .....	\$150,000	\$150,000	....
Total .....	<u>\$150,000</u>	<u>\$150,000</u>	<u>....</u>

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$794,000	....	-\$794,000
Total .....	<u>\$794,000</u>	<u>....</u>	<u>-\$794,000</u>

**EMERGENCY HIGHWAY CONSTRUCTION  
AND RECONSTRUCTION**

This appropriation provides the legal authorization for payment from the Local Assistance Account of the General Fund to the Emergency Highway Construction and Reconstruction Fund for amounts which may be certified as necessary by the Commissioner of Taxation and Finance under the terms of a cooperative highway contractual agreement.

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$251,000,000	\$276,000,000	+\$25,000,000
Total .....	<u>\$251,000,000</u>	<u>\$276,000,000</u>	<u>+\$25,000,000</u>

**EMERGENCY HIGHWAY RECONDITIONING  
AND PRESERVATION**

This appropriation provides the legal authorization for payment from the Local Assistance Account of the General Fund to the Emergency Highway Reconditioning and Preservation Fund for amounts which may be certified as necessary by the Commissioner of Taxation and Finance under the terms of a cooperative highway contractual agreement.

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	<u>\$183,600,000</u>	<u>\$208,600,000</u>	<u>+\$25,000,000</u>
Total .....	<u>\$183,600,000</u>	<u>\$208,600,000</u>	<u>+\$25,000,000</u>

**GENERAL STATE CHARGES**

General State Charges are primarily fringe benefit costs mandated by statute or collective bargaining agreement for employees of the executive and legislative branches. Fringe benefits for employees of the judicial branch are budgeted separately in the Judiciary budget. General State Charges also include certain fixed cost items such as taxes on certain State-owned lands, judgements against the State, and defense and indemnification of State employees.

**BUDGET AND PROGRAM HIGHLIGHTS**

The recommended 1999-2000 appropriation of \$2.04 billion for General State Charges reflects continuing emphasis on the control of fringe benefit cost increases and improvements in the management and efficiency of employee benefit programs. The major fringe benefit and fixed cost components of General State Charges are described below.

**FRINGE BENEFITS**

The State provides a comprehensive fringe benefits package to its employees which includes pension and social security benefits, health and dental insurance, workers' compensation and unemployment insurance, survivors' benefits, disability insurance for management/confidential employees, and other union-specific benefits. These benefits are supported primarily by General Fund tax revenues which are supplemented by receipts from Federal and other non-general funds. Major fringe benefits include:

**Health Insurance:** Through the New York State Health Insurance Program (NYSHIP), State employees have the option to participate in either the Empire Plan, a custom-designed indemnity insurance plan, or one of 25 health maintenance organizations (HMOs). Approximately 75 percent of State employees choose the Empire Plan for hospital, physician, mental health, substance abuse and prescription drug services. Currently, the State pays 90 percent of the cost of Empire Plan premiums for individuals and 75 percent of the additional cost of dependent coverage.

The recommended 1999-2000 Health Insurance appropriation of \$920.4 million reflects a 7.8 percent increase in the 1999 health insurance premium rates.

**Pension Benefits:** The New York State and Local Retirement Systems, with more than \$100 billion in assets, comprise the New York State and Local Employees' Retirement System (ERS) and the New York State and Local Police and Fire Retirement System (PFRS). These systems provide a variety of retirement benefits to State employees. Funding for these benefits is provided by annual State contributions to the retirement systems, bi-weekly contributions of 3 percent of salary from most employees, and investment earnings on those contributions. The annual State contribution is calculated by the retirement systems' actuary using a designated actuarial cost method.

The recommended 1999-2000 appropriation for the State's annual contribution to the retirement systems is \$81.8 million. This funding level reflects a joint initiative of the State Comptroller and Executive whereby the pension systems' administrative costs will be assessed against the pension systems earnings rather than as a charge against the State's General Fund.

**Social Security:** In addition to the pension benefits offered through the State retirement systems, the State makes weekly payments to the Federal government for Social Security and Medicare. The State contributes approximately 7.65 percent of eligible salaries toward these benefits.

The recommended 1999-2000 appropriation for Social Security and Medicare benefits of \$466.3 million reflects the impact of an additional administrative payroll social security payment during 1999-2000.

**Workers' Compensation:** The State reimburses the State Insurance Fund on a pay-as-you-go basis for actual medical and compensation claims incurred by State employees for on-the-job injuries. The statutory workers' compensation benefit is two-thirds of salary up to a maximum of \$400 per week.

The recommended 1999-2000 appropriation for workers' compensation is \$186.2 million. In an effort to control program costs, the State will continue implementation of an automated Accident Reporting System.

**Employee Benefit Funds:** A number of the unions representing State employees operate benefit funds which provide prescription drug, dental, vision and other ancillary services to their members in lieu of benefits provided by the State directly or through the NYSHIP. These funds are supported by quarterly payments from the State based on collectively negotiated per capita rates. Most union contracts will expire on March 31, 1999. Pending the outcome of the upcoming collective bargaining, at this time it is projected that payments will continue at the 1998-99 rates.

The recommended 1999-2000 appropriation for these funds is \$57.3 million.

**Dental Insurance:** The New York State Dental Insurance program provides coverage for eligible employees in the Security Services and Security Supervisors units, the Public Employees' Federation, the State Police units, and the Management/Confidential group. The State makes monthly contributions to Group Health Inc. (GHI) to provide this coverage.

The recommended 1999-2000 appropriation for dental insurance is \$45.9 million.

**Unemployment Insurance:** The State reimburses the Department of Labor's Unemployment Insurance Fund on a pay-as-you-go basis for the State's actual unemployment claims. The statutory weekly benefit is the lesser of \$365 or 50 percent of average weekly wages, payable over a period not to exceed 26 weeks.

The recommended 1999-2000 appropriation for unemployment insurance is \$9.9 million.

## **FIXED COSTS**

The fixed costs portion of General State Charges primarily includes taxes on certain State-owned lands, judgements against the State in the Court of Claims, costs for the defense and indemnification of State employees pursuant to the Public Officers Law and other settlements. These costs are supported in full by General Fund revenues. Major components of fixed costs include:

## MISCELLANEOUS

**Taxes on State-Owned Lands:** Under the Real Property Tax Law, local governments are authorized to tax certain parcels of State-owned land. Presently, the State provides financial support to local governments by paying local and school property taxes on approximately 3.7 million acres of land throughout the State as well as transition assessments on tax-exempt State-owned lands.

The recommended 1999-2000 appropriation for payments to local governments for taxes on State-owned lands is \$105.1 million.

**Court of Claims Judgements:** Annual appropriations are provided for negotiated settlements and judgements rendered against the State in the Court of Claims. The majority of the claims against the State involve contract disputes and tort liabilities.

The recommended 1999-2000 appropriation for Court of Claims judgements is \$94.0 million.

**Defense and Indemnification of State Officers and Employees:** Pursuant to the Public Officers Law, the State defends and indemnifies its employees in civil and criminal proceedings, respectively, for actions carried out in the course of their official duties.

The recommended 1999-2000 appropriation for defense and indemnification of State employees is \$26.0 million.

**Settlements:** Other fixed costs include payments to the Property Casualty Insurance Fund pursuant to the settlement reached between the State and the insurance industry in the Alliance v. Chu case, and to the states of Delaware and Massachusetts, and other intervening states for the 1999-2000 portion of a multi-year abandoned property settlement.

The recommended appropriation for these settlements is \$23.4 million.

### STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund . . . . .	\$1,963,953,300	\$2,037,962,100	+\$74,008,800
Total . . . . .	\$1,963,953,300	\$2,037,962,100	+\$74,008,800
Adjustments:			
Recommended Deficiency			
General Fund . . . . .	-60,000,000		
Transfer(s) From			
Miscellaneous - All State Departments and			
Agencies			
General Fund . . . . .	-4,925,700		
Appropriated 1998-99 . . . . .	\$1,899,027,600		

### STATE OPERATIONS — GENERAL FUND SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES 1999-00 RECOMMENDED

Program	Total Amount	Change	General State Charges Amount	Change
General State Charges . . . . .	\$2,037,962,100	+\$74,008,800	\$2,037,962,100	+\$74,008,800
Total . . . . .	\$2,037,962,100	+\$74,008,800	\$2,037,962,100	+\$74,008,800

**GREEN THUMB PROGRAM**

The Green Thumb Program provides income-eligible elderly citizens with part-time employment in State agencies through the not-for-profit organization, Green Thumb Environmental Beautification, Inc. The 1999-2000 Executive Budget recommends a General Fund appropriation of \$2,394,000, the same level of funding provided in 1998-99.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations .....	\$2,394,000	\$2,394,000	....	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$2,394,000</u>	<u>\$2,394,000</u>	<u>....</u>	<u>....</u>

**THE GREENWAY HERITAGE CONSERVANCY OF  
THE HUDSON RIVER VALLEY**

The Greenway Heritage Conservancy of the Hudson River Valley was established in the Hudson River Valley Greenway Act of 1991 to promote the preservation of natural and cultural resources in the Valley, serve as a land trust in the acquisition of lands important to the Greenway, and designate and develop the Hudson River Valley Greenway Trail. The Executive Budget recommends total funding of \$220,000 from the General Fund for operational support of the Conservancy.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations .....	\$217,000	\$220,000	+\$3,000	....
Aid To Localities .....	200,000	....	-200,000	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$417,000</u>	<u>\$220,000</u>	<u>-\$197,000</u>	<u>....</u>

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

Program	Available 1998-99	1999-00 Recommended Average Fill Level			Change
		Personal Service (Regular)	Maintenance Undistributed	Total Recommended 1999-00	
Operations					
General Fund .....	4	4	....	4	....
Total .....	<u>4</u>	<u>4</u>	<u>....</u>	<u>4</u>	<u>....</u>

**MISCELLANEOUS**

---

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$217,000	\$220,000	+\$3,000
Total .....	<u>\$217,000</u>	<u>\$220,000</u>	<u>+\$3,000</u>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$200,000	.....	-\$200,000
Total .....	<u>\$200,000</u>	<u>.....</u>	<u>-\$200,000</u>

**HEALTH INSURANCE CONTINGENCY RESERVE**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$239,513,000	\$250,000,000	+\$10,487,000
Total .....	<u>\$239,513,000</u>	<u>\$250,000,000</u>	<u>+\$10,487,000</u>

**HEALTH INSURANCE RESERVE RECEIPTS FUND**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Fiduciary Funds .....	\$21,000,000	\$73,600,000	+\$52,600,000
Total .....	<u>\$21,000,000</u>	<u>\$73,600,000</u>	<u>+\$52,600,000</u>

**HIGHER EDUCATION**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$300,000	\$564,000	+\$264,000
Total .....	\$300,000	\$564,000	+\$264,000

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$6,054,000	....	-\$6,054,000
Total .....	\$6,054,000	....	-\$6,054,000

**HUDSON RIVER VALLEY GREENWAY  
COMMUNITIES COUNCIL**

The Hudson River Valley Greenway Communities Council is a 25-member advisory board, created in 1991, which is responsible for promoting the preservation of natural and cultural resources in the Hudson River Valley.

The Council's operations are funded with State tax dollars from the General Fund. The Executive Budget recommends total funding of \$418,400 in 1999-2000 to support the Council's administration, technical assistance, and local planning grants programs.

**ALL FUNDS  
APPROPRIATIONS**

<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations .....	\$209,400	\$214,400	+\$5,000	....
Aid To Localities .....	204,000	204,000	....	\$204,000
Capital Projects .....	....	....	....	....
Total .....	\$413,400	\$418,400	+\$5,000	\$204,000

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

<u>Program</u>	<u>Available 1998-99</u>	1999-00 Recommended Average Fill Level			<u>Change</u>
		<u>Personal Service (Regular)</u>	<u>Maintenance Undistributed</u>	<u>Total Recommended 1999-00</u>	
Operations					
General Fund .....	3	3	....	3	....
Total .....	3	3	....	3	....

# MISCELLANEOUS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$209,400	\$214,400	+\$5,000
Total .....	<u>\$209,400</u>	<u>\$214,400</u>	<u>+\$5,000</u>

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

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$204,000	\$204,000	....
Total .....	<u>\$204,000</u>	<u>\$204,000</u>	<u>....</u>

# INSURANCE AND SECURITIES FUNDS RESERVE GUARANTEE

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$1,672,000,000	\$1,672,000,000	....
Total .....	<u>\$1,672,000,000</u>	<u>\$1,672,000,000</u>	<u>....</u>

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

<u>Program</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
State Insurance Fund			
General Fund .....	\$1,295,000,000	\$1,295,000,000	....
Aggregate Trust Fund			
General Fund .....	220,000,000	220,000,000	....
Stock Workmen's Compensation Security Fund			
General Fund .....	67,000,000	67,000,000	....
Property/Casualty Insurance Security Fund			
General Fund .....	90,000,000	90,000,000	....
Total .....	<u>\$1,672,000,000</u>	<u>\$1,672,000,000</u>	<u>....</u>

**LOCAL GOVERNMENT ASSISTANCE**

The following miscellaneous appropriations provide State aid and assistance to all classes of local governments. Only 4 percent of the entire amount appropriated in these miscellaneous programs represents the use of State general funds. The remainder is appropriated as fiduciary funds with no General Fund impact.

The SFY 1999-2000 Executive Budget includes the following recommendations:

- Funding for General Purpose State Aid is continued at SFY 1998-99 levels. This program provides unrestricted aid to all cities, towns, and villages. Reductions made in aid to New York City in State fiscal years ending in 1991-93, totaling \$219.7 million, will continue to be effectuated through reimbursement to the State from the Municipal Assistance State Aid Fund.
- Cash disbursements and distribution of aid to municipalities in the Emergency Financial Assistance to Eligible Municipalities and the Emergency Financial Aid to Certain Cities programs will remain at prior year levels of \$20.8 million and \$26.4 million, respectively. An \$11.2 million reduction in appropriation for the Emergency Financial Assistance to Eligible Municipalities program is proposed in order to satisfy statutory requirements relating to the closure of the Yonkers Control Board. This reduction in aid will be offset through a commensurate acceleration of General Purpose State Aid.
- The Additional Emergency Financial Assistance to Eligible Municipalities program, Special Financial Assistance to Certain Municipalities program, and newly enacted 1998-99 aid distributions are combined and adjusted for changing local needs in a new \$110 million Supplemental Municipal Aid program.
- Funding for non-statewide programs that have fulfilled their purpose or have no statewide rationale are eliminated. Specifically, funding for the Staten Island Charter Commission and aid for the bond-out of Hurd judgements are discontinued.
  - The Staten Island Charter Commission was created in 1990 to draft a City Charter for Staten Island should it secede from the City of New York. The Charter was approved by Staten Island voters in November 1993 and submitted to the State Legislature in 1994. Having fulfilled its statutory mandate, Commission funding has been reduced in recent years to allow for the phase-out of the Commission's activities and is eliminated in 1999-2000.
  - State aid to Buffalo and Rochester has been paid since 1991-92 as a contribution toward the debt service expenses incurred by the cities when they bonded out payments due pursuant to a court judgement (Hurd judgement). This aid is not pledged to either city's bonds and is subject to annual appropriation of the Legislature.
- Fiduciary appropriations, totaling nearly \$22 billion, continue to be made to the Municipal Assistance State Aid Fund, the Municipal Assistance Tax Fund, and the Stock Transfer Tax Fund to ensure that New York City and the City of Troy have adequate Municipal Assistance Corporation debt service coverage.

**ALL FUNDS  
APPROPRIATIONS**

Category	Available 1998-99	Appropriations Recommended 1999-00	Change	Reappropriations Recommended 1999-00
State Operations .....	\$2,902,600	\$2,379,600	-\$523,000	....
Aid To Localities .....	20,754,016,508	22,917,098,322	+2,163,081,814	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$20,756,919,108</u>	<u>\$22,919,477,922</u>	<u>+\$2,162,558,814</u>	<u>....</u>

# MISCELLANEOUS

## STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
Financial Control Board for the City of New York			
Special Revenue Funds — Other .....	\$2,330,700	\$2,379,600	+\$48,900
Yonkers Emergency Financial Control Board			
Special Revenue Funds — Other .....	498,800	....	-498,800
Staten Island Charter Commission			
General Fund .....	73,100	....	-73,100
Total .....	<u>\$2,902,600</u>	<u>\$2,379,600</u>	<u>-\$523,000</u>

## AID TO LOCALITIES ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS

Program	Available 1998-99	Recommended 1999-00	Change
General Purpose Local Government Aid			
General Fund .....	\$770,193,720	\$770,193,720	....
Emergency Financial Aid to Certain Cities			
General Fund .....	26,473,913	26,474,000	+\$87
Emergency Financial Assistance to Eligible Municipalities			
General Fund .....	31,952,614	20,813,800	-11,138,814
Stock Transfer Incentive Fund			
General Fund .....	114,037,800	114,037,800	....
Hurd Judgments, Special Assistance for Bond Out of			
General Fund .....	1,666,666	....	-1,666,666
Municipal Assistance State Aid Fund			
Fiduciary Funds .....	566,857,793	560,300,000	-6,557,793
Municipal Assistance Tax Fund			
Fiduciary Funds .....	11,010,000,000	12,210,000,000	+1,200,000,000
Stock Transfer Tax Fund			
Fiduciary Funds .....	8,000,000,000	9,000,000,000	+1,000,000,000
Supplemental Municipal Aid			
General Fund .....	108,104,002	109,829,002	+1,725,000
Landfill Aid			
General Fund .....	480,000	450,000	-30,000
Yonkers Court Ordered Payment			
General Fund .....	10,000,000	....	-10,000,000
Yonkers EIP II Court Order			
General Fund .....	7,000,000	....	-7,000,000
North Country Business and Agricultural Emergency Economic Relief Program			
General Fund .....	3,000,000	....	-3,000,000
Yonkers EIP I and II Court Order			
General Fund .....	87,500,000	105,000,000	+17,500,000
Warren and Washington Aid			
General Fund .....	3,300,000	....	-3,300,000
Other Community Projects			
General Fund .....	13,450,000	....	-13,450,000
Total .....	<u>\$20,754,016,508</u>	<u>\$22,917,098,322</u>	<u>+\$2,163,081,814</u>

**MISCELLANEOUS GUARANTEE APPROPRIATIONS**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$816,534,000	\$865,526,000	+\$48,992,000
Total .....	<u>\$816,534,000</u>	<u>\$865,526,000</u>	<u>+\$48,992,000</u>

**NATIONAL AND COMMUNITY SERVICE**

**MISSION**

The Office of National and Community Service provides staff support to the New York State Commission on National and Community Service. The Commission qualifies the State for Federal community service grants for local not-for-profit agencies.

**ORGANIZATION AND STAFFING**

The Office of National and Community Service is housed and staffed within the Office of Children and Family Services.

**FISCAL BACKGROUND AND BUDGET HIGHLIGHTS**

The 1999-2000 Executive budget recommends a new appropriation of \$30 million in anticipation of the receipt of continued Federal funding for this program.

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Federal .....	\$30,000,000	\$30,000,000	....
Total .....	<u>\$30,000,000</u>	<u>\$30,000,000</u>	<u>....</u>

**MISCELLANEOUS**

---

**NORTHEASTERN QUEENS NATURE AND  
HISTORICAL PRESERVE COMMISSION**

The Northeastern Queens Nature and Historical Preserve Commission was created in 1973 to regulate publicly owned lands and wetlands in this section of Queens County. The Executive Budget recommends \$79,000 to support the Commission's operations in 1999-2000.

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$81,000	\$79,000	-\$2,000
Total .....	<u>\$81,000</u>	<u>\$79,000</u>	<u>-\$2,000</u>

**PETROLEUM STORAGE TANKS - COPS  
REPAYMENT**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	....	\$9,824,000	+\$9,824,000
Total .....	<u>....</u>	<u>\$9,824,000</u>	<u>+\$9,824,000</u>

**RESERVE FOR FEDERAL AUDIT DISALLOWANCES**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$50,000,000	\$50,000,000	....
Total .....	<u>\$50,000,000</u>	<u>\$50,000,000</u>	<u>....</u>

**SPECIAL EMERGENCY APPROPRIATION**

<b>ALL FUNDS APPROPRIATIONS</b>				
<u>Category</u>	<u>Available 1998-99</u>	<u>Appropriations Recommended 1999-00</u>	<u>Change</u>	<u>Reappropriations Recommended 1999-00</u>
State Operations .....	\$29,500,000	\$50,000,000	+\$20,500,000	....
Aid To Localities .....	....	....	....	....
Capital Projects .....	....	....	....	....
Total .....	<u>\$29,500,000</u>	<u>\$50,000,000</u>	<u>+\$20,500,000</u>	<u>....</u>

**STATEWIDE ENERGY IMPROVEMENT**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
Special Revenue Funds — Other .....	\$2,200,000	\$3,000,000	+\$800,000
Total .....	<u>\$2,200,000</u>	<u>\$3,000,000</u>	<u>+\$800,000</u>

**WORKERS' COMPENSATION RESERVE**

**STATE OPERATIONS  
ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE  
APPROPRIATIONS**

<u>Fund Type</u>	<u>Available 1998-99</u>	<u>Recommended 1999-00</u>	<u>Change</u>
General Fund .....	\$46,040,000	\$38,000,000	-\$8,040,000
Total .....	<u>\$46,040,000</u>	<u>\$38,000,000</u>	<u>-\$8,040,000</u>



# ***PART II***

## ***STATE DEBT SERVICE***



# STATE DEBT SERVICE AND FINANCING AGREEMENT PAYMENTS

## OVERVIEW

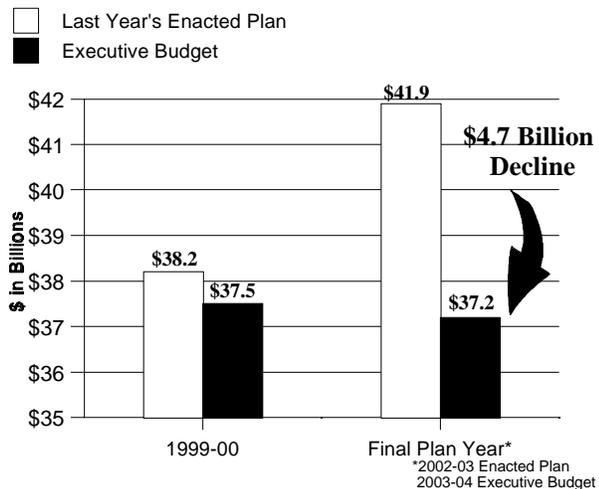
### DEBT OUTSTANDING AND DEBT SERVICE COSTS ARE REDUCED

The 1999-2000 budget recommendations for debt service appropriations reflect the State's continued efforts to balance capital needs with debt affordability. For the first time in decades, aggressive debt reduction initiatives, the continuation of efforts to manage the State's debt portfolio, and increased pay-as-you-go financing will ensure that both debt outstanding and debt service costs decline over the Capital Program and Financing Five Year Plan (the Plan). These initiatives are highlighted by efforts that will:

- Improve key debt affordability measures—ensuring that debt as a percent of personal income continues to decline;
- Continue to increase the amount of short-term instruments in the State's debt portfolio;
- Reduce issuances and debt service costs by using hard dollar resources instead of bond financing for eight entire programs;
- Shorten bond maturities to reduce the average life of debt obligations, including using significantly shorter maturities for portions of the reduced Community Enhancement Facilities Assistance Program (CEFAP); and
- Further reduce market crowding and the competition between State-supported programs with the coordination of a debt sale schedule which reflects a reduction in both the number and dollar volume of new issuances.

The recommended debt service appropriations reflect the maximum estimated debt service payments for outstanding bonds and anticipated State-supported sales to come. The appropriations for State general obligation, the Local Government Assistance Corporation (LGAC), and Housing Finance Agency (HFA) Service Contract Obligation Revenue (SCOR) variable rate bonds reflect a maximum interest rate of 18 percent. However, such rates are expected to be approximately 4 percent for tax exempt and 6 percent for taxable obligations. In addition, the contingent appropriations for interest rate swaps executed for the Dormitory Authority SUNY Educational Facilities program, as well as projected swap transactions for LGAC and the Urban Development Corporation's (UDC) Correctional Facilities bonding programs, are also appropriated at a maximum rate of 18 percent.

### Debt Outstanding Declines



## DEBT SERVICE

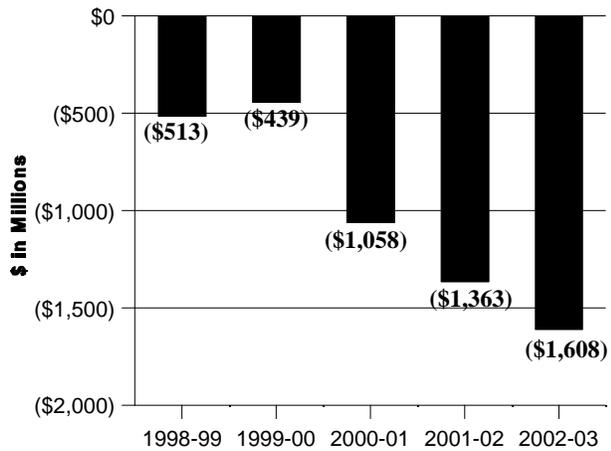
Compared to the 1998-99 enacted Plan, new State-supported bond issuances for 1999-2000 are projected to decline by \$439 million. The decline is largely due to the recommended debt reduction initiatives and refinements in projected levels of spending, partially offset by the delay in the sale of Certificates of Participation for computer equipment to support welfare systems upgrades from the current year to 1999-2000. Issuances for 1999-2000 reflect the continued implementation of certain capital initiatives, such as the 1996 voter-approved Clean Water/Clean Air Bond Act. It is anticipated that \$203 million in Clean Water/Clean Air bonds will be issued during the 1998-99 and 1999-2000 fiscal years. Total general obligation bonds to be issued during 1999-2000 are estimated at \$235 million, including \$140 million for commercial paper redemption. As part of the State's efforts to increase its use of short-term debt instruments, this includes an additional \$115 million in variable rate general obligation bonds to be issued during the 1999-2000 fiscal year.

Compared to the 1998-99 enacted Plan, increases in pay-as-you-go spending and other efforts to manage spending will reduce debt issuances by nearly \$5 billion.

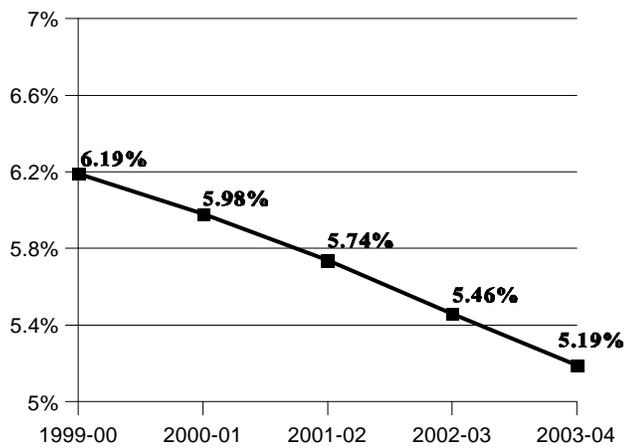
These historic debt reduction efforts, together with continued debt management measures, will improve debt affordability. Outstanding debt to personal income, expected to be 6.2 percent in 1999-2000, is projected to decline to 5.2 percent in the last year of the Plan. In addition, both General Fund transfers in support of debt service and total debt service costs are projected to decline in the later years of the Plan. Debt service costs as a percentage of All Funds resources is projected to decline from 5.38 percent in 1999-2000 to 5.05 percent 2003-04. These efforts will significantly reduce debt and improve affordability.

The State also expects to continue its efforts to increase the use of short-term debt instruments as a percentage of total State-supported debt. The share of State-supported debt which is comprised of short term debt will increase to 6.0 percent in 1999-2000. That share of short-term debt will continue to increase to 8.8 percent in 2003-04 with the issuance of additional short-term instruments. With favorable market conditions, the State will continue to implement the interest rate swaps program. The projected amounts of short-term debt in the State's portfolio will still remain well within credit rating agency guidelines which recommend a general upper limit of approximately 15 to 20 percent of debt outstanding.

### Debt Issuances Decline



### Percent of State-Supported Debt to Personal Income



The following sections discuss the recommended debt service appropriations in greater detail. The appropriations are grouped by fund.

**GENERAL FUND - STATE PURPOSES ACCOUNT**

Interest on short-term general obligation debt, primarily bond anticipation notes (BANs) issued in the form of commercial paper, is paid directly from the General Fund. An appropriation of \$15 million is recommended for payment of interest and certain issuance costs on commercial paper to finance capital spending during fiscal year 1999-2000. It is anticipated that an average of \$287 million in such BANs will be outstanding during the coming fiscal year, the same level as in 1998-99.

An appropriation of \$10 million is recommended for the State's potential liability to rebate arbitrage earnings on general obligation bonds to the Federal government. A \$225 million appropriation is recommended for the redemption of general obligation serial bonds, should this become necessary to maintain the exemption from Federal taxation of the interest paid to bondholders. This appropriation would only be used if the State received payments from any party found to be responsible for site contamination for which 1986 Hazardous Waste and 1996 Clean Water/Clean Air bonds were sold and disbursed to finance site clean-up. Since every effort is made to find the responsible party prior to the issuance of bonds, the potential use of this appropriation is minimal and no disbursements from it are included in the 1999-2000 Financial Plan.

**GENERAL DEBT SERVICE FUND**

The General Debt Service Fund provides for principal, interest, and related payments on general obligation bonds, and lease-purchase and contractual obligation payments to public authorities and municipalities. The Fund's moneys are provided through transfers from the General Fund, and other available transfers and revenues.

Appropriations from the General Debt Service Fund for general obligation bonds are recommended at \$742 million. Appropriations for projected debt service reflect actual payments on outstanding general obligation bonds, and estimated payments on bonds anticipated to be issued in March and June of 1999. Payments for the State's continued issuance of variable rate general obligation bonds are also included.

Appropriations of \$2.09 billion are recommended from the General Debt Service Fund for financing agreement payments to the following:

- Lease purchase payments for various State facilities, including the 50 Wolf Road building, to reflect financing on a lease-purchase, rather than lease basis; and the construction of a new Department of Environmental Conservation office building in downtown Albany.
- Metropolitan Transportation Authority (MTA), for service contracts payments (\$162 million) on bonds issued to finance transit and commuter rail projects during the MTA's first two Capital Plans.
- Thruway Authority, for Local Highway and Bridge service contract bonds for local transportation purposes. Spending from this appropriation (\$180 million) is financed by transfers from the Dedicated Highway and Bridge Trust Fund.
- Environmental Facilities Corporation, for State Revolving Loan Fund service contract bonds and the financing of parks and environmental programs (\$51 million).
- Urban Development Corporation, for financing the construction and rehabilitation of correctional facilities, State facilities, youth facilities, stadia facilities, the pine barrens land acquisition, high technology projects at various universities, the Higher Education Applied Technology (HEAT) program, and the Onondaga Convention Center (\$347 million). This includes appropriation authority for payments on projected interest rate swaps, as authorized during 1997.

## ***DEBT SERVICE***

---

- Dormitory Authority, for SUNY educational, upstate community colleges (previously appropriated as local aid), and athletic facilities, State Education Department facilities, CUNY senior and community colleges, the Department of Health's Axelrod Laboratory, Albany Airport, the Library for the Blind, pension obligation bonds, and new State facilities (\$925 million). The latter includes bonds sold to finance a new parking garage and a new building for the Office of the State Comptroller and the Common Retirement Fund. DA SUNY educational facilities also includes appropriations for interest rate swaps entered into in March 1997 and projected for the 1999-2000 fiscal year.
- Housing Finance Agency, pursuant to agreements between the State and HFA to finance the State's housing programs (\$128 million). This includes payments for variable rate housing bonds, including the only State-supported taxable variable rate bonds.
- Triborough Bridge and Tunnel Authority (TBTA), for the financing of the Javits Convention Center in New York City (\$43 million).
- The Dormitory Authority, for service contracts to finance the capital needs of financially distressed hospitals (\$76 million). In the event that hospital repayments and other available funds are inadequate to meet debt service, such payments are to be made pursuant to service contracts with the State. The recommended appropriation reflects the State's potential liability on debt service payable on DA bonds. Legislative authorization for this program expired in March 1998, and State payments are not expected to be required for this program in 1999-2000.
- The Community Enhancement Facilities Assistance Program (\$125 million), which is authorized to be financed with bonds issued by the Urban Development Corporation, the Dormitory Authority, the Housing Finance Agency, and/or the Thruway Authority.

### ***HOUSING DEBT FUND***

Payments from local governments and housing companies benefitting from housing and urban renewal projects funded with State general obligation bonds are deposited in the Housing Debt Fund, and are used to pay debt service on such bonds. A \$36 million appropriation is recommended for 1999-2000.

### ***STATE UNIVERSITY DORMITORY INCOME FUND***

This Fund receives payments for the use of dormitory rentals and other fees at dormitories operated by SUNY. Debt service on bonds issued by the DA for the construction and rehabilitation of SUNY dormitories has first claim on all dormitory revenues deposited in the Fund. An appropriation of \$45 million is recommended for lease-purchase payments to the DA.

### ***MENTAL HEALTH SERVICES FUND***

The Dormitory Authority is authorized to issue bonds to finance capital programs for the Department of Mental Hygiene. Revenues received for the care and treatment of patients at State mental health facilities are deposited in this Fund, and are used to make lease-purchase payments to the DA for debt service on mental health services bonds. These rental payments have the first claim on moneys in the Fund. The DA also makes loans to eligible not-for-profit agencies providing mental health services. In return, the voluntary agencies make rental payments equal to the amount of debt service on bonds issued to finance the project. Such payments are also deposited in the Mental Health Services Fund. The recommended appropriation from this Fund is \$345 million.

**HEALTH INCOME FUND**

The Department of Health (DOH) has entered into contractual agreements with the Dormitory Authority to finance the construction and rehabilitation of State hospitals and veterans' homes. These agreements require DOH to make lease-purchase rental payments to the DA. Such payments have first claim on revenues received in this Fund from patient care at DOH facilities. Pursuant to legislation passed during the 1997 legislative session, the Roswell Park Cancer Institute recently transferred its operations to a public authority. Consistent with existing bonding pledges and statutory requirements, the Corporation's moneys will continue to flow into the Fund as security for and payment to bondholders. However, only the amount needed for debt service will be reflected in the State's financial plan. Lease-purchase obligations during 1999-2000 require appropriations of \$38 million, including obligations for the New York City Veterans' Home.

**EMERGENCY HIGHWAY RECONDITIONING AND PRESERVATION FUND  
EMERGENCY HIGHWAY CONSTRUCTION AND RECONSTRUCTION FUND**

The Commissioner of Transportation contracted with the New York State Thruway Authority to finance, through the Authority's bonds, highway reconditioning and preservation and construction and reconstruction projects. To enable the Thruway Authority to meet its debt service on these bonds, receipts attributable to seven-eighths of one cent of the tax on each gallon of gasoline and diesel fuel sold in the State have been earmarked to the Emergency Highway Reconditioning and Preservation and Emergency Highway Construction and Reconstruction Funds. Appropriations of \$32 million from each of these funds are recommended for the 1999-2000 fiscal year.

**CENTRALIZED SERVICES FUND**

The State has issued Certificates of Participation (COPs) to finance the purchase of equipment on an installment or lease-purchase basis for State departments, agencies, and public authorities. Moneys from the operating budgets of participating agencies are deposited to the Centralized Services Fund for payment to the trustees of COPs issuances. Such obligations' maturities are predominantly short-term in nature, reflecting the useful life of the equipment to be financed. An appropriation of \$210 million is recommended to pay debt service on outstanding and planned COPs, which includes equipment planned to be purchased to implement new Welfare Reform computer systems.

**LOCAL GOVERNMENT ASSISTANCE TAX FUND**

In an effort to eliminate the State's annual spring cash flow borrowing, legislation enacted in 1990 authorized LGAC to issue bonds to finance payments to local governments previously funded by the State. LGAC has issued its entire \$4.7 billion net authorization. Revenues equal to one-quarter of the four cent State sales and use tax are deposited into the Local Government Assistance Tax Fund and used to pay debt service on LGAC obligations. The recommended appropriation of \$517 million represents anticipated debt service on all fixed-rate bonds, the maximum interest rate for outstanding variable rate bonds and planned interest rate swaps, and administrative costs. Moneys not needed for debt service are transferred back to the State's General Fund.

**SCHOOL CAPITAL FACILITIES FINANCING RESERVE FUND**

An appropriation of \$25 million is recommended from the School Capital Facilities Financing Reserve Fund, a fiduciary fund, to pay debt service on bonds issued by the

## ***DEBT SERVICE***

---

Dormitory Authority on behalf of special act and certain other authorized types of local school districts. The districts have assigned State local assistance payments for building aid and other tuition revenues to the DA. The revenues are deposited into the Fund and used to make debt service payments to the DA.

### ***DEDICATED HIGHWAY AND BRIDGE TRUST FUND***

An appropriation of \$365 million is recommended for 1999-2000 debt service payments to the Thruway Authority for Dedicated Highway and Bridge Trust Fund bonds. The debt service for the highway program is supported by revenues of this Fund, as authorized by law. However, after debt service payments are made, they and a commensurate amount of Fund revenues are reclassified from the capital projects to the debt service fund group. Therefore, the debt service appropriation is recommended in the Debt Service Budget Bill.

**ALL FUNDS FISCAL REQUIREMENTS  
DEBT SERVICE AND FINANCING AGREEMENT PAYMENTS**

Fund	Available 1998-99	Recommended 1999-00	Change
General Fund			
State Purposes Account			
Redemption of General Obligation Bonds . . . .	\$225,000,000	\$225,000,000	. . . .
Rebates to Federal Government . . . . .	5,000,000	10,000,000	+ \$5,000,000
General Obligation Notes . . . . .	<u>12,650,000</u>	<u>15,250,000</u>	+ 2,600,000
Sub-Total General Fund . . . . .	\$242,650,000	\$250,250,000	+ \$7,600,000
Internal Service Funds			
Centralized Services Fund			
Financing Agreements . . . . .	\$104,620,000	\$210,000,000	+ \$105,380,000
Sub-Total Internal Service Funds . . . . .	\$104,620,000	\$210,000,000	+ \$105,380,000
Fiduciary Funds			
School Capital Facilities Financing Reserve Fund			
Trust and Agency Financing . . . . .	\$12,000,000	\$25,000,000	+ \$13,000,000
Sub-Total Fiduciary Funds . . . . .	\$12,000,000	\$25,000,000	+ \$13,000,000
Capital Project Funds			
Dedicated Highway and Bridge Trust Fund			
Financing Agreements . . . . .	\$282,500,000	\$365,000,000	+ \$82,500,000
Sub-Total Capital Project Funds . . . . .	\$282,500,000	\$365,000,000	+ \$82,500,000
Debt Service Funds			
Mental Health Services Fund			
Financing Agreements . . . . .	\$305,570,000	\$345,000,000	+ \$39,430,000
General Debt Service Fund			
Financing Agreements . . . . .	1,822,240,000	2,085,000,000	+ 262,760,000
General Obligation Bonds . . . . .	750,850,000	741,500,000	-9,350,000
Housing Debt Fund			
General Obligation Bonds . . . . .	34,500,000	36,000,000	+ 1,500,000
Health Income Fund			
Financing Agreements . . . . .	18,000,000	36,250,000	+ 18,250,000
Financing Agreements . . . . .	1,500,000	1,750,000	+ 250,000
Emergency Highway Reconditioning and Preservation Fund			
Financing Agreements . . . . .	32,000,000	32,000,000	. . . .
State University Dormitory Income Fund			
Financing Agreements . . . . .	45,000,000	45,000,000	. . . .
Emergency Highway Construction and Reconstruction Fund			
Financing Agreements . . . . .	32,000,000	32,000,000	. . . .
Local Government Assistance Tax Fund			
Financing Agreements . . . . .	<u>535,750,000</u>	<u>517,000,000</u>	-18,750,000
Sub-Total Debt Service Funds . . . . .	\$3,577,410,000	\$3,871,500,000	+ \$294,090,000
Total Fiscal Year . . . . .	\$4,219,180,000	<u>\$4,721,750,000</u>	<u>+ \$502,570,000</u>
Adjustments:			
Transfers to:			
General Services, Office of			
General Fund (State Operations) . . . . .	+ 3,000,000		
Correctional Services, Department of			
General Fund (State Operations) . . . . .	<u>+ 2,900,000</u>		
Appropriated 1998-99 . . . . .	<u>\$4,225,080,000</u>		



# ***PART III***

## ***APPROPRIATIONS REQUESTED BY THE JUDICIARY AND THE LEGISLATURE***



# ***COMMENTARY OF THE GOVERNOR ON THE JUDICIARY***

In accordance with Article VII, Section One of the State Constitution, I am transmitting herewith the appropriations requested by the Judiciary for fiscal year 1999-2000. As required by the Constitution, I am presenting the Judiciary budget as it has been submitted by the Office of Court Administration.

The Judiciary's All Funds spending request is \$1.36 billion, a \$68.9 million, or 5.3 percent increase over the current year. Of this amount, \$1.26 billion is requested from the State tax dollar supported General Fund. If fully enacted, General Fund support for the Judiciary will increase in fiscal year 1999-2000 by \$62.9 million or 5.3 percent over 1998-99. This compares with a recommended increase for the Executive branch of slightly over one percent.

While much of the requested increase reflects the cost of continuing current operations, discretionary initiatives totaling \$7.9 million (218 new positions) are included. In addition, a new proposed grant program for local justice courts lacks specificity and has the potential for significant growth in future years.

The General Fund increase includes:

- \$26.4 million for a 21 percent salary increase for judges;
- \$9.6 million for negotiated salary increments;
- \$7.9 million for initiatives such as specialized court parts, automation and court security;
- \$12.5 million for annualization of previous and current year initiatives;
- \$9.9 million for various workload and inflationary increases;
- \$6.2 million for increased fringe benefit costs;
- \$3.5 million for 17 new certificated judges;
- \$1.3 million for new judgeships established in 1998; and
- \$500,000 for a new grant program for Town and Village Courts.

These increases are partially offset by \$14.9 million in non-recurring costs.



# **THE JUDICIARY**

## **INTRODUCTION**

### **THE UNIFIED COURT SYSTEM**

The Judiciary is one of the three branches of New York State Government. Article VI of the State Constitution establishes a Unified Court System, defines the organization and jurisdiction of the courts and provides for the administrative supervision of the courts by a Chief Administrator on behalf of the Chief Judge of the State of New York.

The objectives of the Judiciary are to: (1) provide a forum for the peaceful, fair and prompt resolution of civil claims and family disputes, criminal charges and charges of juvenile delinquency, disputes between citizens and their government, and challenges to government actions; (2) supervise the administration of estates of decedents, consider adoption petitions, and preside over matters involving the dissolution of marriages; (3) provide legal protection for children, mentally ill persons and others entitled by law to the special protection of the courts; and (4) regulate the admission of lawyers to the Bar and their conduct and discipline.

The New York State court system is one of the largest and busiest in the Western World. It consists of nearly 1,200 state-paid judges, 2,400 town and village justices and 14,600 nonjudicial positions. Pursuant to the Unified Court Budget Act, the cost of operating the Unified Court System, excluding town and village courts, is borne by the State.

### **STRUCTURE AND JURISDICTION OF THE COURTS**

The Unified Court System is structured as follows:

#### **APPELLATE COURTS**

Court of Appeals  
Appellate Divisions of the Supreme Court  
Appellate Terms of the Supreme Court  
County Courts (acting as appellate courts)

#### **TRIAL COURTS OF SUPERIOR JURISDICTION**

Statewide:  
Supreme Court  
Court of Claims  
Family Court  
Surrogate's Court  
Outside New York City:  
County Court

#### **TRIAL COURTS OF LIMITED JURISDICTION**

New York City:  
Criminal Court  
Civil Court  
Outside New York City:  
City Courts  
District Courts  
Town Courts\*  
Village Courts\*

\*Locally funded courts

## **JUDICIARY**

---

The jurisdiction of each court is established by Article VI of the Constitution or by statute. The courts of original jurisdiction, or trial courts, hear cases in the first instance, and the appellate courts hear and determine appeals from the decisions of the trial courts.

The Court of Appeals, the State's highest court, hears cases on appeal from the other appellate courts and, in some instances, from the courts of original jurisdiction. In most cases, its review is limited to questions of law. The Court also reviews determinations of the Commission on Judicial Conduct.

There are four Appellate Divisions of the Supreme Court, one in each of the State's four judicial departments. The Appellate Divisions hear appeals concerning civil and criminal cases. In the First and Second Departments, Appellate Terms have been established to hear appeals in criminal and civil cases determined in the Criminal and Civil Courts of the City of New York and civil and criminal cases determined in district, city, town, and village courts outside the City. In the Third and Fourth Departments, appeals from city, town and village courts are heard initially in the appropriate County Court.

The Supreme Court, which functions in each of the State's 12 judicial districts, is a trial court of unlimited, original jurisdiction, but it generally hears cases outside the jurisdiction of other courts. It exercises its civil jurisdiction statewide; in the City of New York and some other parts of the State, it also exercises jurisdiction over felony charges.

The Court of Claims is a statewide court having jurisdiction over claims for money damages against the State. Certain Judges of the Court of Claims; i.e., Judges appointed pursuant to paragraphs (b), (d), and (e) of subdivision 2 of section 2 of the Court of Claims Act, are assigned temporarily to the Supreme Court, primarily as trial justices in the criminal terms.

There are three county-level superior courts. The County Court is established in each county outside the City of New York. It is authorized to handle the prosecution of crimes committed within the county, although in practice, arraignments and other preliminary proceedings on felonies, misdemeanors and minor offenses are handled by courts of limited jurisdiction while the County Court presides over felony trials and supervises the Grand Jury. The County Court also has limited jurisdiction in civil cases, with authority to entertain those involving amounts up to \$25,000.

The Family Court is established in each county and in the City of New York. It has jurisdiction over matters involving children and families. Its caseload consists largely of proceedings involving support of dependent relatives, juvenile delinquency, child protection, persons in need of supervision, review and approval of foster-care placements, paternity determinations, and family offenses.

The Surrogate's Court is established in every county and hears cases involving the affairs of decedents, including the probate of wills and the administration of estates. Family Court and Surrogate's Court have concurrent jurisdiction in adoption proceedings.

The Civil Court of the City of New York tries civil cases involving amounts up to \$25,000 and other civil matters referred to it by the Supreme Court (pursuant to section 325 of the CPLR). It includes a Housing Part for landlord-tenant matters and housing code violations. The Criminal Court of the City of New York has jurisdiction over misdemeanors and violations. Judges of the Criminal Court also act as arraigning magistrates and conduct preliminary hearings in felony cases.

There are four kinds of courts of limited jurisdiction outside the City of New York: District (established in Nassau County and in the five western towns of Suffolk County), City, Town and Village Courts. All have jurisdiction over minor criminal matters. They also have jurisdiction over minor civil matters, including small claims and summary proceedings, although their monetary ceilings vary: \$15,000 in District and City Courts, and \$3,000 in Town and Village Courts.

The civil courts of limited jurisdiction in 31 counties are making use of compulsory arbitration with lawyer arbitrators to resolve minor civil disputes, that is, civil actions where the amount sought is \$6,000 or less in courts outside the City of New York and \$10,000 or less in courts in the City.

### **ADMINISTRATIVE STRUCTURE OF THE UNIFIED COURT SYSTEM**

Section 28 of Article VI of the State Constitution provides that the Chief Judge of the Court of Appeals is the Chief Judge of the State and its chief judicial officer. The Chief Judge appoints a Chief Administrator of the Courts (who is called the Chief Administrative Judge of the Courts if the appointee is a judge) with the advice and consent of the Administrative Board of the Courts. The Administrative Board consists of the Chief Judge, as chair, and the Presiding Justices of the four Appellate Divisions of the Supreme Court.

The Chief Judge establishes statewide standards and administrative policies after consultation with the Administrative Board of the Courts and promulgates them after approval by the Court of Appeals.

The Chief Administrative Judge, on behalf of the Chief Judge, is responsible for supervising the administration and operation of the trial courts and for establishing and directing an administrative office for the courts, called the Office of Court Administration (OCA). In this task, the Chief Administrative Judge is assisted by two Deputy Chief Administrative Judges, who supervise the day-to-day operations of the trial courts in New York City and in the rest of the State, respectively; a Deputy Chief Administrative Judge for Management Support, who supervises the operations of the units that compose the Office of Management Support; and a Counsel, who directs the legal and legislative work of the Counsel's Office.

The Office of Management Support consists of five operational divisions, with overall policy guidance and management directed by the Chief Administrative Judge, assisted by the Deputy Chief Administrative Judge for Management Support. The Division of Human Resources is responsible for conducting educational programs for judges and nonjudicial personnel; the administration of the Unified Court System's workforce diversity programs; labor management relations; payroll processing; career development services; employee benefits administration; and a broad range of personnel services dealing with job classification, compensation and examination issues. The Division of Financial Management coordinates the preparation and implementation of the Judiciary budget and is also responsible for promulgation of fiscal policies and procedures; revenue and expenditure monitoring, control and reporting; and the coordination of the fiscal aspects of the Court Facilities Aid Program. The Division of Technology is responsible for the development, implementation and oversight of all central and local automation and telecommunication services which support court operations and administrative functions. The Division of Legal Resources is responsible for overseeing all of the Judiciary's automated and printed media legal reference services and for coordination of records retention and management programs. The Division of Court Operations provides centralized support for day-to-day court operations through its oversight of streamlining initiatives, procedural manual development and training programs, as well as for court security, alternative dispute resolution and a comprehensive program of court facilities planning and management in coordination with local governments.

The services provided by these operational divisions are further supplemented by a Public Affairs Office which coordinates communications with other governmental entities, the press, public and bar. The Office of Operations Research compiles UCS workload statistics for the courts, management and the public and conducts operational improvement studies. The Administrative Services Office provides a broad range of general support services to the courts including, but not limited to, central accounting and revenue management; attorney registration administration, centralized procurement, supply and printing. Finally, an Office of Internal Affairs, reporting directly to the Chief Administrative

# JUDICIARY

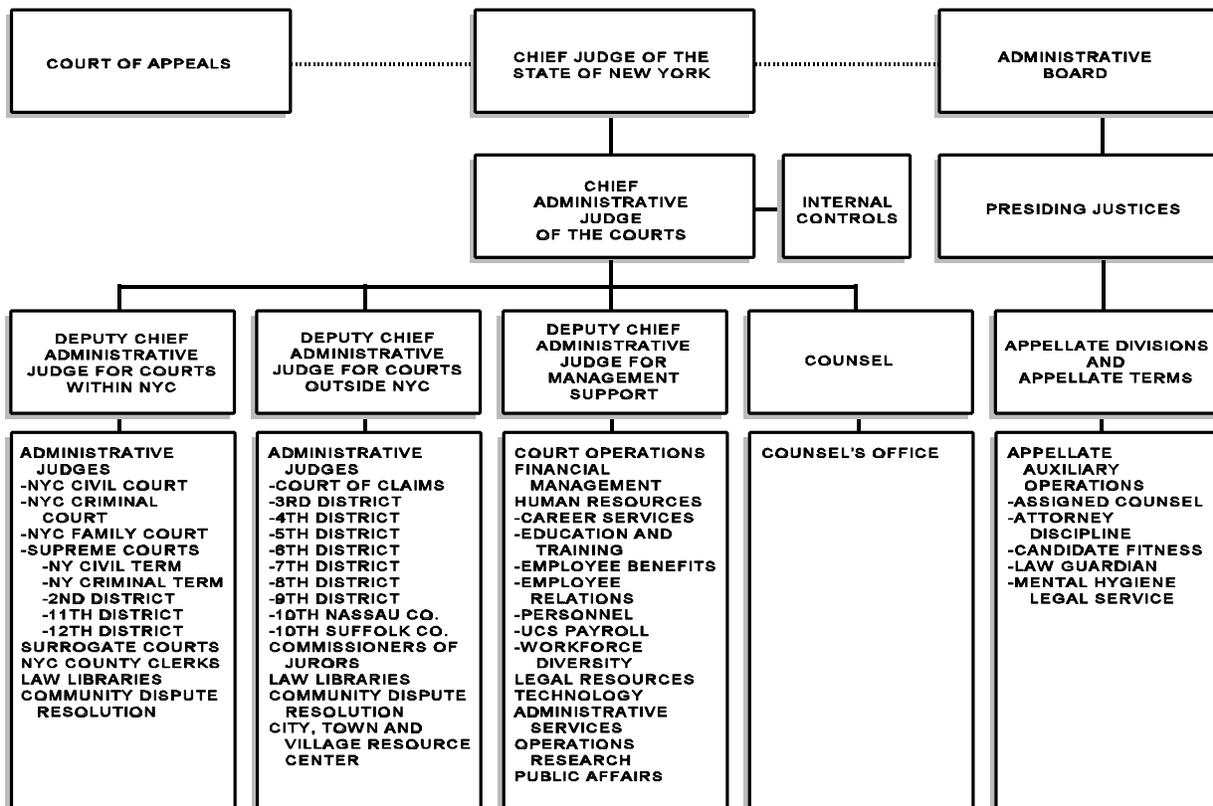
Judge, conducts internal audits and investigations to support the attainment of management's long term goals and priorities.

Counsel's Office prepares and analyzes legislation, represents the Unified Court System in litigation, and provides various other forms of legal assistance to the Chief Administrative Judge.

Responsibility for on-site management of the trial courts and agencies is vested with the Administrative Judges. Upstate, in each of the eight judicial districts established outside the City of New York, there is a District Administrative Judge who is responsible for all courts and agencies operating within the judicial district. In the City of New York, Administrative Judges supervise each of the major trial courts, and the Deputy Chief Administrative Judge provides for management of the complex of courts and court agencies within the City. The Administrative Judges manage not only court caseload, but are responsible as well for general administrative functions including personnel and budget administration and all fiscal procedures.

The Appellate Divisions are responsible for the administration and management of their respective courts, and of the several Appellate Auxiliary Operations: Candidate Fitness, Attorney Discipline, Assigned Counsel, Law Guardians, and Mental Hygiene Legal Service.

## UNIFIED COURT SYSTEM ADMINISTRATIVE STRUCTURE



## **EXECUTIVE SUMMARY**

### **INTRODUCTION**

The New York State Courts are established and administered as an independent branch of government pursuant to Article VI of the State Constitution. The mission of the Unified Court System is to promote the rule of law and to serve the public by providing just and timely resolution of all matters before the courts. In so doing, the Judiciary provides a forum for the peaceful, fair and prompt resolution of civil claims, family disputes, criminal charges and charges of juvenile delinquency, disputes between citizens and their government, and challenges to government actions; supervises the administration of estates, considers adoption petitions, and presides over matters involving the dissolution of marriages; provides legal protection for children, mentally ill persons, and others entitled by law to the special protection of the courts; and regulates the admission of lawyers to the Bar and their conduct. The New York State Judiciary carries out its mission through 11 different trial courts, or courts of original jurisdiction, as well as through its intermediate appellate courts and its highest court, the Court of Appeals.

Since 1977, the costs of operating the courts (excluding town and village courts) have been borne by the State pursuant to the Unified Court Budget Act. Accordingly, funding for the operating costs for all New York State county-level, District and City Courts and related court agencies is a State responsibility. The costs of providing facilities for these trial courts, broadly defined to include the construction and renovation of the facilities as well as their maintenance and operation, have remained a local government obligation. The State does, however, provide aid to subsidize the cost of borrowing money for court construction and improvements. The State also reimburses local governments for a portion of maintenance and operation costs for upkeep, utilities and preventive maintenance associated with court facilities. In 1996, legislation was enacted to gradually raise this reimbursement level to 100 percent of expenses for cleaning and minor repairs to ensure compliance with maintenance and operation standards.

The Judiciary's budget is presented in three sections as follows:

Section One — Executive Summary

Section Two — The Judiciary's 1999-2000 Budget Request

Section Three — Fiscal Tables

The Judiciary's budget submission is formulated through an open and decentralized process that includes input from trial court judges, judicial and nonjudicial administrators, court clerks, local bar leaders, and citizens concerned with the future of justice services in New York State. The budget also reflects the goals and objectives set forth and updated annually through the court system's three-year planning process. This budget reflects a rigorous review and analysis process, culminating with a recommended budget amount that is fiscally prudent, recognizing the State's economic position and yet providing the necessary resources to continue the innovative programs aimed at providing the public with efficient and effective case disposition.

For fiscal year 1999-2000, the court system will focus on four primary areas: making the courts more modern and efficient; developing innovative approaches to the treatment of cases; promoting public access to the courts; and strengthening public confidence in the courts and the legal profession. Resources for programs to support these goals are described below and included in the Judiciary's budget request.

Funding for judicial salary increases is included in the Judiciary's 1999-2000 budget request and is among the court system's highest priorities. Compensation for judges serving in the New York State court system has not kept pace with the cost of living, and appropriate adjustments are proposed in this budget request. The proposed increase seeks to establish the salary of a Justice of the Supreme Court at \$136,700, with the

salaries of judges in other courts in New York retaining their current proportional relationship to the benchmark salary of a Justice of the Supreme Court.

The budget request for the Judiciary General Fund Court and Agency Operations for fiscal year 1999-2000 is \$1,097.2 million, a \$55.8 million (or 5.4 percent) increase over the current year. The State Funds Court and Agency portion of the request, including the General Fund as well as special Revenue Funds (excluding the requested Federal Funds), is \$1,138.1 million, a \$56.4 (or 5.2 percent) increase over the current year fiscal appropriation of \$1,081.8 million.

Funding is requested to support programs and initiatives designed to achieve the system-wide goals enumerated above — promoting modern and efficient courts; developing innovative approaches to the treatment of cases; enhancing public access to the courts; and strengthening public confidence in the courts and the legal profession.

As described more fully throughout the document, funding is sought to implement several programs that will significantly help the courts to become more modern and efficient. These programs include establishing a series of grants to modernize and upgrade the approximately 2,300 Town and Village Courts in New York State; expanding the Commercial Division of the Supreme Court beyond New York and Monroe Counties to additional locations in the State; enhancing the use of technology in the courts, including additional video court appearance programs, particularly in criminal matters, continued development of automated case management programs for application throughout the State and new CourtNet and Internet applications for the courts.

Initiatives also are being developed to promote innovative approaches to the treatment of cases. Complex and sensitive cases, especially those involving families, benefit from specialized treatment and expertise. Specific programs include implementing a matrimonial litigation reform program; developing a comprehensive civil justice program that will include expanded use of the differentiated case management approach for new filings, earlier judicial intervention in managing cases, and more uniformity in court rules; and expanding the use of specialized court parts such as domestic violence courts and drug treatment courts throughout the State.

Public trust in the justice system is vital, and efforts to promote this goal by enhancing access to the courts are included for the 1999-2000 fiscal year. These initiatives will include developing new community court models and expanding the community court concept to locations outside of New York City; expanding the public's opportunities to participate in alternative dispute resolution programs; and establishing a Center for Court Access to coordinate pro bono needs throughout the State. In a related area, a number of initiatives are included in the budget request that seek to strengthen public confidence in the courts and the legal profession — programs such as local measures to enhance the public's trust in the Judiciary; continued jury reform, including reform of the grand jury system; development of the next phase of the court system's Workforce Diversity program; and Continuing Legal Education for the legal profession.

The majority of the 1999-2000 Judiciary General Fund Court and Agency Operations budget request is dedicated to the funding necessary to continue current court operations. This base budget includes funding for currently authorized judicial and nonjudicial positions; salary increments for eligible nonjudicial employees; annualization of nonjudicial salary increases and new initiatives partially funded in the current year; overtime and temporary service; jury per diem payments; legal reference materials; Judicial Hearing officer and other per diem payments; equipment; and other items necessary for the daily operations of the courts and court-related agencies in the New York State Unified Court System.

The new initiatives included in the Judiciary budget request are designed to promote the goals of the court system and to continue the innovation and efficiencies that have become the hallmark of the courts in New York. The budget requests the establishment of 268 new nonjudicial positions in key areas, including the New York City Housing Court, Family Justice and Domestic Violence programs; the Civil and District Courts; and court security. In addition, the court system is seeking funding for a Statewide program to

improve the deplorable furnishings found in so many courthouses — so that litigants and the public need not be asked to sit on dilapidated and dysfunctional furnishings merely because they are in State courts. Funding also is being sought to continue the court system's automation program, including conversion for the year 2000; to further jury reform; to purchase replacement and additional security equipment and to fund security contracts; and to expand the use of mediation for specific Family Court matters.

## ***HIGHLIGHTS OF COURT SYSTEM INITIATIVES***

New York's court system recognizes the need to develop innovative approaches to justice to increase the effectiveness of court services and to broaden the public's access to justice. The court system has implemented ground-breaking initiatives in Family, Housing, Criminal and Community Justice and continues the jury reform and court technology programs.

### ***FAMILY JUSTICE PROGRAMS***

The Family Justice Program is a comprehensive set of initiatives launched to improve the ability of the courts to deal with family issues more openly and effectively. Program initiatives include: **Restructure of the Family Court** into four function-based divisions to improve the management of this court's tremendous caseload; **Family Drug Treatment Courts** to refer substance-abusing parents involved in child neglect matters to services, and closely monitor rehabilitation plans; **Dedicated Domestic Violence Parts** created to provide specialized treatment in family offense matters, featuring intensive judicial oversight and referral to treatment services; **Family Court Mediation Programs** to provide dispute resolution services to families in conflict and expedite case processing in matters involving mutual consent; **Family Court Public Access Rules** that provide the public with a window into the Family Court process to promote a greater understanding of the work of the Court; and, the **Domestic Violence Registry**, a database created by the court system to provide automated access to Domestic Violence orders of protection and warrants issued by the courts.

### ***HOUSING COURT PROGRAM***

Housing Court Program initiatives focus on establishing an orderly and effective process for case assignment and resolution in the New York City Housing Court. **Specialized Parts** have been created for motions and trial-ready matters. **Resolution Parts** have been erected to ensure judicial oversight of the settlement process. **Mediation Services** are available to screen cases and make referrals to volunteer mediators. **Resource Centers** provide litigants with the information necessary to effectively use the court. Other **Public Access** initiatives include extended hours in Clerks' Offices, Night Housing Court, and a volunteer lawyers project.

### ***CRIMINAL JUSTICE***

Criminal Justice Initiatives intended to promote more expeditious and effective case processing include: **Dedicated Domestic Violence Parts** which provide enhanced services to victims and strict judicial monitoring of offenders; **Drug Treatment Courts** to expedite drug-related case processing and reduce re-arrests by diverting or sentencing offenders to judicially-supervised substance abuse treatment; and, **New Arraignment Procedures** in the New York City Criminal Court assure compliance with the requirement that defendants be arraigned within 24 hours of arrest.

### **JURY SYSTEM REFORMS**

The Court System continues to build on the progress made in developing a more representative, efficient and less burdensome jury system in New York. Several new initiatives underway include: the **Grand Jury Project** established to undertake a comprehensive review of all operational aspects of the grand jury system and propose needed reforms; **Technology Advancements** such as automated juror status call-in systems, bar coded summonses, attendance scanning systems and one-step summoning; and, **Public Awareness Efforts**, including a new juror handbook, an orientation video produced for petit jurors and planned for grand jurors, and a toll-free telephone line to assist with questions and complaints.

### **COMMUNITY COURTS**

Community Courts combat quality of life crimes by providing services in areas where crime occurs, with the aim of making justice visible in the community. The first successful Community Court has been tested in Midtown Manhattan since 1993. In 1999, the Red Hook and Harlem Community Justice Centers will open in New York City. A Community Court is also being planned for the Village of Hempstead.

### **CENTER FOR COURT INNOVATION**

The Center for Court Innovation conducts cutting-edge research into methods to improve the delivery of justice services. The Center is the recent recipient of the Innovations in American Government Award which celebrates exemplary achievements in government problem-solving.

### **COURT TECHNOLOGY**

Significant progress has been made in implementing the court system's CourtNet program. CourtNet is bringing the benefits of desktop and benchtop computing to every judge and employee of the court system. Cabling to provide electronic access to CourtNet and delivery of PCs, file servers and software is expected to be completed by the fall of 1999.

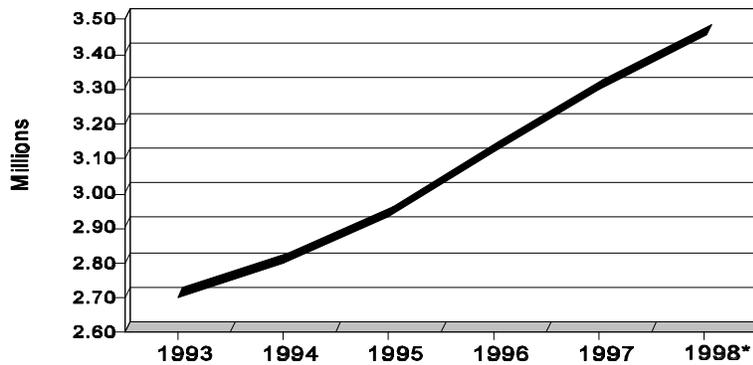
### **COURT SYSTEM WORKLOAD**

In 1997, there were 3,310,193 new cases filed in the trial courts of the Unified Court System, excluding traffic and parking cases, an increase of over 600,000 cases or 22 percent in just five years.<sup>1</sup>

---

<sup>1</sup>There were, in addition, 291,089 filings in traffic cases and 285,872 filings in parking cases.

**NEW YORK STATE UNIFIED COURT SYSTEM  
Total Without Traffic & Parking  
Filings**



\* Projected

Filings and dispositions in 1997, by case type, were as follows:

**CRIMINAL CASES**

***Criminal Term of Supreme and County Courts***

- Filings - 63,339
- Dispositions - 69,030

***Criminal Court of the City of New York***

- Filings (arrest cases) - 385,947
- Dispositions (arrest cases) - 388,887
- Filings (summons cases) - 418,447
- Dispositions (summons cases) - 215,609

***City and District Courts Outside New York City***

- Filings - 303,435
- Dispositions - 287,799

**CIVIL CASES**

***Civil Term of Supreme Court***

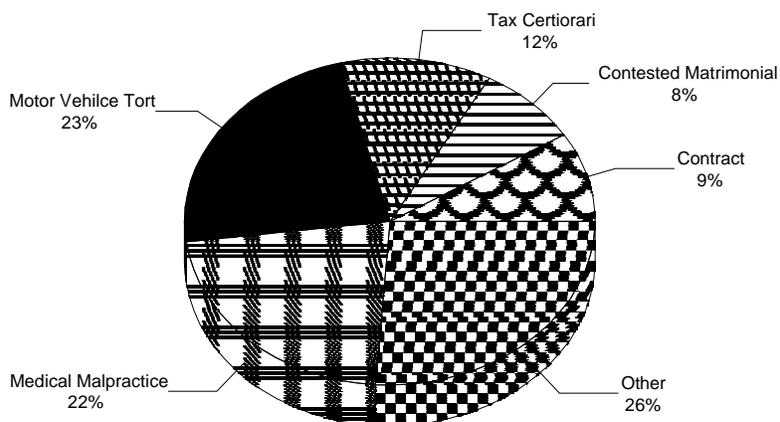
Civil Actions

- Filings - 383,065
- Dispositions - 399,335

Small Claims Assessment Review Program (SCAR)

- Filings - 53,397
- Dispositions - 51,596

**CIVIL FILINGS BY TYPE IN SUPREME COURT  
1997**



***Civil Court of the City of New York***

Civil Actions

- Filings - 216,410
- Dispositions - 108,670

Small Claims/Commercial Claims

- Filings - 55,221
- Dispositions - 59,019

Housing Court

- Filings - 325,161
- Dispositions - 250,216

***City and District Courts Outside New York City***

Civil Actions

- Filings - 121,913
- Dispositions - 104,033

Small Claims/Commercial Claims

- Filings - 57,986
- Dispositions - 59,306

Landlord/Tenant

- Filings - 64,457
- Dispositions - 66,841

**County Courts**

- Filings - 18,037
- Dispositions - 17,610

**Court of Claims**

- Filings - 2,312
- Dispositions - 2,334

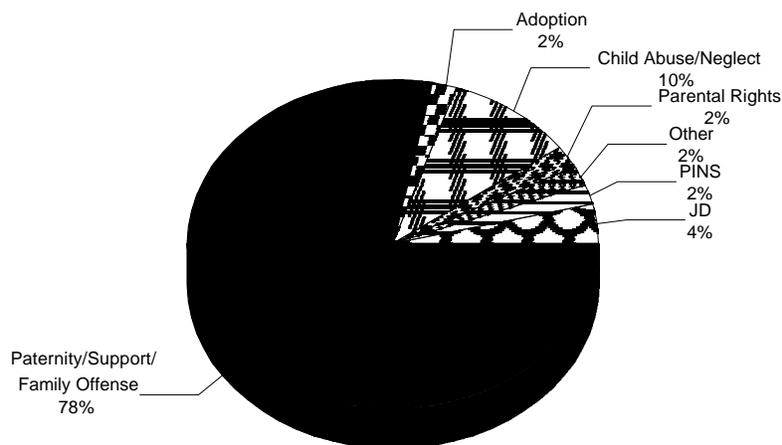
**Arbitration Program**

- Filings - 10,006<sup>2</sup>
- Dispositions - 9,664

**Family Courts**

- Filings - 656,777
- Dispositions - 655,881

**FAMILY COURT FILINGS BY TYPE  
1997**



**Surrogate's Courts**

- Filings - 184,289
- Dispositions - 103,703

<sup>2</sup>Arbitration cases are shown for reference only and are not included in the total filings. Arbitration cases are included as part of the civil court caseload listed above.

### JUDICIARY PROGRAM INITIATIVES

#### FAMILY JUSTICE PROGRAM

A record number of new cases (656,777) were filed with the Family Courts in New York in 1997. This trend is continuing in 1998, especially in support-related categories. To face the challenges of this tremendous caseload and to deal with the complexity that family cases pose, the court system has launched a Family Justice Program that includes initiatives in case management and court organization, and has established specialized parts that provide more intensive court supervision and alternative methods of dealing with cases involving domestic violence and drug addicted parents. Initiatives undertaken to date include:

#### *Family Court Reorganization and Dedicated Parts*

- **Reorganization of the Family Court** into four function-based divisions: Child Protective/Permanency Planning, Juvenile Delinquency/PINS, Domestic Violence/Custody, and Support/Paternity. This new organizational structure is intended to address the ever increasing caseload demands and recent legislative mandates including the federal Adoption and Safe Families Act of 1997, both of which require speedier case processing and more frequent case reviews.
- **Dedicated Foster Care Review:** Special parts have been established to review the status of children who have been freed for adoption, yet remain in foster care, as part of a continuing effort to expedite the permanent placement of children through adoptions.
- **Family Drug Treatment Courts:** Court-supervised treatment for substance-abusing parents involved in child neglect matters is now being tested in the Family Courts in New York and Suffolk Counties. This innovative approach stresses appropriate services and relies on vigorous court monitoring.
- **Dedicated Domestic Violence Parts:** Family Court Domestic Violence Parts have been established in New York and Monroe County to provide parties with expedited and concentrated assistance in family offense matters, including referral to services. In these parts, victim advocates provide assistance to self-represented litigants and batterers are referred to treatment programs. Close judicial monitoring of compliance with court mandates is a central feature of these parts. Also, a Domestic Violence Intervention Program, in the Erie County Family Court, offers victims of domestic violence information support and counseling through local community and bar organizations in conjunction with the courts.

#### *Family Case Processing and Technology Improvements*

- **Family Court Case Management System:** The creation of a single robust Family Court Case management system is now underway. This system is being designed and implemented to take full advantage of the court system's statewide CourtNet and the new technology now available to judges and court personnel. The system will provide standardized on-line documents, statistical reporting, automatic electronic transfer of case information between court jurisdictions and to other agencies concerned with family matters including the Child Support Management System (CSMS) operated by the New York State Division of Temporary and Disability Assistance.
- **Special Victims Safety Check:** Safety Check Units have been established to provide judges with information from the Domestic Violence Registry and Criminal History databases in order to protect victims of domestic violence and child neglect,

- as well as children who are the subject of custody, visitation and guardianship proceedings.
- **Adoption Case Management System:** In New York City, a specialized case management system provides information essential to the speedy finalization of adoptions. The system alerts the petitioner and the court about the approximately 30 documents that must be filed with the adoption petition and tracks the filing of those documents, sets return dates for judicial review and establishes a final date when the adoption should be finalized. Both of these systems are now in use in the court's newly organized Child Protective - Permanency Planning Division.
  - **"Adoption 2100" Initiative:** Recognizing that timely conclusion of adoption proceedings are key to a permanent and stable home, the adoption process for children in foster care in New York City was expedited through an intensive court oversight effort. A fast-track team of judges, judicial hearing officers and court attorney- referees together with clerical and administrative personnel were able to complete a record number of adoptions. "Adoption 2100" is one of several initiatives seeking to speed the permanency process for New York City's foster children.

### ***Access Initiatives***

- **Expanded Access to the Family Court:** In September 1997, new rules were adopted for the Family Court governing access by the public and media to the Court. Under the new rules, public access to the Family Court is the rule, with closure authorized only when the evidence in a particular case specifically warrants it. The rules are designed to provide the public with a window into the Family Court process in order to promote a greater understanding of the work of the Court.
- A **Night Court** is now operating in the Kings County Family Court. The court is open two nights per week to hear family offense, child support, paternity, and custody and visitation matters. Also, a major initiative of the Suffolk County Family Court is the establishment of a Night Hearing Examiner Part in Central Islip. This will provide a much needed service to the public who, in many instances, experience a financial loss when required to make a daytime appearance in court.
- A **Family Court Satellite Office** is now available in Queens County to allow residents to begin family offense, paternity, support, custody, and visitation cases without having to leave their community. Computer-video technology links the satellite office to the main courthouse so that a litigant can appear before a judge when seeking an order of protection and receive the order on site.
- **Automated Kiosks** have been installed in the Bronx and New York County Family Courts to provide information about Family Court in both English and Spanish. The kiosks also direct litigants to the appropriate court for other related proceedings, such as divorces, that cannot be brought in Family Court.

### ***Family Court Mediation Services***

Mediation has increasingly been relied upon as a case resolution tool in the Family Courts. Family Courts in Kings County and in counties outside of New York City have been using mediation services for several years as an alternative to or in conjunction with court proceedings. Cases referred from Family Court included PINS and custody and visitation. These programs have been very successful in diverting cases from the overburdened judges of the Family Courts. Family Court mediation programs are currently operating in the Third, Fourth, Fifth, Sixth, Seventh, Eighth and Ninth Judicial Districts and Nassau County. This budget seeks funding to continue and expand mediation services in these locations and to make these services available in New York City.

### ***Domestic Violence Registry***

The Family Protection and Domestic Violence Intervention Act of 1994 required major changes in case processing procedures for the Unified Court System. The Act requires that steps be taken to ensure that victims of domestic violence are notified of their rights and are able to avail themselves of legal remedies; that records can be transferred smoothly between courts as necessary for fair and effective prosecution; that the courts are accessible to those without counsel; and, that the courts collaborate with the New York State Police and other public protection agencies to maintain an up-to-date and accurate statewide registry of orders of protection and family offense warrants.

Automated access is now available to the Domestic Violence Registry System (DVS) database for all Supreme Court, Family Court and Criminal Court judges and Town and Village justices. The database collects and stores all domestic violence orders of protection and warrant information issued by the courts. The Registry is being accessed, along with other criminal history databases, for Special Victims Safety Checks in family and criminal courts to provide judges with complete and accurate family offense and criminal case history information.

### ***HOUSING COURT PROGRAM***

The New York City Housing Court is undergoing a dramatic change, pursuant to the court system's Housing Court Program. This court's role has changed since 1972, when it was established to enforce housing regulations. The court now handles large numbers of eviction proceedings, often involving self-represented litigants, which places an extra strain on personnel and judges and adds to the often confusing courthouse environment. The new program targets far-reaching, systemic areas of change in order to ensure dignity, efficiency and justice in a court that impacts so critically the daily lives of New Yorkers.

The Housing Court Program focuses on operational changes designed to replace a system of triage with orderly, efficient procedures. The reform effort has focused on establishing an effective process for case assignment and resolution through the creation of specialized resolution and trial ready parts; improved public access through the opening of Resource Centers and night parts; and enhanced judicial and nonjudicial resources to adequately address the tremendous volume of matters brought before this court.

- **Motion and Trial Ready Parts**, with manageable calendars are established to process motions and to ensure prompt commencement of trials.
- **Specialized Resolution Parts**, to effectively manage the settlement process for specific case types, including a Cooperative/Condominium Part and Rent Deposit Parts.
- **Housing Court Mediation Program**: Developed in conjunction with the Association of the Bar of the City of New York and the Queens Community Dispute Resolution Center, the Housing Court Mediation Program began operating in January 1998 in Queens and in June 1998 in Staten Island. Under the program, cases involving unrepresented parties are referred to the Mediation Coordinator for screening. If the parties consent to mediation, the case is sent to a trained volunteer mediator.
- **Resource Centers**: These centers are being established within the courthouses, staffed by Housing Court Counselors, to provide self-represented litigants with the information necessary to effectively use the court. Resource Centers offer small libraries and computers to aid self-represented litigants.
- **Improved Access for Litigants**: Along with the Resource Centers, several other efforts are underway to make the Housing Court more accessible to the public including the opening of Night Housing Court in Queens and Staten Island; extended hours of operation for Clerks' Offices; and a Volunteer Lawyers Project

established to pair self-represented litigants with attorneys who will provide advice to the litigant at the various stages of the court proceeding.

### ***CRIMINAL JUSTICE INITIATIVES***

Criminal Justice Initiatives have been established to promote more expeditious and effective case processing. Dedicated Domestic Violence Parts provide enhanced services to victims and strict judicial monitoring of offenders. Drug Treatment Courts expedite drug-related case processing and reduce re-arrests by diverting or sentencing offenders to supervised substance abuse treatment programs. Also, new arraignment procedures are in use in the New York City Criminal Court to assure compliance with the requirement that defendants be arraigned within 24 hours of arrest. A mobile trial judge team, consisting of experienced judges, is available to travel on short notice to any part of the State to try trial-ready cases. This program has significantly promoted the court system's goal of commencing criminal trials on schedule and within the six-month "standards and goals" time frame.

#### ***Special Domestic Violence Court Parts***

The Criminal Court of New York City has created special Domestic Violence Courts to enhance victim safety and increase the accountability of defendants. A model part has been established in Bronx County using funds provided through a Violence Against Women Federal Grant. In the 1999-2000 fiscal year, these parts will be established in the remaining counties of New York City. Domestic Violence Courts handle misdemeanor offenses and pre-indicted felony contempt cases based on violations of criminal court orders of protection. These parts feature a dedicated judge, who is able to use the court's authority to coordinate and monitor the responses of all of the criminal justice and social service agencies charged with addressing domestic violence. In addition, staff trained in family violence issues provide support to judges by assessing service needs and monitoring the compliance of offenders with court mandates. Also, technology and specially designed automated systems are used to provide rapid access to the information needed to effectively provide court oversight.

Kings County Supreme Court has been operating Domestic Violence Court parts for more than two years. These parts also feature intensive judicial supervision and monitoring of defendants charged with felony-level domestic violence offenses.

#### ***Drug Treatment Courts***

Drug Treatment Courts offer non-violent drug offenders the opportunity to participate in rehabilitation programs as an alternative to incarceration. The courts' guiding principle is that simply adjudicating these defendants without providing treatment does nothing to break the repeating cycle of drug abuse and arrest which brings defendants back into the criminal justice system.

In June 1996, New York's largest drug treatment court, the Brooklyn Treatment Court began operations. The Brooklyn Court targets felony offenders and provides early and continuous judicially-supervised substance abuse treatment, mandatory drug testing and related supportive services. The court utilizes a court-based central intake and case management system to facilitate early identification of substance abusing defendants and to help the court assess, match and monitor defendants at every stage of the criminal justice process. Key to the court's development was the creation of a comprehensive computer network that is designed to integrate information from criminal justice agencies, treatment providers and case managers. This system features an extensive database that stores information from a defendant's arrest to graduation and is used to facilitate the court's independent process and outcome evaluation.

In 1997, drug treatment courts became operational in the Niagara Falls and Ithaca City Courts. Queens, Bronx, Rensselaer and Oswego Counties have recently begun, or are about to begin, pilot operations for drug treatment courts. A combined effort in the Manhattan Supreme and Criminal courts targeted at felony offenders was begun in cooperation with the City of New York, which is providing significant funding.

To date, there are over 1,500 active participants in drug treatment court programs in New York State. More importantly, approximately 400 individuals have made major strides toward reclaiming their lives by successfully graduating from New York's drug treatment courts.

Drug Treatment Courts have primarily been funded through the federal Justice Department with nearly \$5.8 million in grant awards to date. Other federal funding and grants from local governments and non-governmental sources which have not come directly to the Unified Court System have also supported Drug Courts in several jurisdictions. State funding to provide for the local grant share and to support program coordinators is also provided from the Judiciary Budget. As federal grants supporting these programs expire during the next few fiscal years, continuation of funds, especially amounts being paid for treatment services, will increasingly need to be addressed in the State budget.

In 1998, several jurisdictions throughout New York State have been awarded Drug Court grants in the most recent round of Department of Justice funding. The awards include an enhancement grant to continue the Lackawanna Court, implementation grants to fully develop the Supreme and Criminal Courts in the Bronx and Queens, Rensselaer County/Troy City Courts, Oswego County Court, and Suffolk Family Treatment Court as well as a Drug Court in Manhattan Criminal Court for misdemeanor cases, and a joint award to the Niagara Falls and Tonawanda City Courts. In addition, planning grants were awarded to a regional coalition of the Albany City Court and local justice courts, to Fulton County for adult offenders, and to Buffalo City Court for juvenile offenders.

### ***New Arraignment Procedures***

Under New York law, a person who is arrested and charged with a crime must generally be arraigned within 24 hours. With cooperation from all participants in the process, the New York City Criminal Court has been able to routinely meet this 24 hour arraignment timeframe, making this part of the criminal justice system more efficient and consequently more just.

### ***Mobile Judges***

The Mobile Trial Judge Team consists of experienced judges, who travel on short notice to any part of the State to try trial ready cases. This program has significantly promoted the court system's goal of commencing criminal trials on schedule and within the six-month "standards and goals" time frame.

### ***CENTER FOR COURT INNOVATION***

The Center for Court Innovation is a unique public-private partnership created by the Unified Court System to foster innovation within its ranks. Through the Center, the court system continues its cutting-edge research into methods to improve the delivery of justice services. The Center's focus is on collaborative solutions and identification of community-based resources and partnerships that will enhance the effectiveness of court programs and services.

The Center for Court Innovation is a recent recipient of the Innovations in American Government Award, given in recognition of the Center's efforts in testing prototypes, including community courts, drug treatment programs and family violence intervention programs.

In recognition of the Court System's pioneering work to rethink the administration of justice, the U.S. Justice Department has asked the Center for Court Innovation to provide technical assistance to other states interested in court reform. The Center's assistance takes several forms: workshops, site visits, how-to manuals and an innovative website, *www.communitycourts.org*. Over the last year, the Center hosted more than 400 out-of-town visitors, representing 51 U.S. jurisdictions and 14 countries. Currently, 18 other jurisdictions are at work on replications of New York's community courts.

### **COMMUNITY COURTS**

The 1999-2000 Budget Request continues support for the Midtown Community Court and provides funding to establish new multi-jurisdictional community courts in the Red Hook community of Brooklyn and in upper Manhattan at the Harlem Community Justice Center. In addition, planning is underway for a Community Court to serve the Village of Hempstead in Nassau County.

#### ***Midtown Community Court***

The Midtown Community Court opened in the Fall of 1993 on West 54<sup>th</sup> Street in Manhattan. The court was designed to test a new strategy for combating and adjudicating quality-of-life crimes such as prostitution, shoplifting, minor drug possession, turnstile jumping and disorderly conduct that occur in the neighborhoods surrounding the court.

The court is equipped to sentence offenders to community-based alternatives to incarceration, and uses a wide array of sentencing options which are designed to restore the costs of crime to the victim and the community, and help divert offenders from further involvement with the criminal justice system. When appropriate, defendants are sentenced to a combination of community service, education and substance abuse treatment. Alternative dispute resolution services are also available. The court emphasizes the use of immediate on-site and neighborhood-based community service sanctions and social services.

An in-depth evaluation of the Midtown Community Court, prepared by the National Center for State Courts and the Center for Court Innovation, concluded that the Midtown Community Court had achieved its key operational objectives: to provide speedier justice, to make justice visible in the community where the crimes take place, to encourage enforcement of low-level crime, and to marshal the energy of local residents, organizations, and businesses to collaborate on developing community service and social service projects. Research also found that the court had a profound impact on the types of sentences handed out, more than doubling the frequency of community service and social service sentences, and significantly improving compliance with community service sentences.

#### ***Red Hook Community Justice Center***

The Red Hook Community Justice Center in Brooklyn, scheduled to open in the Summer of 1999, represents a new approach to justice. Building on the innovations of the Midtown Community Court, the Red Hook Community Justice Center will both respond constructively when crime occurs and work to prevent crime before it takes place. To meet the multi-faceted needs of Red Hook residents, the Justice Center will have a broad jurisdiction. It will adjudicate criminal cases occurring within the community, hear small

claims and landlord/tenant matters, and provide needed services to both victims of family violence and at-risk youth who are traditionally served by Family Courts. In addition, it will house a variety of treatment and prevention programs on-site, including drug treatment, job training, health care, counseling and education.

### ***Harlem Community Justice Center***

Planning efforts are also currently underway for the opening of the Harlem Community Justice Center early in 1999. The Harlem Community Justice Center will be a neighborhood-based court offering a coordinated response to youth crime and housing matters. The Justice Center will be housed in the newly renovated Harlem Courthouse on 121<sup>st</sup> Street between Third and Lexington Avenues. The first two components of the Harlem Justice Center will be a youth-run court and a housing resource center. The Youth Court will focus on low level offenses (violations, misdemeanors, non-violent felonies, and status offenses like truancy) that are frequently overlooked by the juvenile justice system. In addressing these transgressions through early intervention, the court will seek to nurture an appreciation for the role of law, the consequences of wrongdoing, and the benefits to be derived from law abiding behavior. Local youth will staff the court, serving as judges, jurors and attorneys. Sanctions will include community service, letters of apology and educational workshops.

The housing resource center will incorporate a range of services designed to provide information to tenants, landlords, and other members of the community related to housing code compliance, entitlements, and access to Housing Court. The resource center will seek to resolve matters without resort to the formal housing litigation process. In furtherance of that goal, the resource center will include a mediation program to address landlord/tenant disputes. The resource center will lay the foundation for a full fledged community based Housing Court, which, in conjunction with the other components of the Justice Center, will seek to fulfill the stated purpose of Housing Court: to preserve and enhance the neighborhood's housing stock.

### ***Village of Hempstead Community Court***

The Village of Hempstead Community Court, scheduled to begin operations in early 1999, will be modeled after New York City's Midtown Community Court's innovative approach to dealing with low-level crimes. In order to reduce the quality of life crimes and their impact on the community, the Hempstead Community Court will act as a gateway to drug and alcohol abuse treatment, medical services and psychiatric services. In addition, the Court will make justice more visible. A variety of community service punishments will be available to the Court at sentencing. By using these options, the community will be able to see that those who commit quality of life crimes in their neighborhood are being required to contribute back to their community. It is anticipated that these efforts will result in greater enforcement of low level crimes. Federal and other grant sources are being sought to support the opening of the Village of Hempstead Community Court.

## **CIVIL JUSTICE INITIATIVES**

### ***Streamlining Matrimonial Litigation***

A program to address matrimonial cases was initiated in November 1996 with the appointment of Supreme Court Justice Jacqueline W. Silbermann as the first Statewide Administrative Judge for Matrimonial Matters. Under Judge Silbermann's direction, the court system has provided strong leadership and specialized programs to expedite case

processing and make matrimonial litigation less painful for all parties. To date, improvements in the handling of matrimonials include:

- Creation of Dedicated Supreme Court Matrimonial Parts in all the counties of New York City, as well as in the upstate Supreme Courts in more than 20 counties.
- A Matrimonial Center being established in Nassau County Supreme Court (to open in early 1999) to provide a more effective way of dealing with the caseload and the needs of the litigants.
- Enforcement Parts established in major counties to provide an immediate judicial response to motions to enforce maintenance and support orders and to hear contempt applications stemming from court orders.
- Several computerized aids designed to assist matrimonial judges and their staffs, including an automated case management tracking system.

### ***Supreme Court Initiatives***

To address the complex and high-volume civil caseload in the Supreme Court, a number of initiatives have begun, including:

- Adoption of new Standards and Goals for civil cases. Standards and Goals now call for civil cases filed in the Supreme Court to be ready for trial within 12 months (for standard cases) or 15 months (for complex cases) of the filing of an RJI and for cases to be disposed within 12 months of the filing of a Note of Issue.
- The Supreme Court in Manhattan has established an "Office for the Self-Represented", which works to assure that self-represented litigants are provided appropriate assistance.
- The Kings County Supreme Court has been testing the differentiated case management approach to case processing. Dramatic increases in both pre-note and post-note settlements as well as the number of trials commenced have been realized through this effort.
- In Queens Supreme Court a complex has been created consisting of one Trial Assignment Part and two designated back-up parts to process cases in which New York City is the defendant.
- The increased use of Judicial Hearing Officers to hold settlement conferences to assist Supreme Court justices in disposing of the older cases in the civil caseload and to preside over the jury selection has significantly reduced the time needed to select juries. The 1999-2000 budget includes funds to allow retired senior judges to continue to address civil case backlogs and to expand their role in Family Court, domestic violence, and universal summons case resolution.

### ***Commercial Division***

The Commercial Division of the Supreme Court has been operating in New York County since 1995. The Division has five parts, a separate support office and a contiguous complement of courtrooms at the 60 Centre Street Courthouse. A Commercial Division Part has also been established in Monroe County. The Commercial Division, the nation's first general trial part devoted exclusively to business litigation, is able to provide greater efficiency, skill and speed in the disposition of matters, permitting dispositions at lower costs.

The Commercial Division in New York County has also instituted an Alternative Dispute Resolution (ADR) Program to offer litigants a choice of process and to reduce congested court calendars. Justices of the Division refer the parties to ADR using a list of volunteer neutrals. Proceedings in each case are stayed for a limited fixed period to accommodate the ADR process. An ADR advisory group, composed of attorneys experienced in business and commercial ADR, has also been established by the Commercial Division to assist

the court with implementation of ADR policies and to serve as a resource for volunteer neutrals.

By January 1999, a Commercial Part will be in operation in each of the Supreme Courts in Erie, Nassau and Westchester Counties.

### ***Alternative Dispute Resolution (ADR)***

A program of Alternative Dispute Resolution (ADR) initiatives and pilot projects has been undertaken by the court system to increase the number and availability of ADR options throughout the State. Tailored to local needs and conditions, the various initiatives continue the court system's ongoing efforts to explore the expanded use of ADR in ways that complement New York's many different legal environments. ADR programs include the following:

- In Nassau County, binding arbitration is now being offered for any civil case on the trial calendar in Supreme Court. Prior to jury selection the parties may elect to resolve their case through binding arbitration before a Judicial Hearing Officer in lieu of a trial.
- In Monroe County Supreme Court, a mediation program has been launched involving civil cases of all types (with the exception of cases involving domestic violence or child abuse) that will be handled by a corps of carefully recruited and thoroughly trained mediators drawn from the legal community and the ranks of professional mediators. The mediators assist the parties in reaching mutually agreeable solutions.
- The Suffolk County District Court has embarked on a program to test a mandatory arbitration program, beginning with the small claims parts in the outlying districts. Arbitrators recruited and trained by the Suffolk County Bar Association and Judicial Hearing Officers will handle the cases.
- The Orange County Supreme Court has established a mandatory mediation program for divorce cases where judges use discretion in referring cases to mediation and consider the parties' wishes to use the process.
- Erie County Supreme Court has created a multi-stop ADR program for personal injury matters of less than \$100,000, excluding professional liability, product liability and labor law cases. Once parties volunteer to participate in the program, they will undergo mediation, and if it is not resolved, the case will proceed to a pre-trial assessment before a Judge or Judicial Hearing Officer.
- In the Fifth Judicial District the Syracuse City Court has developed a mandatory arbitration program for cases under \$6,000 which is used once the note of issue is filed. These cases are sometimes referred from Onondaga Supreme Court. Parties can also voluntarily agree to use the program. The Small Claims Court also offers mediation to parties who cannot use Small Claims Court because they want property as opposed to money damages. This mediation program is essentially a referral to New Justice Services, the local community dispute resolution center. Rome and Utica City Courts also refer cases to their local community dispute resolution centers — the Oneida County Justice Center.
- The Housing Part of the New York City Civil Court has initiated a mediation program in Queens and Richmond Counties for cases in which both parties are self-represented. The court plans on expanding this pilot to Brooklyn during the 1999-2000 fiscal year.
- Other ongoing pilot programs in New York include the voluntary mediation of custody and visitation cases in more than 30 family courts throughout New York State, and mediation of minor attorney-client grievances through the four Appellate Divisions in New York State.
- An important component of the court system's ADR program is the Community Dispute Resolution Centers Program. These Centers are staffed by trained

volunteers and paid professional personnel who conduct mediations, conciliations, arbitrations and other related seminars, conferences and training sessions. They teach conflict management skills to young people in schools; mediate mobile park landlord and tenant disputes via a contract with the New York State Division of Housing and Community Renewal; serve parents, children and schools in Special Education cases, through the New York State Department of Education, and support Family Court mediation programs. In fiscal year 1997–98, the Centers served 89,554 people involved in 40,113 cases which were screened as appropriate for direct services. During this same period, 22,834 conciliations, mediations, and arbitrations which served 54,707 people were conducted. In 78 percent of the matters that reached the mediation stage, a voluntary agreement was achieved by the parties. As a result of these actions, New York State citizens were awarded more than \$4.5 million in the form of restitution and mutual agreements. The average state cost per case screened as appropriate for dispute resolution was \$85; the average state cost per conciliation, mediation and arbitration was \$146; and, the average state cost per individual directly served through the mediation program was \$37.

### **JURY SYSTEM REFORMS**

Following the report of the Jury Project, which advocated reforms to ensure the representativeness of juries, improve the efficiency of the jury system and provide a positive experience for the public as they serve as jurors, the court system has made significant strides in reducing the burdens of jury service and in improving diversity and size of juror pools in New York State. In the current fiscal year the Unified Court System will seek to maintain the momentum for reform through several initiatives including:

- **The Grand Jury Project:** The Chief Judge has commissioned a 33-member blue ribbon panel to undertake a comprehensive review of all operational aspects of the grand jury system. This committee is in the process of conducting hearings across the State to gather input for reform proposals in four key areas: (1) basic function and efficiency, (2) qualification and summoning, (3) selection and utilization, and (4) the jury experience.
- **Technology advancements:** including automated juror call-in systems, use of bar code summonses and enhanced duplication detection, pilot testing of attendance scanning systems and one-step summoning.
- **Public awareness efforts:** including provision of a new handbook for grand jurors and a grand jury orientation film similar to those used for petit juror orientation, and a first ever statistical study of the criminal jury selection system to identify best judicial practices and needed legislative reforms.

Statutory reforms enacted and implemented in recent years have included revisions to the Judiciary Law to eliminate automatic disqualifications and occupational exemptions from jury service. The revised law presumes all citizens are capable of jury service who are at least 18 years old, who can communicate in English and who have not been convicted of a felony. A key proposal of the Jury Project — increased jury compensation — has also been authorized by the Legislature and juror per diem rates are now \$40, consistent with the daily rate paid to jurors in federal courts.

The Unified Court System also will continue administrative improvements to the jury program. Administrative and operational reforms implemented to date include:

- Enhancement of the quality of juror source lists to improve the rate of delivery of qualification questionnaires;
- Adoption of the use of a non-permanent qualified list on a Statewide basis to broaden the range of opportunities for service;
- Institution of automated follow-up procedures with potential jurors who fail to respond to questionnaires;

## **JUDICIARY**

---

- Adoption of guidelines for postponement or excusal from jury service, which in many locations can be done automatically via a 24-hour telephone line;
- Reduction of the terms of service for jurors, with the standard of one day/one trial now in place in 58 of the 62 counties in the State;
- Improvement in the timely payment to jurors through use of the Quick Pay voucher system where checks are produced within 24 hours of electronic certification;
- Improved citizen awareness about the importance of jury service via a public awareness campaign that has included the distribution of posters and informational brochures, and establishment of a toll-free telephone line to assist with questions and complaints; and
- Provision of a new juror handbook and presentation of an award-winning orientation video to jurors summoned for petit jury service.

### **COURT INFORMATION AND TECHNOLOGY**

The creation and management of information and records is one of the principal activities performed in the trial courts of the Unified Court System in support of case disposition and administrative processes. Information and records management functions include the review of case initiation papers and the opening of case files; case indexing, docketing and scheduling; the production of court calendars; case inquiries; the processing of case-related notices, orders, applications and motions; the collection of fees, fines, bail and other costs; the transmission of case records from place to place in courthouses; the processing of records on appeal; the storage and retrieval of case records and exhibits; the creation of reports on caseload activity and the status of case inventories; the production and processing of juror qualification questionnaires and summonses; the maintenance of juror service records; the payment of jurors; the reporting of criminal case disposition information to the Executive Branch; text-editing, and the exchange and processing of mail. Budget, fiscal and personnel administration and legal research services are also major functions performed to support case processing.

The court system currently creates nearly four million new case files each year and stores more than a million cubic feet of records. Its manual paper processing operations are labor-intensive, and costly in terms of human resources and space for storage. Seeking to improve and expedite the flow of information throughout the courts and to reduce the costs of records processing, storage and retrieval, the Unified Court System relies extensively on automated technology including centralized case management systems, CourtNet, and automated databases that utilize mainframe technology, microcomputers and local area networks.

#### **CourtNet**

The court system's mission is the fair and equitable administration of justice. Automation, properly implemented, assists in achieving that goal by permitting efficient case management and administration through electronic processing and exchange of information.

During the past two years, the Unified Court System has focused its automation efforts on the completion of CourtNet, a UCS Wide Area Network and on providing electronic access to that Network for the delivery of necessary information about cases to the judges and court personnel who need it for case processing. The completion of UCS CourtNet involves:

- Wiring of all courthouses in New York State — 350 locations will be wired with approximately 25,000 cable drops assuring an automation outlet at almost every desk in each courthouse. In addition, all courtrooms will be wired with an outlet at the bench, clerk, court reporter, jury box and counsel tables.

- The placement of hubs, routers, file servers and other communication equipment to connect the individual locations with each other. While these items have a shorter technological useable life than the wire, they can be easily upgraded as the need arises.
- Purchase of laptop computers, as necessary, for judges in the Unified Court System. The laptops will be used on the bench, in chambers and at other locations to assist the judges in managing their caseloads. Licenses for off-the-shelf software such as GroupWise, WordPerfect Suite and Novell Network will be purchased for these laptops as well as the desktop computers described below.
- Purchase and installation of over 8,000 desktop computers and file servers for court system staff.
- Expansion of current electronic mail capabilities, faxing from individual computers and electronic document and forms distribution.

To finance major technology improvements, agreement was reached with the Legislature to fund a multi-year automation initiative through Certificates of Participation (COPS) which would provide for the new computer hardware, courthouse wiring and communication device purchases necessary to meet the court system's goals and objectives. Funds through COPS to establish the Domestic Violence Registry were also targeted to meet the goals and objectives of the court system's automation strategy.

Significant progress has been made toward full implementation of the court system's automation initiative and CourtNet program. The Automaton Initiative is already bringing the benefits of desktop and benchtop computing, networking and e-mail to the judges and employees of the court system. Cabling of courthouses and administrative offices to provide electronic access to the court system's CourtNet is progressing rapidly. Through October 1998, over 1,200 laptops have been purchased and delivered, and most judges in the State now have a laptop computer connected to CourtNet by a "docking station" and 3,000 new, state-of-the-art, desktop computers have been distributed to every court and district across New York. By the fall of 1999, all but the smallest courts and offices should be wired and connected to CourtNet.

In the year ahead, many more miles of wire will be installed, more phone circuits brought online, and more routers will be routing information between the many courts and offices. The court system will also install many thousands more PCs with their supporting printers, scanners, and servers. This investment in infrastructure will be the backbone for providing new applications and information to the many diverse users and will help usher the court system into the next century.

### ***Universal Case Management System***

During the current fiscal year the court system began the analysis and design of a new universal case management system. This new trial court case processing and information system will take advantage of new technology and provide for access and uniformity across all computer platforms and court types. Reducing duplication of work and data sharing capability will be among the primary benefits of the new case management system.

The initial phase of this effort targets the Family Court. The Family Court application is a joint development effort of the staff of the Division of Technology and a committee comprised of Court Clerks from Family Courts throughout the State. This new system is being designed and implemented to take full advantage of CourtNet and will utilize Web technology. The system will provide standardized on-line documents, statistical reporting, automatic electronic transfer of case information between court jurisdictions and to other agencies concerned with family matters. The Statewide Family Court system will include a common database structure which will be distributed Statewide and serve as the basis for all future case management applications. This case management database and processing requirements will be extended to all court types in the future

## **JUDICIARY**

---

throughout the system. In the next phase of work on the Universal Case Management project, Supreme Court Civil, Civil Court and Criminal Court systems will be targeted. It is also the intention of the UCS to include an interface to the New York State Child Support Management System (CSMS).

### ***Year 2000 Compliance Effort (Y2K)***

One of the most important efforts now underway in the UCS Division of Technology is the Year 2000 Compliance project, an effort to ensure computer readiness for the Year 2000. For UCS mainframe applications, there are over 7,000 programs containing over 4 million lines of code that need to be compliant. Considerable progress has been made in a cost effective manner by the Division through reliance on extra service from experienced in-house staff and minimal use of consulting. Division staff have completed inventorying and prioritizing systems changes that are critical to operations and have been modifying programs as necessary.

During the current fiscal year, compliance will be achieved for the systems that support case management in Supreme Court Civil, Family Courts and Housing Court as well as the Jury Management System and Judgement Docket Lien Book. In the 1999-2000 fiscal year, compliance will be achieved in Criminal Case processing applications and for the Case Activity Reporting System. These latter projects will be completed through outsourcing and funds will be required in the upcoming budget for this final stage of the Y2K effort.

Installation of new PCs and file servers and updates to software through automation initiative resources will address these problems in many but not all locations across the State. Older PCs that are not compliant will be identified through testing in the year ahead and hardware that is not compliant will be replaced, as will non-compliant software versions. Equipment needs identified through Division of Technology review of PC/Server platforms will be addressed from existing CourtNet resources and through a final phase of COPs automation initiative funding that is being sought in the 1999-2000 budget request.

### ***Town and Village Courts Access to Centralized Databases***

There are approximately 2,300 town and village courts, as well as remote chambers throughout the State, that frequently need information from the court system and other electronic State databases. Town and Village judges play an important role in the adjudication process and the information about their cases, i.e. dispositions need to be transmitted to the proper authorities. In addition, a case transferred to another court and the disposition of that case from the receiving court should be transmitted to the initial court for completion of their records. Inquiry into information which is stored on ours as well as other agencies' histories should also be made available to the magistrates. Information from the Office of the State Comptroller, the Department of Motor Vehicles and the Department of Criminal Justice Services could be made available if the proper network were in place to support such information sharing. Resources are being sought in this budget to begin an effort to provide Town and Village Courts with cost effective access to automated databases. Funds being sought in this budget will address the needs of approximately 750 local Town and Village Courts.

### ***Automation — New Resources***

The 1999-2000 budget provides an additional phase of COPS funding to finance \$3 million for specialized automation improvements for the court system including resources for Town and Village Courts. This additional spending authority provides for purchases as follow: \$1.1 million related to Y2K equipment replacements and enhancements; \$500,000 for Court Innovation Projects, including Community Courts, Drug Treatment

Courts and Domestic Violence programs, \$1.0 million for equipment and cabling to allow for Town and Village Court CourtNet access to automated databases, and \$0.4 million for the purchase of a UPS System at the Rensselaer Technology Park Computer Center to ensure the reliability and efficiency of operations statewide.

### ***Libraries and Legal Reference Information***

There are currently 38 Supreme Court and 13 county-level law libraries in the Unified Court System. The primary function of these libraries is to provide legal reference services and materials in support of case resolution. In many cases, information and education services are also provided to attorneys and the general public.

To improve the access of attorneys and the general public to legal reference services and materials, Chapter 662 of the Laws of 1993 — the Court Libraries Act — requires each county to have a law library that is open to the public. The use and operation of each library is established by guidelines set by the Chief Administrative Judge. In addition, a four-member board of trustees for each library provides assistance to the Chief Administrative Judge on issues relating to operations. The Court of Appeals and Appellate Division libraries will continue under the supervision of the judges of those courts.

Given the expanding clientele that the law libraries serve, the increasing scope and complexity of cases, increasing impact of inflation on the cost of legal reference materials and the limited fiscal resources available for such materials, it becomes a constant challenge for library managers to provide the most recent and up-to-date legal reference tools. In recent years, access to legal reference materials via electronic sources has been the tool most widely used by librarians to provide up-to-date legal reference resources at a manageable cost. In addition to traditional print and microform resources, materials are now accessed using automated database systems and CD-ROM technology. These automated legal reference systems allow users electronic access via a personal computer to materials not available in chambers or library collections.

These electronic databases are cost effective in the provision of legal reference materials, but require access to computer hardware and software. The availability of microcomputers in all law libraries and chambers is, therefore, a prerequisite to the use of electronic legal reference resources.

Another electronic legal reference tool being utilized by the court system is the On-line Computer Library Center (OCLC), an international library and research service, which improves legal reference access by providing participants on-line listings of the collections of other libraries in the system. It is the goal of the Unified Court System to convert all library and combined chambers collections to OCLC format. Once complete, a central database of all library holdings will be made available to law libraries to facilitate the sharing of limited resources.

Technology to carry out the goals of the Law Library Program is being provided to libraries as funds permit. Equipment for each library, such as workstations, file servers, printers, CD-ROM towers and modems, will be tied into building networks under development to reduce reliance on printed materials and reduce the need for multiple copies of CD-ROM material at each court location. Electronic information will reduce reliance on printed sources, and, when fully implemented, provide offsetting cost reductions.

Also of note in the Law Library Program is the establishment of a new law library in the Rochester Hall of Justice. The Appellate Division Fourth Department plans to move its Rochester Law Library to a new complex in late 1998. At that time, conversion of the current law library in the Hall of Justice to a Supreme Court Law Library is planned. Accordingly, staff to operate the Supreme Court Law Library and nonpersonal service is reflected in the Trial Courts budget.

## **JUDICIARY**

---

### ***PERMANENT JUDICIAL COMMISSION ON JUSTICE FOR CHILDREN***

The budget continues funding for the Permanent Judicial Commission on Justice for Children. The Commission was established to achieve a consensus regarding the need for systematic change in the Family Courts and the entire juvenile justice system. The Commission seeks to draw together representatives of the Judiciary, the Legislature, State and local government agencies, voluntary agencies, public service organizations, bar associations and existing task forces, commissions and advisory groups.

This budget provides for staff support to the Commission and travel costs of Commission members. The Commission's staff oversees the administration of the courts' child care centers grants and projects funded through federal grants, including the expansion of child care services to additional court locations. The Commission has also secured a Federal grant award to assess foster care and adoption proceedings and to develop and implement improvements.

Through the New York State's Permanent Judicial Commission on Justice for Children, the UCS has established the nation's first statewide system of Children's Centers in the courts. A total of 19 Children's Centers are now operated by not-for-profit agencies under contract with the court system to provide a safe, supervised and supportive environment. Three nursery sites are also supervised by court personnel. The Centers, which served over 40,000 children in 1997, provide vital connections to Head Start and other social service agencies. The Commission also coordinates with providers of auxiliary services such as nutrition, health screening and immunization services to make these services available to the children served by the court system's child care centers. The Commission is continuing to build the statewide system of Children's Centers, with possible expansion to additional court locations by the end of the current fiscal year.

### ***JUDICIAL COMMISSION ON MINORITIES***

The Unified Court System is committed to assuring fair and equal treatment of all individuals. To this goal, the Franklin H. Williams Judicial Commission on Minorities was established in 1991 to examine the treatment accorded minority lawyers, court personnel, judges and litigants within the court system.

The Commission is focusing on several issues, including the participation of minorities in the jury process, the number of minority judges and justices in the State courts, the awareness of the bench and bar of alternatives to incarceration, and the access to the courts by non-English speaking persons.

### ***JUDICIAL COMMITTEE ON WOMEN IN THE COURTS***

The New York Judicial Committee on Women in the Courts has continued to develop system-wide solutions to assure fair treatment for women litigants, attorneys and court personnel to eliminate gender bias in the justice system.

The Committee has adopted various strategies for reaching ingrained biases. Education remains an important tool — education for judges, nonjudicial personnel and the public. Increasingly important are local gender bias committees under the auspices of Administrative Judges that can address the particular issues in their courts and draw on local institutions for solutions.

### ***JUDICIAL ADVISORY COUNCILS***

In 1993 and 1994, Judicial Advisory Councils were established in four localities of the State to work with the Administrative Judges to make the courts more responsive to community needs. This initiative was undertaken in connection a larger project

sponsored by the Conference of Chief Justices, the Conference of State Court Administrators, and the National Center for State Courts, designed to enhance citizen involvement in the courts as a method to build respect, confidence and support for the Judiciary. The four states participating in the project are New Jersey, New York, Tennessee and Washington. The pilot sites for the project in New York are Nassau County, Queens County and the Seventh and Eighth Judicial Districts. Each of the Judicial Advisory Councils focuses on issues of concern to the local community.

Issues addressed by the Eighth Judicial District Advisory Council include the understanding of the Judiciary by the media and the public at large, and improving court facilities in Erie County. The Judicial Advisory Council for the Seventh Judicial District has completed the restructuring of its court tours program, offered in conjunction with the Monroe County Bar Association, continued to operate "Teen Court" in Monroe County for youths charged with minor violations, worked to increase jury diversification, and began to study how to address youth violence and how the Monroe County Landlord-Tenant Court could be made more accessible.

The Council for the Tenth Judicial District investigated the possibility of creating a community court in Hempstead, finalized a plan for a children's center in the Nassau County District Court, sought to improve the conditions of jury service and worked to beautify the Supreme Court building in Mineola through improved landscaping. Similarly, the Judicial Advisory Council for Queens has enhanced the appearance of the courthouses, provided educational programs for Queens citizens, and collaborated with the Queens County Clerk to facilitate improvement of the juror experience.

### **EDUCATION AND TRAINING**

The Judiciary will continue to provide a comprehensive education and training program for judges, justices and nonjudicial employees. The Education and Training and Career Services offices of the Human Resources Division conduct system-wide educational forums designed to enhance knowledge and skills and professional development within the court system. Programs will be provided for appellate judges and an expanded education seminar will be conducted for trial court judges and justices. Local magistrate training will also be continued. Program expenditures are also increased in this budget for the Capital Punishment Program and for matrimonial litigation training programs.

The nonjudicial training program includes annual seminars for clerks and nonjudicial associations, and basic courses for all employees such as Mission and Organization and Performance Evaluation. In addition, special skill courses such as Supervisory Training and Computer Skills and legal updates are offered annually. Next year's budget also seeks increased funding for executive management development and middle management skills seminars.

### **COURT FACILITIES PROGRAM**

When the State assumed the cost of operating county and city-level courts in 1977, the responsibility for providing and maintaining court facilities remained with local governments. Although some municipalities met that obligation adequately, many did not. The result was the deterioration of existing facilities and a failure to construct vitally needed new physical capacity to house the increased workload facing the courts. The Court Facilities Act, Chapter 825 of the Laws of 1987, was enacted as a comprehensive solution to the State's court facilities needs.

Under the Court Facilities Act, the provision and maintenance of adequate court facilities remains a responsibility of local government, but technical and financial assistance is provided to help local governments meet those needs. The Act required that cities and counties develop capital plans and submit the plans for approval to a Court Facilities

Capital Review Board, whose members are designated by the Judiciary, the Executive and both houses of the Legislature.

Under the Act, financial aid is available in the form of a subsidy to reduce the cost of borrowing money to finance court improvements. The subsidy ranges from 33 percent to 25 percent of interest costs, depending on the locality's relative taxing capacity.

To promote better maintenance of courtrooms and buildings, the Act established a second aid program to reimburse cities and counties for a portion of the operations and maintenance costs associated with court facilities. That subsidy has ranged from 25 percent to 10 percent, based on each local government's relative taxing capacity. Legislation was enacted in 1996 that will eventually provide for a 100 percent State subsidy for court cleaning and minor repairs. This legislation began to take effect in April 1998 and provides a net subsidy of 25 percent in the current year. In SFY 1999-2000, the subsidy rate rises to 50 percent; in SFY 2000-01, it rises to 75 percent; and in SFY 2001-02, it reaches 100 percent. To ensure that no local government suffered a loss of State aid during the transition years or even thereafter, a "hold harmless" proviso was enacted in 1998.

In 1995, the Court Facilities Act was amended to provide 100 percent State reimbursement to local governments for all capital and maintenance and operations costs associated with providing facilities for the Appellate Divisions. This extension of the aid program is enabling local governments that host appellate facilities, particularly Monroe County and New York City, to plan and implement needed facilities expansions without incurring a financial burden for facilities used by residents of surrounding counties as well as their own.

Despite the fiscal difficulties of the early 1990s, most local governments responded positively to the Court Facilities program. All 119 cities and counties have submitted Capital Plans; all have been reviewed and received at least initial approval. These plans call for \$3.4 billion in total court facilities improvements over a twenty year period that began in 1990. The New York City Plan alone represents over \$2 billion of that total.

By the end of 1998, 51 cities and 36 counties will have substantially completed their Capital Plans, resulting in scores of upgraded, renovated and expanded or new courthouses. Several major new facilities are under construction. Others are in design and will be built over the next few years. A few localities are still in the planning stage for needed improvements and some others are considering new alternatives in instances where projects could not be advanced, usually for site-specific reasons. Most of the projects that have been completed were built on a timely basis and within budget — a substantial achievement for public construction.

### ***CITY, TOWN AND VILLAGE COURTS RESOURCE CENTER***

The Town and Village Courts Resource Center has been renamed The City, Town and Village Courts Resource Center to reflect its expanded mission — in addition to serving approximately 2,000 town and village justices and court personnel, the Resource Center is now available to offer advice and guidance to judges and staff of approximately 60 city courts throughout New York State.

The Resource Center answers questions and provides research on legal issues that arise under the jurisdiction of town, village and city courts. To date the Resource Center has answered over 50,000 inquiries.

The Resource Center also keeps the justice courts apprised of legislative and case law developments. Therefore, it is necessary to keep all Resource Center reference materials up-to-date. To that end, this budget includes funding for connections to the internet allowing access to the many legal publications and resources available on-line, and to allow city, town and village judges to reach the Resource Center via the information highway. The Resource Center also assists the courts with administrative issues, such as questions concerning court facilities, acquisition of new equipment and record keeping.

Such assistance to the justice courts throughout New York State usually requires a visit to the court by a court analyst. Legal issues are often raised during court calendars or trials, most of which are held in the evening hours in the justice courts and a pager system is now used to allow judges to contact a Resource Center attorney during the evening hours.

# 1999-2000 JUDICIARY BUDGET REQUEST

## ANALYSIS OF CHANGE

The Judiciary's 1999-2000 Court and Agency Operations - General Fund base budget increase totals \$47.9 million. The chief components of the base change in the Court and Agency Operations - General Fund budget include:

- a salary increase for judges and justices of the Unified Court System pursuant to proposed legislation; \$26.0 million
- salary increments to eligible nonjudicial employees as provided by collective bargaining contracts; \$9.6 million
- temporary service and overtime increases to support current usage; \$2.6 million
- annualization of the October 1, 1998, 3 percent nonjudicial salary increase offset by annualized savings from the 1997-98 and 1998-99 Early Retirement Incentive programs and retroactive collective bargaining costs, normal attrition and other non-recurring costs; \$-9.1 million
- funding to meet the full annual cost of new judgeships established during the 1998 legislative session and made effective on January 1, 1999; \$1.3 million
- a net increase of 17 certificated justices pursuant to section 115 of the Judiciary Law; \$3.5 million
- funding for the full annual cost of 347 new nonjudicial positions approved by the Legislature in the current fiscal year; \$7.8 million
- Law Guardian Program increases in Legal Aid contracts (\$2.2 million), and Law Guardian vouchers (\$1.3 million) to address increases in law guardian assignments; \$3.5 million
- Judicial Hearing Officer (JHO) funding increase required to address current and projected caseloads; \$.7 million
- costs associated with the production of transcripts; \$.6 million
- cost increases specific to legal reference (based on inflation and major law changes) purchases and updates required to keep collections current; and computer assisted legal reference (CALR) usage; \$1.5 million
- contract security increase amounts necessary for annualization of contract staffing levels approved in 1998-99 and to pay for collective bargaining increases approved or anticipated to be approved by local governments; \$1.0 million
- education and training costs to support current judicial education, nonjudicial training and career services programs, including modest expansion of the Judicial Education Programs; \$.5 million
- contractual services increases for the Community Dispute Resolution Program grants to existing centers; \$.2 million
- an increase in jury per diem fees to reflect projected juror days; \$.6 million
- funds for increased postage costs required for jury reforms and a prospective rate increase; \$.5 million
- reduction in equipment; -\$5.8 million
- payment of per diem expenses for court reporting, court interpreting, and similar services; \$1.0 million
- increased costs for maintenance of equipment, particularly for automation equipment associated with "CourtNet" expansion; \$.5 million
- cost associated with the operations of Community Courts; \$.2 million
- cost associated with the State share of Drug Court funding; \$.4 million
- workload and inflation increases; \$.8 million

The Judiciary General Fund - Court and Agency Operations Budget includes \$7.9 million for resource requests to continue key Judiciary initiatives. The proposals are directed to meeting specific objectives in priority areas including the court system's Family

Justice Program, Domestic Violence Program, Housing Court Program, Civil Justice Program, City Courts and the expansion and improvement of court automation systems and security services. Funds requested in the Judiciary budget include:

- **Family Justice Initiatives:** Funds for personnel and related costs to address family offense and child support related increases; \$.6 million
- **Criminal and Family Case (Domestic Violence) Workload Initiatives:** Increases are requested for Domestic Violence related criminal parts and in Family Courts; \$.1 million
- **Housing Court Initiatives:** Funds for personnel and related costs to address a major New York City Housing Court Initiative; \$.2 million
- **Civil Justice:** Funds for personnel and related costs associated with Supreme Civil workload; \$.2 million
- **City Courts:** Funds for personnel and related costs for the continued implementation of the "FACCS" and District Court Committee recommendations for the City and District Courts; \$.2 million
- **Jury:** Funds for personnel and jury improvements including technology to enhance the juror qualification, summoning and attendance process; \$.5 million
- **Community Courts:** Funds for personnel for the Red Hook and Harlem Justice Centers; \$.9 million
- **Appellate Workload:** Funds for personnel and related costs to address Appellate Court and Auxiliary agency workload related needs; \$.3 million
- **Automation:** The request includes \$.6 in COPS financing for the Year 2000 Compliance Program; Town and Village Court CourtNet access, and \$.3 million for Appellate Court and Auxiliary agency initiatives; \$.9 million
- **Court Security Enhancements:** A request is made for additional contractual security personnel (\$.4 million), court officer positions (\$.5 million) and for essential security equipment (\$1.0 million); \$1.9 million
- **Furnishing and Equipment:** A request is made for COPS financing for a major project to upgrade and replace badly deteriorated furnishings and equipment; \$1.4 million
- **Space Renovation:** Funding is requested for renovations required in the Appellate Division - Third Department; \$.2 million
- **Mediation Project:** A request is made to expand the Family Court Mediation Project; \$.3 million.
- **Video Appearances:** Funding is requested to establish a video part in the Criminal Term of the New York County Supreme Court; \$.2 million

***THE JUDICIARY BUDGET 1999-2000***

Following is the Summary of the 1999-2000 fiscal requirements of the Judiciary as approved by the Court of Appeals and certified by Chief Judge Judith S. Kaye.

**UNIFIED COURT SYSTEM  
1999-2000 BUDGET REQUEST  
ALL FUNDS FISCAL REQUIREMENTS  
Major Purpose / Fund Summary**

<u>CATEGORY/FUND/MAJOR PURPOSE</u>	<u>AVAILABLE</u>	<u>REQUESTED</u>	<u>CHANGE</u>
PART 1:			
COURT & AGENCY OPERATIONS:			
Courts of Original Jurisdiction	906,252,596	929,253,172	23,000,576
Court of Appeals	10,336,906	10,415,089	78,183
Appellate Court Operations	46,026,463	48,537,011	2,510,548
Appellate Auxiliary Operations	59,653,735	64,307,304	4,653,569
Administration & General Support	15,780,544	15,701,167	(79,377)
Judiciary Wide Maintenance Undistributed	<u>3,376,239</u>	<u>29,020,036</u>	<u>25,643,797</u>
CT. & AG. OPERATIONS-GENERAL FUND-TOTAL	1,041,426,483	1,097,233,779	55,807,296
SPECIAL REVENUE FUND-FEDERAL			
Miscellaneous Federal Grants	4,290,000	6,900,000	2,610,000
SPECIAL REVENUE FUND-OTHER			
County Clerks Offset Fund	14,553,840	14,809,771	255,931
Data Processing Offset Fund	8,395,823	8,155,982	(239,841)
Tax Processing Fee Account	1,500,000	1,000,000	(500,000)
Miscellaneous Special Revenue Grants	710,000	1,140,000	430,000
Attorney Licensing Fund	13,886,820	14,636,680	749,860
Court Facilities Incentive Aid Fund	<u>1,306,054</u>	<u>1,164,636</u>	<u>(141,418)</u>
COURT & AGENCY-ALL FUNDS-TOTAL	1,086,069,020	1,145,040,848	58,971,828
PART 2:			
GENERAL STATE CHARGES			
General Fund	155,388,813	161,992,261	6,603,448
Lawyers' Fund-client Protection	98,000	98,000	0
Attorney Licensing Fund	1,956,597	1,795,596	(161,001)
Court Facilities Incentive Aid Fund	185,752	184,594	(1,158)
Data Processing Offset	0	1,543,877	1,543,877
NYC County Clerks Offset Fund	<u>2,270,813</u>	<u>2,198,346</u>	<u>(72,467)</u>
GENERAL STATE CHARGES-ALL FUNDS TOTAL	159,899,975	167,812,674	7,912,699
PART 3:			
LAWYERS' FUND-CLIENT PROTECTION			
Lawyers' Fund-Client Protection	<u>8,884,000</u>	<u>8,966,000</u>	<u>82,000</u>
LAWYERS' FUND-ALL FUNDS-TOTAL	8,884,000	8,966,000	82,000
PART 4:			
AID TO LOCALITIES			
General Fund-courts of Original Jurisdiction	0	500,000	500,000
Court Facilities Incentive Aid Fund	<u>38,600,000</u>	<u>40,037,000</u>	<u>1,437,000</u>
AID TO LOCALITIES - ALL FUNDS -TOTAL	38,600,000	40,537,000	1,937,000

# JUDICIARY

## UNIFIED COURT SYSTEM 1999-2000 BUDGET REQUEST ALL FUNDS FISCAL REQUIREMENTS Fund Detail

<u>CATEGORY/FUND/MAJOR PURPOSE</u>	<u>AVAILABLE</u>	<u>REQUESTED</u>	<u>CHANGE</u>
PART 1:			
COURT & AGENCY OPERATIONS:			
COURTS OF ORIGINAL JURISDICTION			
General Fund	906,252,596	929,253,172	23,000,576
Special Revenue Funds	<u>29,449,663</u>	<u>32,005,753</u>	<u>2,556,090</u>
TOTAL-ALL FUNDS	935,702,259	961,258,925	25,556,666
COURT OF APPEALS			
General Fund	10,336,906	10,415,089	78,183
Special Revenue Funds	<u>0</u>	<u>0</u>	<u>0</u>
TOTAL-ALL FUNDS	10,336,906	10,415,089	78,183
APPELLATE COURT OPERATIONS			
General Fund	46,026,463	48,537,011	2,510,548
Special Revenue Funds	<u>0</u>	<u>0</u>	<u>0</u>
TOTAL-ALL FUNDS	46,026,463	48,537,011	2,510,548
APPELLATE AUXILIARY OPERATIONS			
General Fund	59,653,735	64,307,304	4,653,569
Special Revenue Funds	<u>12,738,125</u>	<u>13,510,641</u>	<u>772,516</u>
TOTAL-ALL FUNDS	72,391,860	77,817,945	5,426,085
ADMINISTRATION & GENERAL SUPPORT			
General Fund	15,780,544	15,701,167	(79,377)
Special Revenue Funds	<u>2,054,749</u>	<u>1,890,675</u>	<u>(164,074)</u>
TOTAL-ALL FUNDS	17,835,293	17,591,842	(243,451)
JUDICIARY WIDE MAINTENANCE UNDISTRIBUTED			
General Fund	3,376,239	29,020,036	25,643,797
Special Revenue Funds	<u>400,000</u>	<u>400,000</u>	<u>0</u>
TOTAL-ALL FUNDS	3,776,239	29,420,036	25,643,797
COURT & AGENCY OPERATIONS - TOTAL			
General Fund	1,041,426,483	1,097,233,779	55,807,296
Special Revenue Funds	<u>44,642,537</u>	<u>47,807,069</u>	<u>3,164,532</u>
TOTAL-ALL FUNDS	1,086,069,020	1,145,040,848	58,971,828
PART 2:			
GENERAL STATE CHARGES			
EMPLOYEE FRINGE BENEFITS			
General Fund	155,388,813	161,992,261	6,603,448
Special Revenue Funds	<u>4,511,162</u>	<u>5,820,413</u>	<u>1,309,251</u>
TOTAL-ALL FUNDS	159,899,975	167,812,674	7,912,699

## JUDICIARY

<u>CATEGORY/FUND/MAJOR PURPOSE</u>	<u>AVAILABLE</u>	<u>REQUESTED</u>	<u>CHANGE</u>
PART 3:			
LAWYERS' FUND-CLIENT PROTECTION			
General Fund	0	0	0
Special Revenue Funds	<u>8,884,000</u>	<u>8,966,000</u>	<u>82,000</u>
TOTAL-ALL FUNDS	8,884,000	8,966,000	82,000
PART 4:			
AID TO LOCALITIES			
General Fund	0	500,000	500,000
Special Revenue Funds	<u>38,600,000</u>	<u>40,037,000</u>	<u>1,437,000</u>
TOTAL-ALL FUNDS	38,600,000	40,537,000	1,937,000



# ***THE LEGISLATURE***

The New York State Constitution vests the State's law-making power in a two-house Legislature composed of a 61-member Senate and a 150-member Assembly. Each representative is elected for two-year terms, with all 211 being elected every two years. The Legislature convenes annually on the first Wednesday after the first Monday in January and remains in session until it concludes its business.

The Legislature has many powers set by the State Constitution. These responsibilities include:

- the ability to propose laws;
- the power to override a gubernatorial veto if two-thirds of the Senate and Assembly vote to do so;
- the reapportionment of legislative and congressional districts every ten years after the national census;
- the confirmation by the Senate of gubernatorial appointments of non-elected state officials and court judges;
- the proposition of amendments to the State Constitution;
- voting on ratification of proposed amendments to the Federal Constitution; and
- the creation, regulation and, in some limited cases, abolition of local governments.

Subject to the limitations and prohibitions imposed by the Federal Constitution, certain Federal statutes and treaties, and the State Constitution, the law-making powers of the Legislature are practically unlimited. The principal purposes of bills considered by the Legislature are to:

- enact or amend laws relating to the government of the State and its various subdivisions;
- appropriate funds for the operation of the various agencies and functions of State government and for State aid to local governments, and to provide adequate revenue-producing sources for these purposes;
- provide for and regulate the operation of a judicial system, including the practices and procedures for the system;
- define acts or omissions that constitute crimes, and to provide penalties for these crimes;
- promote the public welfare, including the care of the State's indigent, mentally ill, unemployed, etc.; and
- correct, clarify, amend or repeal obsolete, conflicting, uncertain or invalidated statutes.

In addition to the Senate and Assembly, the Legislature's Budget authorizes funding for several other components which support the operations of the two houses, including:

- part of the Lieutenant Governor's office;
- fiscal committees operating in each house; and
- joint entities, including the Legislative Ethics Committee, Legislative Library, Legislative Health Services, Legislative Messenger Service, Legislative Bill Drafting Commission and the Legislative Task Force on Demographic Research and Reapportionment.

Each of these Legislative components will be discussed in separate sections below.

## ***LEGISLATIVE BUDGET HIGHLIGHTS***

The recommended General Fund appropriation of \$190,126,399 for fiscal year 1999-2000 for the Legislature represents a modest increase of \$5,529,290 or 3 percent above the amount appropriated for FY 1998-99. The Legislature's budget request for FY 1999-2000 represents an overall increase of less than 4 percent over the past nine years. Over this same period, the Consumer Price Index will have increased by 29 percent.

**Legislative Budget Summary  
General Fund Appropriations**

<u>Entity</u>	<u>Available FY 1998-1999</u>	<u>Recommended FY 1999-2000</u>	<u>Change</u>
Lt. Governor	\$244,489	\$244,489	\$0
Senate	\$73,156,364	\$75,358,635	+\$2,202,271
Assembly	\$86,944,277	\$89,561,614	+2,617,337
Fiscal Committees	\$9,613,106	\$9,902,496	+\$289,390
Joint Legislative Entities	\$14,638,873	\$15,059,165	+\$420,292
<b>LEGISLATURE TOTAL</b>	<b>\$184,597,109</b>	<b>\$190,126,399</b>	<b>+\$5,529,290</b>

**Legislative Budget History  
Fiscal Year 1990-1991 to 1999-2000  
General Fund Appropriations**

<u>FY 1990-1991 Appropriations</u>	<u>FY 1998-1999 Appropriations</u>	<u>FY 1999-2000 Recommended</u>	<u>Change from FY 1998-1999 Appropriations (%)</u>	<u>Change from FY 1990-1991 Appropriations (%)</u>
\$183,405,313	\$184,597,109	\$190,126,399	+\$5,529,290 (+3.00%)	+\$6,721,086 (+3.67%)

**Legislative Budget  
General Fund Appropriations Comparison to Consumer Price Index  
Fiscal Year 1990-1991 through Fiscal Year 1999-2000**

	<u>FY 1990-1991</u>	<u>FY 1998-1999</u>	<u>FY 1999-2000</u>	<u>% Change 1990-1991 to 1999-2000</u>
Legislative Budget	\$183,405,313	\$184,579,063	\$190,126,399	+3.67%
Consumer Price Index	138.5	173.6*	178.6*	+29.0%

\* estimated

The recommended Special Revenue Fund-Other appropriation of \$1,600,000 for FY 1999-2000 represents no change from the amount appropriated for FY 1998-99. No tax revenues are required for Special Revenue Funds.

The recommended Grants and Bequests Fund appropriation of \$500,000 for FY 1999-2000 represents no change from the amount appropriated for FY 1998-99. No tax revenues are required for Grants and Bequests Funds.

**LIEUTENANT GOVERNOR**

The Lieutenant Governor serves as the Senate's President and has a casting vote. The Lieutenant Governor's salary of \$110,000 appears as part of the Legislative Budget. The Legislature also funds a part of the Lieutenant Governor's Office.

**BUDGET HIGHLIGHTS**

The recommended appropriation of \$244,489 for fiscal year 1999-2000 for the Lieutenant Governor represents no change from the amount appropriated for FY 1998-99.

**SENATE**

The Senate is composed of 61 Members elected for two-year terms from districts around the state. Each Senator represents approximately 295,000 constituents. The Senate conducts its legislative business through the operation of 34 Standing Committees.

The Senate elects from among its Members for a two-year term a Temporary President who directs and guides the business of the Senate, appoints Members to Senate Standing Committees, and appoints the Senate's staff. The Temporary President serves as the presiding officer in the absence of the Lieutenant Governor or may delegate this duty to another Member. In addition, the Temporary President serves as the Majority Leader of the majority party, while the minority party of the Senate chooses a Minority Leader from among its membership.

Senate Members have staff to assist them in carrying out their legislative duties, delivering constituent services and, where applicable, in fulfilling their responsibilities as committee chairs or leaders of the Senate. Members are also provided with office space both in Albany and the district, as well as office equipment, furnishings and supplies, in order to serve their constituents. Travel expenses for approved official Senate business are reimbursable. The Majority and Minority Leaders each have staff to provide counsel, policy analysis, program development and Washington, D.C. representation. The Temporary President, through the Secretary of the Senate, employs staff to operate the Senate Chamber during session and to handle the legislative process during the remainder of the year, furnish research and computer services, and provide administrative services such as personnel, fiscal and maintenance services for the Senate. The Temporary President also has staff to deliver communications and printing services for the Senate. Finally, the Senate operates a program for college students which includes a Session Assistant program for undergraduates and a Student Fellows program for post-graduates who wish to learn about and experience the legislative process by working with Senate Members.

In addition to the Senate's General Fund appropriation, a Special Revenue Fund (Senate Recyclable Materials, Information Services and Conference Fund) has been established to collect revenues from the sale of recyclable materials, distribution of documents, materials and computerized information, and fees charged for conferences sponsored by the Senate. These revenues may be used to pay for waste disposal, production and distribution of Senate documents, materials and computerized information, and expenses related to conferences sponsored by the Senate. A Grants and Bequests Fund has also been established to receive non-state grants which may be used to pay for services and expenses related to the restoration of the Senate Chamber.

**BUDGET HIGHLIGHTS**

The recommended appropriation for the Senate of \$75,358,635 for FY 1999-2000 represents a modest 3.01 percent increase. The \$2,202,271 increase is needed to fund anticipated cost of living raises for Senate staff and to offset anticipated increases in the nonpersonal service sector due primarily to the new postal rates, inflationary pressure on the cost of the district office leases and supplies, and the installation of a new telecommunications network.

## LEGISLATURE

---

As detailed in the Table below, the Senate (including the Legislative Commissions for which funding was eliminated in the FY 1995-96 budget) has seen its budget increase by \$4,494,168 or 6.3 percent from the \$70,864,467 appropriated in FY 1990-91. Over the same period, the consumer price index has increased by 29 percent.

In the past four years, the Senate has reduced its staff by 323 employees or 17.7 percent, eliminated its Washington, D.C. and New York City office leases, closed approximately 20 district offices, and reduced the number of district-wide mailings allowed each Member. The Senate has also granted an across-the-board cost-of-living increase for its staff in only four of the past nine years. The Senate continued to tightly control its nonpersonal service expenses by restraining the purchasing of office supplies and furnishings, severely restricting travel, delaying essential equipment upgrades and reducing expenditures in other ways while the costs of these have continued to rise, often above the rate of inflation.

### Senate Budget History Fiscal Year 1990-1991 to 1999-2000 General Fund Appropriations

	<u>FY 1990-1991 Appropriations</u>	<u>FY 1998-1999 Available</u>	<u>FY 1999-2000 Recommended</u>	<u>Change from FY 1998-1999 (%)</u>	<u>Change from FY 1990-1991 (%)</u>
Senate Budget	\$67,238,167	\$73,156,364	\$75,358,635		
Senate Commissions	\$3,626,300	\$0	\$0		
<b>TOTAL</b>	<b>\$70,864,467</b>	<b>\$73,156,364</b>	<b>\$75,358,635</b>	<b>+\$2,202,271 (+3.01%)</b>	<b>+\$4,494,168 (+6.34%)</b>

## ASSEMBLY

The Assembly is composed of 150 members elected for two-year terms from districts around the state. Each Member of Assembly represents approximately 120,000 constituents. The Assembly conducts its legislative business through the operation of 36 standing committees.

The Assembly elects from among its members a Speaker who directs and guides the business of the Assembly, and appoints members to Assembly Standing Committees and Assembly leadership positions. The Speaker serves as the presiding officer of the Assembly. The minority party of the Assembly chooses a Minority Leader from their membership.

Each Member of Assembly is entitled to employ staff to assist them in carrying out their legislative duties and, where applicable, their responsibilities as Committee Chairs or leadership. Members are also provided with office space both in Albany and the district, as well as office equipment, furnishings and supplies, in order to serve their constituents. The State Constitution provides for reimbursement to Assembly Members for travel to the Capitol from their district, and Members and staff are also eligible for reimbursement of other travel related to legislative business. The Speaker of the Assembly and the Assembly Minority Leader employ staff to provide counsel, legislative program development and policy analysis. The Assembly also employs staff to serve the needs of the house, including the operation of the Assembly Chamber during session, the management of the legislative process, and research, communications and administrative services. The Assembly also administers an Intern Program to provide opportunities to undergraduate and graduate college students to learn about the legislative process while utilizing their skills to assist the Assembly Members in fulfilling their constitutional responsibilities.

In addition to the Assembly's General Fund appropriation, a Special Revenue Fund (Assembly Recyclable Materials, Information Services and Conference Fund) has been established to collect revenues from the sale of recyclable materials, distribution of documents, materials and computerized information, and fees charged for conferences sponsored by the Assembly. These revenues may be used to pay for waste disposal, production and distribution of Assembly documents, materials and computerized information, and expenses related to conferences sponsored by the Assembly. A Grants and Bequests Fund has also been established to receive non-state grants which may be used to pay for services and expenses related to the restoration of the Assembly Chamber.

**BUDGET HIGHLIGHTS**

The recommended appropriation for FY 1999-2000 of \$89,561,614 represents an increase of \$2,617,337 above the amount appropriated for FY 1998-99. This increase of 3.01 percent is required to fund anticipated increases in staff salaries and for other anticipated increases in non personal services expenditures.

Over the past nine years, as detailed below, the Assembly's budget (including Assembly Commissions for which funding was eliminated in FY 1995-96) has increased by 6.24 percent, while over the same period, the Consumer Price Index has increased by 29 percent. The Assembly has been able to keep its spending over the past nine years well below inflation by reducing the payroll for Assembly controlled entities by over 300 positions, the elimination of regional offices, and other operational savings.

**Assembly Budget History  
Fiscal Year 1990-1991 to 1999-2000  
General Fund Appropriations**

	<b>FY 1990-1991 Appropriations</b>	<b>FY 1998-1999 Available</b>	<b>FY 1999-2000 Recommended</b>	<b>Change from FY 1998-1999 (%)</b>	<b>Change from FY 1990-1991 (%)</b>
Assembly Budget	\$80,732,868	\$86,944,277	\$89,561,614		
Assembly Commissions	\$3,569,700	0	0		
<b>TOTAL</b>	<b>\$84,302,568</b>	<b>\$86,944,277</b>	<b>\$89,561,614</b>	<b>+\$2,617,337 (+3.01%)</b>	<b>+\$5,259,046 (+6.24%)</b>

**FISCAL COMMITTEES**

The Governor's annual budget bills and the budgetary proposals for the Legislature and Judiciary are referred to these committees when introduced and are reported by them, with recommendations, to the Legislature. Designated representatives of the committees are entitled, by constitutional provisions, to attend the required hearings for the preparation of the budget and to make inquiry concerning any part thereof. These committees also consider all bills introduced in the Legislature carrying appropriations or providing for the expenditures of public money.

In addition, pursuant to the provisions of section 122-a of the State Finance Law, the Chairmen and ranking Minority Members of the Senate Finance Committee and the Assembly Ways and Means Committee function as an Audit Committee. The responsibilities of the Audit Committee include the selection of an independent certified public accountant to conduct an independent audit of the state's annual financial statements, receiving the results of such independent audit, and submitting the certification

## **LEGISLATURE**

---

received from the independent certified public accountant to the State Comptroller for inclusion in the annual financial report required pursuant to section 8 of the State Finance Law.

### ***BUDGET HIGHLIGHTS***

The recommended appropriation of \$4,951,248 for fiscal year 1999-2000 for both the Senate Finance Committee and the Assembly Ways and Means Committee represents an increase of \$144,695 above the amount appropriated for FY 1998-99.

## **JOINT ENTITIES AND DUES PAYMENTS**

### ***LEGISLATIVE ETHICS COMMITTEE***

The Legislative Ethics Committee was created by Chapter 813 of the laws of 1987 and is a joint bipartisan committee authorized by law to act on matters arising out of Public Officers Law Sections 73, 73-a and 74, as applied to the legislative branch, and Legislative Law Section 80. The Committee is authorized by law to distribute, collect and review financial disclosure statements from legislators, employees and candidates for legislative office. The Committee renders formal advice on the law and investigates violations of the law, which are subject to civil and criminal penalties. The Legislative Ethics Committee is also required to adopt policies, guidelines, rules, and regulations to interpret and administer the legislative ethics laws. The eight-member committee is comprised of two members each from the Senate and Assembly majority and minority parties.

### ***Budget Highlights***

The recommended appropriation of \$370,000 for FY 1999-2000 for the Legislative Ethics Committee represents no change from the amount appropriated for FY 1998-99.

### ***LEGISLATIVE HEALTH SERVICE***

Section 7-b of the Legislative Law provides for a legislative emergency health station for the use of members and employees of the Legislature and legislative correspondents. This station is to be under the direction of a registered nurse and suitably and adequately equipped to administer first aid whenever needed.

### ***Budget Highlights***

The recommended appropriation of \$172,114 for FY 1999-2000 for the Legislative Health Service represents an increase of \$5,013 above the amount appropriated for FY 1998-99.

### ***LEGISLATIVE LIBRARY***

Section 7-a of the Legislative Law provides for a Legislative Library to be located in the State Capitol, conveniently accessible to the members of both houses of the Legislature. The Legislative Library is the Library of Record for the Legislature. The Legislative Library is open throughout the year and all hours that the Legislature is actively in session, and provides general information services to legislators and their staffs with a collection emphasis on legal materials.

***Budget Highlights***

The recommended appropriation of \$712,635 for FY 1999-2000 for the Legislative Library represents an increase of \$20,756 from the amount appropriated for FY 1997-98.

***LEGISLATIVE MESSENGER SERVICE***

The Legislative Messenger Service provides a communications network throughout the Empire State Plaza and neighboring state buildings for Senate and Assembly legislators and their staffs. The service employs and trains individuals with disabilities as office personnel and messengers, and is located in the Legislative Office Building.

***Budget Highlights***

The recommended appropriation of \$662,639 for FY 1999-2000 represents an increase of \$19,300 above the amount appropriated for FY 1998-99.

***LEGISLATIVE BILL DRAFTING COMMISSION***

The Legislative Bill Drafting Commission is composed of two commissioners jointly appointed by the Temporary President of the Senate and the Speaker of the Assembly. The Commission is mandated to draft or aid in the drafting of legislative bills and resolutions at the request of members or committees of either house of the Legislature. The Commission, upon research and examination, may advise as to the constitutionality, consistency or effect of proposed legislation upon request of a member or committee of either house of the Legislature. The Commissioners direct a legal staff of attorneys and are supported by a data processing and technical staff.

The Commission also maintains and operates centralized data processing systems, programs and equipment for the operation of a bill status and statutory and other miscellaneous information retrieval system for the Legislature, including the creation of a databank containing the official statutes of the state and the text of the rules and regulations of state agencies as filed with the Secretary of State. The Commission's budget is used to pay for the cost of the Legislature's printing contract for the printing of bills, session laws, the classification of appropriations book (Black Book), Senate and Assembly Journals, and other miscellaneous legislative documents, and the printing, publication and distribution of the Legislative Digest.

The Commission receives revenues from the private sale of subscriptions to the Legislative Digest and to the Legislative Retrieval Service (LRS), which are deposited in a Special Revenue Fund known as the Legislative Computer Services Fund. These revenues are used to offset the costs of operating the Commission's data processing systems.

***Budget Highlights***

The recommended appropriation of \$11,349,467 for fiscal year 1999-2000 for the Legislative Bill Drafting Commission represents an increase of \$330,567 above the amount appropriated for FY 1998-99, which is required for anticipated increases in funding requirements.

An appropriation of \$1,500,000 for FY 1999-2000 is recommended for the Legislative Computer Services Fund. This recommended appropriation represents no change from the amount appropriated for FY 1998-99. No tax revenues are required for this Fund.

## **LEGISLATURE**

---

### **LEGISLATIVE TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT**

The Task Force on Demographic Research and Reapportionment was established by Chapter 45 of the laws of 1978 to research and study the techniques and methodologies used by the U.S. Commerce Departments' Bureau of the Census in carrying out the decennial federal census. The Task Force aids the Legislature by providing technical plans for meeting the requirements of legislative timetables for the reapportionment of Senate, Assembly and Congressional districts. Using its Geographic Information System database, it also conducts research projects relating to the collection and use of census data and other statistical information.

The Task Force is also authorized to receive revenues from the sale of computer generated data and services for deposit in the Special Revenue Fund known as the Legislative Computer Services Fund. These funds may be used to offset the Task Force's cost of operating its data processing systems.

#### ***Budget Highlights***

The total recommended appropriation of \$1,533,194 for fiscal year 1999-2000 for the Legislative Task Force on Demographic Research and Reapportionment represents an increase of \$44,656 above the amount available for FY 1998-99.

### **NATIONAL CONFERENCE OF STATE LEGISLATURES DUES**

The National Conference of State Legislatures (NCSL) is a bi-partisan organization created to serve the legislators and staff of each State Legislature. NCSL provides research, technical assistance and the opportunity for policy makers to exchange ideas on the most pressing state issues.

New York's involvement with the NCSL is through the Assembly on the Legislature (AOL) and State-Federal Assembly (SFA). The AOL promotes the exchange of ideas and information on state issues among state legislatures. SFA informs legislators of developments in state-federal relations, identifies issues of critical concern and serves as a forum for discussion among its 50 state membership. All state legislators and their staff members are eligible to participate in the Conference and are entitled to the full use of its services.

NCSL is supported from dues assessed to each State Legislature, on the basis of state population totals.

#### ***Budget Highlights***

The recommended appropriation of \$259,116 for fiscal year 1999-2000 for the National Conference of State Legislatures dues represents no change from the amount appropriated for FY 1998-99.

**ALL FUNDS REQUIREMENTS FOR THE LEGISLATURE**

<u>Fund/Entity/Major Purpose</u>	<u>Available 1998-1999</u>	<u>Recommended 1999-2000</u>	<u>Change</u>
Lt. Governor	\$244,489	\$244,489	\$0
Senate	73,156,364	75,358,635	2,202,271
Assembly	86,944,277	89,561,614	2,617,337
Senate Finance Committee	4,806,553	4,951,248	144,695
Assembly Ways and Means Committee	4,806,553	4,951,248	144,695
Joint Entities:			
Legislative Ethics Commission	370,000	370,000	0
National Conference of State Legislatures Dues	259,116	259,116	0
Legislative Health Service	167,101	172,114	5,013
Legislative Library	691,879	712,635	20,756
Legislative Messenger Service	643,339	662,639	19,300
Legislative Bill Drafting Commission	11,018,900	11,349,467	330,567
Legislative Task Force on Demographic Research and Reapportionment	1,488,538	1,533,194	44,656
<b>Joint Entities Total</b>	<b><u>\$14,638,873</u></b>	<b><u>\$15,059,165</u></b>	<b><u>\$420,292</u></b>
<b>GENERAL FUND TOTAL</b>	<b><u>\$184,597,109</u></b>	<b><u>\$190,126,399</u></b>	<b><u>\$5,529,290</u></b>
Special Revenue Fund - Other:			
Legislative Computer Services Fund	\$1,500,000	\$1,500,000	\$0
Senate Recyclable Materials, Information Services and Conference Fund	50,000	50,000	0
Assembly Recyclable Materials, Information Services and Conference Fund	<u>50,000</u>	<u>50,000</u>	<u>0</u>
<b>SPECIAL REVENUE FUND TOTAL</b>	<b><u>\$1,600,000</u></b>	<b><u>\$1,600,000</u></b>	<b><u>\$0</u></b>
Grants and Bequests Fund:			
Restoration of Senate Chamber	\$250,000	\$250,000	\$0
Restoration of Assembly Chamber	<u>250,000</u>	<u>250,000</u>	<u>0</u>
<b>GRANTS AND BEQUESTS FUND TOTAL</b>	<b><u>\$500,000</u></b>	<b><u>\$500,000</u></b>	<b><u>\$0</u></b>

**SCHEDULE OF APPROPRIATIONS**

<u>Title of Appropriation</u>	<u>Appropriated for 1998-1999</u>	<u>Requested for 1999-2000</u>	<u>Change</u>
<b>OFFICE OF THE LIEUTENANT GOVERNOR</b>			
Lieutenant Governor .....	\$110,000	\$110,000	\$0
<b>Administration</b>			
For personal service of employees and for temporary and expert services .....	\$117,547	\$117,547	\$0
<b>Maintenance and Operation</b>			
For services and expenses of maintenance and operation (including liabilities incurred prior to April 1, 1998) .....	<u>\$16,942</u>	<u>\$16,942</u>	<u>\$0</u>
Total—Office of Lieutenant Governor .....	\$244,489	\$244,489	\$0

**THE SENATE**

<b>Personal Service</b>			
For payment of salaries to Members, 61, pursuant to section five of the Legislative Law .....	\$3,507,500	\$3,507,500	\$0
For payment of allowances to members designated by the temporary president, pursuant to the schedule of such allowances set forth in section 5-a of the legislative law .....	\$873,500	\$873,500	\$0
For personal service of employees and for temporary and expert services of majority leader and minority leader operations .....	\$8,522,400	\$8,820,872	\$298,472
For personal service of employees and for temporary and expert services of members' offices and of standing committees .....	\$25,868,839	\$26,775,149	\$906,310
For personal service of employees and for temporary and expert services for administrative support operations .....	\$12,630,249	\$13,072,907	\$442,658
For personal service of employees and for temporary and expert services for the senate student program office .....	\$423,738	\$438,569	\$14,831
For personal service of employees and for temporary and expert services for the senate select committee on interstate cooperation .....	\$78,983	\$78,983	\$0
For personal service of employees and for temporary and expert services for the senate special committee on the culture industry .....	\$78,983	\$78,983	\$0
For personal service of employees and for temporary and expert services for the senate select committee on the disabled .....	<u>\$116,150</u>	<u>\$116,150</u>	<u>\$0</u>
Total Personal Service .....	\$52,100,342	\$53,762,613	\$1,662,271

Title of Appropriation	Appropriated for 1998-1999	Requested for 1999-2000	Change
<b>Nonpersonal Service</b>			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 1998)			
Non-employee services .....	\$351,022	\$351,022	\$0
Supplies and Materials .....	\$2,150,000	\$2,200,000	\$50,000
Travel .....	\$1,300,000	\$1,300,000	\$0
Rentals .....	\$1,450,000	\$1,450,000	\$0
Equipment maintenance and repairs .....	\$1,400,000	\$1,400,000	\$0
Office and space leases .....	\$3,000,000	\$3,090,000	\$90,000
Utilities .....	\$800,000	\$800,000	\$0
Postage and shipping .....	\$3,600,000	\$3,700,000	\$100,000
Printing .....	\$300,000	\$300,000	\$0
Telephone and telegraph .....	\$2,480,000	\$2,630,000	\$150,000
Miscellaneous contractual services .....	\$425,000	\$425,000	\$0
Equipment .....	<u>\$2,800,000</u>	<u>\$2,950,000</u>	<u>\$150,000</u>
Total Nonpersonal Service .....	\$20,056,022	\$20,596,022	\$540,000
<b>Maintenance Undistributed</b>			
For services and expenses, including travel outside the state .....	<u>\$1,000,000</u>	<u>\$1,000,000</u>	<u>\$0</u>
Grand Total—The Senate .....	<u>\$73,156,364</u>	<u>\$75,358,635</u>	<u>\$2,202,271</u>

**THE ASSEMBLY**

<b>Personal Service</b>			
Members, 150, payment of salaries pursuant to section five of the legislative law .....	\$8,625,000	\$8,625,000	\$0
For payment of allowances to members designated by the speaker .....	\$1,153,000	\$1,153,000	\$0
For personal service of employees and for temporary and expert services of members' offices and of standing committees and subcommittees .....	\$25,897,850	\$26,804,289	\$906,439
For personal service of employees and for temporary and expert services for administrative and program support operations .....	\$29,438,194	\$30,468,551	\$1,030,357
For the Assembly Intern and Youth Participation Program for personal service of employees and for temporary and expert services .....	<u>\$729,733</u>	<u>\$755,274</u>	<u>\$25,541</u>
Total Personal Service .....	\$65,843,777	\$67,806,114	\$1,962,337
<b>Nonpersonal Service</b>			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 1998)			
Non-employee services .....	\$65,000	\$65,000	\$0
Supplies and Materials .....	\$2,232,000	\$2,312,000	\$80,000

# LEGISLATURE

<u>Title of Appropriation</u>	<u>Appropriated for 1998-1999</u>	<u>Requested for 1999-2000</u>	<u>Change</u>
Travel .....	\$2,376,000	\$2,426,000	\$50,000
Rentals .....	\$1,235,000	\$1,255,000	\$20,000
Equipment maintenance and repairs .....	\$1,440,000	\$1,470,000	\$30,000
Office and space leases .....	\$4,532,000	\$4,632,000	\$100,000
Utilities .....	\$654,000	\$669,000	\$15,000
Postage and shipping .....	\$3,400,000	\$3,600,000	\$200,000
Printing .....	\$108,000	\$108,000	\$0
Telephone and telegraph .....	\$2,440,000	\$2,490,000	\$50,000
Miscellaneous contractual services .....	\$653,000	\$673,000	\$20,000
Equipment .....	<u>\$990,000</u>	<u>\$1,080,000</u>	<u>\$90,000</u>
Total Nonpersonal Service .....	\$20,125,000	\$20,780,000	\$655,000
<b>Maintenance Undistributed</b>			
For services and expenses, including travel outside the state .....	<u>\$975,500</u>	<u>\$975,500</u>	<u>\$0</u>
Grand Total—The Assembly .....	<u>\$86,944,277</u>	<u>\$89,561,614</u>	<u>\$2,617,337</u>

## SENATE FINANCE COMMITTEE

For personal service, temporary and special services (including liabilities incurred prior to April 1, 1998).	\$4,806,553	\$4,951,248	\$144,695
--	-------------	-------------	-----------

## ASSEMBLY WAYS & MEANS COMMITTEE

For personal service, temporary and special services (including liabilities incurred prior to April 1, 1998).	\$4,806,553	\$4,951,248	\$144,695
--	-------------	-------------	-----------

## SENATE AND ASSEMBLY JOINT ENTITIES

### LEGISLATIVE ETHICS COMMITTEE

For services and expenses of the legislative ethics committee pursuant to section 80 of the legislative law.	\$370,000	\$370,000	\$0
--	-----------	-----------	-----

## NATIONAL CONFERENCE OF STATE LEGISLATURES

For a contribution to the National Conference of State Legislatures .....	\$259,116	\$259,116	\$0
--	-----------	-----------	-----

## LEGISLATIVE HEALTH SERVICE

For services and expenses for the operation of the legislative health service .....	\$167,101	\$172,114	\$5,013
--	-----------	-----------	---------

## LEGISLATIVE LIBRARY

For services and expenses and for temporary and special services for the operation of the legislative library .	\$691,879	\$712,635	\$20,756
--	-----------	-----------	----------

Title of Appropriation	Appropriated for 1998-1999	Requested for 1999-2000	Change
------------------------	-------------------------------	----------------------------	--------

**LEGISLATIVE MESSENGER SERVICE**

For services and expenses for the operation of the legislative messenger service . . . . .	\$643,339	\$662,639	\$19,300
--	-----------	-----------	----------

**LEGISLATIVE BILL DRAFTING COMMISSION**

For services and expenses, temporary and special services, and for expenses of maintenance and operation

**Schedule**

Personal Service-Regular & Temporary . . . . .	\$7,258,316	\$7,512,883	\$254,567
Nonpersonal Service . . . . .	\$3,690,584	\$3,766,584	\$76,000
Legislative Digest Contract Administration . . . . .	\$238,000	\$238,000	\$0
Legislative Printing Contract Administration . . . . .	\$782,000	\$782,000	\$0
Total . . . . .	\$11,968,900	\$12,299,467	\$330,567
Less Transfer from Legislative Computer Services Fund . . . . .	(\$950,000)	(\$950,000)	\$0
Total available . . . . .	\$11,018,900	\$11,349,467	\$330,567

**LEG. TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT**

**Maintenance Undistributed**

For services and expenses (including liabilities incurred prior to April 1, 1998) of the task force for senate purposes . . . . .	\$309,591	\$318,879	\$9,288
For services and expenses (including liabilities incurred prior to April 1, 1998) of the task force for assembly purposes . . . . .	\$309,591	\$318,879	\$9,288
For services and expenses (including liabilities incurred prior to April 1, 1998) of the task force for joint operations . . . . .	\$869,356	\$895,436	\$26,080
Amount available . . . . .	\$1,488,538	\$1,533,194	\$44,656
Grand Total—Senate and Assembly Joint Entities . . . . .	\$14,638,873	\$15,059,165	\$420,292

**SPECIAL REVENUE FUND - OTHER  
LEGISLATIVE COMPUTER SERVICES FUND**

For services and expenses of the legislative computer services fund . . . . .	\$1,500,000	\$1,500,000	\$0
---	-------------	-------------	-----

**SENATE RECYCLABLE MATERIALS,  
INFORMATION SERVICES AND CONFERENCE FUND**

For services and expenses of the senate recyclable materials, information services and conference fund . . . . .	\$50,000	\$50,000	\$0
--	----------	----------	-----

# LEGISLATURE

---

<u>Title of Appropriation</u>	<u>Appropriated for 1998-1999</u>	<u>Requested for 1999-2000</u>	<u>Change</u>
-------------------------------	---------------------------------------	------------------------------------	---------------

**ASSEMBLY RECYCLABLE MATERIALS,  
INFORMATION SERVICES AND CONFERENCE FUND**

For services and expenses of the assembly recyclable materials, information services and conference fund .	\$50,000	\$50,000	\$0
--	----------	----------	-----

**GRANTS AND BEQUESTS FUND  
LEGISLATURE**

**THE SENATE**

**Maintenance Undistributed**

For services and expenses relative to restoration of the Senate Chamber and other purposes as funded by non-state grants . . . . .	\$250,000	\$250,000	\$0
--	-----------	-----------	-----

**THE ASSEMBLY**

**Maintenance Undistributed**

For services and expenses relative to restoration of the Assembly Chamber and other purposes as funded by non-state grants . . . . .	\$250,000	\$250,000	\$0
--	-----------	-----------	-----

# ***PART IV***

## ***SUMMARY OF APPROPRIATIONS***



# SUMMARY OF APPROPRIATIONS

## ALL FUNDS RECOMMENDED 1999-00 COMPARED TO 1998-99 ADJUSTED

	Total 1998-99 Adjusted Appropriations	1999-00 Recommended State Operations	1999-00 Recommended Aid to Localities	1999-00 Recommended Capital Projects	1999-00 Recommended Total	Change From 1998-99
Adirondack Park Agency	\$3,692,800	\$3,556,800	\$50,000	.....	\$3,606,800	-\$86,000
Advocate for Persons with Disabilities, Office of	1,782,000	1,687,000	.....	.....	1,687,000	-95,000
Aging, Office for the	176,258,483	13,971,000	155,457,000	.....	169,428,000	-6,830,483
Agriculture and Markets, Department of	82,738,600	70,526,600	12,199,800	\$3,078,000	85,804,400	+ 3,065,800
Alcoholic Beverage Control, Division of	11,640,200	13,702,400	.....	.....	13,702,400	+ 2,062,200
Arts, Council on the	49,003,000	8,628,000	41,495,000	.....	50,123,000	+ 1,120,000
Audit and Control, Department of	153,224,100	150,067,200	18,705,000	.....	168,772,200	+ 15,548,100
Banking Department	59,945,700	61,845,900	.....	.....	61,845,900	+ 1,900,200
Budget, Division of the	37,012,300	37,281,900	.....	.....	37,281,900	+ 269,600
Capital Defender Office	13,582,600	14,756,500	.....	.....	14,756,500	+ 1,173,900
Children and Families, Council on Children and Family Services, Department of	1,610,000 2,952,155,501	1,742,000 460,193,000	..... 2,948,075,900	..... 83,750,000	1,742,000 3,492,018,900	+ 132,000 + 539,863,399
City University of New York	2,765,346,331	1,029,000,000	689,964,000	.....	1,718,964,000	-1,046,382,331
Civil Service, Department of	54,672,500	54,032,200	.....	.....	54,032,200	-640,300
Consumer Protection Board, State	2,813,100	2,791,400	.....	.....	2,791,400	-21,700
Correction, Commission of	2,204,800	2,204,200	.....	.....	2,204,200	-600
Correctional Services, Department of	2,250,567,900	1,831,570,000	55,902,800	443,000,000	2,330,472,800	+ 79,904,900
Crime Victims Board	42,389,900	4,593,350	37,357,600	.....	41,950,950	-438,950
Criminal Justice Services, Division of Developmental Disabilities Planning Council	174,020,504 4,250,000	75,657,650 4,250,000	109,495,900 .....	..... .....	185,153,550 4,250,000	+ 11,133,046 .....
Domestic Violence, Office for the Prevention of	2,268,000	1,652,000	555,000	.....	2,207,000	-61,000
Economic Development, Department of	55,331,400	40,855,700	13,653,600	.....	54,509,300	-822,100
Education Department, State	15,367,671,537	303,634,800	16,247,026,300	909,000	16,551,570,100	+ 1,183,898,563
Elections, State Board of	3,107,300	3,107,000	.....	.....	3,107,000	-300
Empire State Development Corporation	135,767,600	.....	117,004,100	.....	117,004,100	-18,763,500
Employee Relations, Office of	6,162,000	6,281,800	.....	.....	6,281,800	+ 119,800
Energy Research and Development Authority, New York State	30,523,000	17,906,000	.....	12,617,000	30,523,000	.....
Environmental Conservation, Department of	904,702,802	351,986,000	532,800	663,597,000	1,016,115,800	+ 111,412,998
Environmental Facilities Corporation	7,129,400	6,863,800	.....	299,000	7,162,800	+ 33,400
Executive Chamber	12,376,000	16,089,400	.....	.....	16,089,400	+ 3,713,400
General Services, Office of	383,999,000	350,450,300	.....	95,800,000	446,250,300	+ 62,251,300
Greenway Heritage Conservancy for the Hudson River Valley	417,000	220,000	.....	.....	220,000	-197,000
Health, Department of	26,065,120,731	3,320,591,700	23,160,954,500	98,877,000	26,580,423,200	+ 515,302,469
Higher Education Services Corporation, New York State	847,246,200	87,887,000	624,083,000	.....	711,970,000	-135,276,200
Housing and Community Renewal, Division of	220,313,224	61,526,000	94,710,000	67,700,000	223,936,000	+ 3,622,776
Housing Finance Agency	775,000	.....	760,000	.....	760,000	-15,000
Mortgage Agency, State of New York	133,056,000	76,800,000	80,702,000	.....	157,502,000	+ 24,446,000
Hudson River Valley Greenway Communities Council	413,400	214,400	204,000	.....	418,400	+ 5,000
Human Rights, Division of	12,448,000	12,758,000	.....	.....	12,758,000	+ 310,000
Inspector General, Office of the	6,123,100	5,975,000	.....	.....	5,975,000	-148,100
Insurance Department	98,612,800	98,521,000	.....	.....	98,521,000	-91,800
Interest on Lawyer Account	15,966,000	999,900	14,950,000	.....	15,949,900	-16,100
Investigation, Temporary State Commission of	2,481,800	2,549,500	.....	.....	2,549,500	+ 67,700
Judicial Commissions	2,055,900	2,107,500	.....	.....	2,107,500	+ 51,600
Labor, Department of	3,461,413,700	3,008,464,000	510,789,700	.....	3,519,253,700	+ 57,840,000
Law, Department of	138,021,700	137,124,400	437,800	.....	137,562,200	-459,500
Lieutenant Governor, Office of the	353,600	457,200	.....	.....	457,200	+ 103,600
Lobbying, Temporary State Commission on	606,200	619,000	.....	.....	619,000	+ 12,800
Lottery, Division of the	105,305,000	108,709,400	.....	.....	108,709,400	+ 3,404,400
Mental Hygiene, Department of	17,736,000	.....	.....	.....	.....	-17,736,000
Mental Health, Office of	1,838,580,000	1,040,548,000	656,181,000	114,432,000	1,811,161,000	-27,419,000
Mental Retardation and Developmental Disabilities, Office of	2,025,394,700	1,024,745,000	980,118,000	61,381,000	2,066,244,000	+ 40,849,300

# SUMMARY OF APPROPRIATIONS

## ALL FUNDS RECOMMENDED 1999-00 COMPARED TO 1998-99 ADJUSTED

	Total 1998-99 Adjusted Appropriations	1999-00 Recommended State Operations	1999-00 Recommended Aid to Localities	1999-00 Recommended Capital Projects	1999-00 Recommended Total	Change From 1998-99
Alcoholism and Substance Abuse						
Services, Office of . . . . .	448,291,891	68,966,700	383,608,400	28,761,000	481,336,100	+ 33,044,209
Metropolitan Transportation Authority . . . . .	248,600,000	. . . . .	253,400,000	. . . . .	253,400,000	+ 4,800,000
Military and Naval Affairs, Division of . . . . .	325,763,400	53,157,500	7,150,000	8,925,000	69,232,500	-256,530,900
Motor Vehicles, Department of . . . . .	201,763,000	210,032,800	4,978,300	. . . . .	215,011,100	+ 13,248,100
Olympic Regional Development Authority . . . . .	6,529,000	4,322,000	. . . . .	2,317,000	6,639,000	+ 110,000
Parks, Recreation and Historic Preservation, Office of . . . . .	198,246,227	146,023,900	8,921,600	39,039,000	193,984,500	-4,261,727
Parole, Division of . . . . .	199,947,200	136,215,000	60,163,700	. . . . .	196,378,700	-3,568,500
Probation and Correctional Alternatives, Division of . . . . .	93,673,070	1,952,300	88,586,400	. . . . .	90,538,700	-3,134,370
Public Employment Relations Board . . . . .	3,419,600	3,499,900	. . . . .	. . . . .	3,499,900	+ 80,300
Public Service Department . . . . .	65,510,900	60,766,700	800,000	. . . . .	61,566,700	-3,944,200
Quality of Care for the Mentally Disabled, Commission on . . . . .	9,658,000	9,283,600	468,000	. . . . .	9,751,600	+ 93,600
Racing and Wagering Board, State . . . . .	14,944,607	16,767,300	1,700,000	. . . . .	18,467,300	+ 3,522,693
Real Property Services, Office of . . . . .	61,430,000	37,037,200	18,911,000	. . . . .	55,948,200	-5,481,800
Regulatory Reform, Governor's Office of Science and Technology Foundation, New York State . . . . .	2,743,300	2,468,800	. . . . .	. . . . .	2,468,800	-274,500
State, Department of . . . . .	26,793,000	. . . . .	24,045,000	. . . . .	24,045,000	-2,748,000
State Police, Division of . . . . .	105,162,408	43,487,800	53,400,000	1,317,000	98,204,800	-6,957,608
State University of New York . . . . .	375,381,500	393,378,500	. . . . .	2,000,000	395,378,500	+ 19,997,000
State University - Community Colleges . . . . .	5,425,242,100	3,193,603,000	294,164,600	. . . . .	3,487,767,600	-1,937,474,500
State University Construction Fund . . . . .	200,000,000	. . . . .	. . . . .	. . . . .	. . . . .	-200,000,000
Taxation and Finance, Department of . . . . .	9,400,000	9,400,000	. . . . .	. . . . .	9,400,000	. . . . .
Tax Appeals, Division of . . . . .	342,273,000	368,048,000	. . . . .	. . . . .	368,048,000	+ 25,775,000
Technology, Office for . . . . .	3,316,000	3,176,000	. . . . .	. . . . .	3,176,000	-140,000
Temporary and Disability Assistance, Office of . . . . .	42,606,000	131,483,000	. . . . .	. . . . .	131,483,000	+ 88,877,000
Thruway Authority, New York State . . . . .	5,385,107,000	513,023,000	4,529,800,000	30,000,000	5,072,823,000	-312,284,000
Transportation, Department of . . . . .	2,000,000	. . . . .	. . . . .	2,000,000	2,000,000	. . . . .
Veterans' Affairs, Division of . . . . .	5,257,281,500	216,883,000	1,635,413,000	3,259,947,000	5,112,243,000	-145,038,500
Welfare Inspector General, Office of . . . . .	9,922,097	6,561,000	2,425,000	. . . . .	8,986,000	-936,097
Workers' Compensation Board . . . . .	651,000	690,000	. . . . .	. . . . .	690,000	+ 39,000
Subtotal: Agencies . . . . .	145,014,900	140,210,300	. . . . .	. . . . .	140,210,300	-4,804,600
Subtotal: Agencies . . . . .	\$79,951,059,113	\$19,702,138,200	\$53,939,299,800	\$5,019,746,000	\$78,661,184,000	-\$1,289,875,113
Miscellaneous:						
All State Departments and Agencies:						
Collective Bargaining Agreements . . . . .	35,936,955	. . . . .	. . . . .	. . . . .	. . . . .	-35,936,955
Community Projects, Other . . . . .	3,311,000	. . . . .	3,311,000	. . . . .	3,311,000	. . . . .
Deferred Compensation Board . . . . .	150,000	150,000	. . . . .	. . . . .	150,000	. . . . .
Development Authority of the North Country . . . . .	794,000	. . . . .	. . . . .	. . . . .	. . . . .	-794,000
Emergency Highway Construction and Reconstruction . . . . .	251,000,000	. . . . .	276,000,000	. . . . .	276,000,000	+ 25,000,000
Emergency Highway Reconditioning and Preservation . . . . .	183,600,000	. . . . .	208,600,000	. . . . .	208,600,000	+ 25,000,000
General State Charges . . . . .	1,963,953,300	2,037,962,100	. . . . .	. . . . .	2,037,962,100	+ 74,008,800
Green Thumb Program . . . . .	2,394,000	2,394,000	. . . . .	. . . . .	2,394,000	. . . . .
Health Insurance Contingency Reserve . . . . .	239,513,000	250,000,000	. . . . .	. . . . .	250,000,000	+ 10,487,000
Health Insurance Reserve Receipts Fund . . . . .	21,000,000	73,600,000	. . . . .	. . . . .	73,600,000	+ 52,600,000
Higher Education . . . . .	6,354,000	564,000	. . . . .	. . . . .	564,000	-5,790,000
Insurance and Securities Funds Reserve Guarantee . . . . .	1,672,000,000	1,672,000,000	. . . . .	. . . . .	1,672,000,000	. . . . .
Local Government Assistance . . . . .	20,756,919,108	2,379,600	22,917,098,322	. . . . .	22,919,477,922	+ 2,162,558,814
Miscellaneous Guarantee Appropriations . . . . .	816,534,000	865,526,000	. . . . .	. . . . .	865,526,000	+ 48,992,000
National and Community Service . . . . .	30,000,000	30,000,000	. . . . .	. . . . .	30,000,000	. . . . .
Northeastern Queens Nature and Historic Preservation Commission . . . . .	81,000	79,000	. . . . .	. . . . .	79,000	-2,000
Petroleum Storage Tanks - COPs Repayment . . . . .	. . . . .	9,824,000	. . . . .	. . . . .	9,824,000	+ 9,824,000
Reserve for Federal Audit Disallowances . . . . .	50,000,000	50,000,000	. . . . .	. . . . .	50,000,000	. . . . .

## SUMMARY OF APPROPRIATIONS

### ALL FUNDS RECOMMENDED 1999-00 COMPARED TO 1998-99 ADJUSTED

	Total 1998-99 Adjusted Appropriations	1999-00 Recommended State Operations	1999-00 Recommended Aid to Localities	1999-00 Recommended Capital Projects	1999-00 Recommended Total	Change From 1998-99
Services, Expenses or Grants . . . . .	541,000	. . . .	. . . .	. . . .	. . . .	-541,000
Statewide Energy Improvement . . . . .	2,200,000	3,000,000	. . . .	. . . .	3,000,000	+ 800,000
Workers' Compensation Reserve . . . . .	<u>46,040,000</u>	<u>38,000,000</u>	. . . .	. . . .	<u>38,000,000</u>	<u>-8,040,000</u>
Subtotal:						
All State Departments and Agencies . .	<u>\$26,082,321,363</u>	<u>\$5,035,478,700</u>	<u>\$23,405,009,322</u>	. . . .	<u>\$28,440,488,022</u>	<u>+ \$2,358,166,659</u>
Legislature . . . . .	186,771,938	186,771,938	. . . .	. . . .	186,771,938	. . . .
Judiciary . . . . .	<u>1,293,452,995</u>	<u>1,317,665,645</u>	<u>40,537,000</u>	. . . .	<u>1,358,202,645</u>	<u>+ 64,749,650</u>
Total . . . . .	<u>\$107,513,605,409</u>	<u>\$26,242,054,483</u>	<u>\$77,384,846,122</u>	<u>\$5,019,746,000</u>	<u>\$108,646,646,605</u>	<u>+ \$1,133,041,196</u>
Debt Service . . . . .	<u>\$4,219,180,000</u>	. . . .	. . . .	. . . .	<u>\$4,721,750,000</u>	<u>+ \$502,570,000</u>
Grand Total . . . . .	<u>\$111,732,785,409</u>	<u>\$26,242,054,483</u>	<u>\$77,384,846,122</u>	<u>\$5,019,746,000</u>	<u>\$113,368,396,605</u>	<u>+ \$1,635,611,196</u>
Special Emergency Appropriation . . . . .	<u>\$29,500,000</u>				<u>\$50,000,000</u>	

# SUMMARY OF APPROPRIATIONS

## STATE OPERATIONS RECAPITULATION OF 1999-00 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Adirondack Park Agency . . . .	\$3,556,800	. . . .	. . . .	. . . .	. . . .	. . . .	\$3,556,800
Advocate for Persons with Disabilities, Office of . . . .	1,015,000	\$580,000	. . . .	\$15,000	. . . .	\$77,000	1,687,000
Aging, Office for the . . . . .	2,619,000	10,199,000	. . . .	200,000	. . . .	953,000	13,971,000
Agriculture and Markets, Department of . . . . .	21,309,200	7,387,000	\$25,970,500	14,140,600	. . . .	1,719,300	70,526,600
Alcoholic Beverage Control, Division of . . . . .	. . . .	. . . .	13,702,400	. . . .	. . . .	. . . .	13,702,400
Arts, Council on the . . . . .	6,948,000	680,000	. . . .	. . . .	. . . .	1,000,000	8,628,000
Audit and Control, Department of . . . . .	92,339,000	. . . .	4,215,000	. . . .	\$1,266,000	52,247,200	150,067,200
Banking Department . . . . .	. . . .	. . . .	59,145,900	. . . .	. . . .	2,700,000	61,845,900
Budget, Division of the . . . . .	29,631,900	. . . .	6,200,000	. . . .	1,300,000	150,000	37,281,900
Capital Defender Office . . . . .	14,756,500	. . . .	. . . .	. . . .	. . . .	. . . .	14,756,500
Children and Families, Council on . . . . .	892,000	550,000	. . . .	. . . .	. . . .	300,000	1,742,000
Children and Family Services, Department of . . . .	227,379,000	119,600,000	109,389,000	500,000	100,000	3,225,000	460,193,000
City University of New York . . . .	. . . .	. . . .	55,000,000	. . . .	. . . .	974,000,000	1,029,000,000
Civil Service, Department of . .	28,404,200	. . . .	1,000,000	. . . .	24,193,000	435,000	54,032,200
Consumer Protection Board, State . . . . .	442,500	. . . .	2,348,900	. . . .	. . . .	. . . .	2,791,400
Correction, Commission of . . . .	2,204,200	. . . .	. . . .	. . . .	. . . .	. . . .	2,204,200
Correctional Services, Department of . . . . .	1,611,760,000	95,387,000	. . . .	54,060,000	70,345,000	18,000	1,831,570,000
Crime Victims Board . . . . .	2,953,450	991,700	648,200	. . . .	. . . .	. . . .	4,593,350
Criminal Justice Services, Division of . . . . .	39,370,750	34,836,900	300,000	. . . .	. . . .	1,150,000	75,657,650
Developmental Disabilities Planning Council . . . . .	. . . .	4,250,000	. . . .	. . . .	. . . .	. . . .	4,250,000
Domestic Violence, Office for the Prevention of . . . . .	1,482,000	100,000	20,000	. . . .	. . . .	50,000	1,652,000
Economic Development, Department of . . . . .	35,195,800	1,000,000	4,659,900	. . . .	. . . .	. . . .	40,855,700
Education Department, State . .	56,741,600	154,827,300	73,249,900	. . . .	17,484,000	1,332,000	303,634,800
Elections, State Board of . . . .	3,087,000	. . . .	20,000	. . . .	. . . .	. . . .	3,107,000
Employee Relations, Office of . .	3,784,400	. . . .	450,000	. . . .	2,047,400	. . . .	6,281,800
Energy Research and Development Authority, New York State . . . . .	. . . .	3,000,000	14,906,000	. . . .	. . . .	. . . .	17,906,000
Environmental Conservation, Department of . . . . .	91,364,700	63,993,100	196,628,200	. . . .	. . . .	. . . .	351,986,000
Environmental Facilities Corporation . . . . .	. . . .	. . . .	6,863,800	. . . .	. . . .	. . . .	6,863,800
Executive Chamber . . . . .	15,989,400	. . . .	. . . .	. . . .	. . . .	100,000	16,089,400
General Services, Office of . . . .	111,987,300	6,050,000	16,648,000	1,153,000	213,658,000	954,000	350,450,300
Greenway Heritage Conservancy for the Hudson River Valley . . . . .	220,000	. . . .	. . . .	. . . .	. . . .	. . . .	220,000
Health, Department of . . . . .	151,516,000	2,747,447,600	418,893,100	10,000	. . . .	2,725,000	3,320,591,700
Higher Education Services Corporation, New York State . . . . .	10,750,000	. . . .	77,137,000	. . . .	. . . .	. . . .	87,887,000
Housing and Community Renewal, Division of . . . . .	39,114,000	5,743,000	16,669,000	. . . .	. . . .	. . . .	61,526,000
Mortgage Agency, State of New York . . . . .	76,800,000	. . . .	. . . .	. . . .	. . . .	. . . .	76,800,000
Hudson River Valley Greenway Communities Council . . . . .	214,400	. . . .	. . . .	. . . .	. . . .	. . . .	214,400
Human Rights, Division of . . . .	9,848,000	2,740,000	120,000	. . . .	. . . .	50,000	12,758,000
Inspector General, Office of the .	4,675,000	. . . .	1,300,000	. . . .	. . . .	. . . .	5,975,000
Insurance Department . . . . .	. . . .	. . . .	98,521,000	. . . .	. . . .	. . . .	98,521,000
Interest on Lawyer Account . . . .	. . . .	. . . .	. . . .	. . . .	. . . .	999,900	999,900

## SUMMARY OF APPROPRIATIONS

### STATE OPERATIONS RECAPITULATION OF 1999-00 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Investigation, Temporary							
State Commission of . . . . .	2,349,500	. . . .	200,000	. . . .	. . . .	. . . .	2,549,500
Judicial Commissions . . . . .	2,107,500	. . . .	. . . .	. . . .	. . . .	. . . .	2,107,500
Labor, Department of . . . . .	10,760,900	451,167,300	46,535,800	. . . .	. . . .	2,500,000,000	3,008,464,000
Law, Department of . . . . .	87,485,400	25,660,000	17,374,000	. . . .	6,605,000	. . . .	137,124,400
Lieutenant Governor, Office of the . . . . .	457,200	. . . .	. . . .	. . . .	. . . .	. . . .	457,200
Lobbying, Temporary State Commission on . . . . .	579,000	. . . .	40,000	. . . .	. . . .	. . . .	619,000
Lottery, Division of the . . . . .	. . . .	. . . .	108,709,400	. . . .	. . . .	. . . .	108,709,400
Mental Health, Office of . . . . .	498,839,000	913,000	531,046,000	7,213,000	1,967,000	570,000	1,040,548,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	149,574,000	177,000	872,504,000	1,950,000	. . . .	540,000	1,024,745,000
Alcoholism and Substance Abuse Services, Office of . . . . .	45,862,500	4,371,700	18,732,500	. . . .	. . . .	. . . .	68,966,700
Military and Naval Affairs, Division of . . . . .	12,791,300	30,771,500	9,542,700	. . . .	. . . .	52,000	53,157,500
Motor Vehicles, Department of . . . . .	123,864,900	8,263,400	76,404,500	. . . .	1,500,000	. . . .	210,032,800
Olympic Regional Development Authority . . . . .	3,972,000	. . . .	150,000	. . . .	. . . .	200,000	4,322,000
Parks, Recreation and Historic Preservation, Office of . . . . .	97,879,900	2,517,300	41,953,900	2,500,000	. . . .	1,172,800	146,023,900
Parole, Division of . . . . .	133,107,400	2,307,600	400,000	. . . .	. . . .	400,000	136,215,000
Probation and Correctional Alternatives, Division of . . . . .	1,952,300	. . . .	. . . .	. . . .	. . . .	. . . .	1,952,300
Public Employment Relations Board . . . . .	3,307,400	. . . .	192,500	. . . .	. . . .	. . . .	3,499,900
Public Service Department . . . . .	. . . .	1,138,100	59,628,600	. . . .	. . . .	. . . .	60,766,700
Quality of Care for the Mentally Disabled, Commission on . . . . .	2,886,000	4,062,600	2,315,000	20,000	. . . .	. . . .	9,283,600
Racing and Wagering Board, State . . . . .	. . . .	. . . .	16,767,300	. . . .	. . . .	. . . .	16,767,300
Real Property Services, Office of . . . . .	22,686,100	. . . .	14,351,100	. . . .	. . . .	. . . .	37,037,200
Regulatory Reform, Governor's Office of . . . . .	2,468,800	. . . .	. . . .	. . . .	. . . .	. . . .	2,468,800
State, Department of . . . . .	9,923,500	6,215,000	27,349,300	. . . .	. . . .	. . . .	43,487,800
State Police, Division of . . . . .	294,743,600	17,256,800	81,370,600	. . . .	. . . .	7,500	393,378,500
State University of New York State University Construction Fund . . . . .	946,412,000	129,100,000	2,063,791,000	. . . .	5,000,000	49,300,000	3,193,603,000
Taxation and Finance, Department of . . . . .	271,282,000	300,000	32,761,000	. . . .	63,705,000	. . . .	368,048,000
Tax Appeals, Division of . . . . .	3,176,000	. . . .	. . . .	. . . .	. . . .	. . . .	3,176,000
Technology, Office for . . . . .	101,417,300	. . . .	. . . .	. . . .	30,065,700	. . . .	131,483,000
Temporary and Disability Assistance, Office of . . . . .	67,408,000	340,570,000	104,045,000	. . . .	1,000,000	. . . .	513,023,000
Transportation, Department of . . . . .	172,478,000	6,332,000	33,515,000	. . . .	4,558,000	. . . .	216,883,000
Veterans' Affairs, Division of . . . . .	5,097,000	1,464,000	. . . .	. . . .	. . . .	. . . .	6,561,000
Welfare Inspector General, Office of . . . . .	356,000	. . . .	334,000	. . . .	. . . .	. . . .	690,000
Workers' Compensation Board . . . . .	. . . .	. . . .	140,210,300	. . . .	. . . .	. . . .	140,210,300
Subtotal: Agencies . . . . .	<u>\$5,773,575,600</u>	<u>\$4,291,949,900</u>	<u>\$5,513,629,300</u>	<u>\$81,761,600</u>	<u>\$444,794,100</u>	<u>\$3,596,427,700</u>	<u>\$19,702,138,200</u>
Miscellaneous: All State Departments and Agencies:							
Deferred Compensation Board . . . . .	150,000	. . . .	. . . .	. . . .	. . . .	. . . .	150,000
General State Charges . . . . .	2,037,962,100	. . . .	. . . .	. . . .	. . . .	. . . .	2,037,962,100
Green Thumb Program . . . . .	2,394,000	. . . .	. . . .	. . . .	. . . .	. . . .	2,394,000

# SUMMARY OF APPROPRIATIONS

---

## STATE OPERATIONS RECAPITULATION OF 1999-00 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Enterprise	Internal Service	Fiduciary	Total
Health Insurance							
Contingency Reserve . . . . .	250,000,000	. . . .	. . . .	. . . .	. . . .	. . . .	250,000,000
Health Insurance Reserve							
Receipts Fund . . . . .	. . . .	. . . .	. . . .	. . . .	. . . .	73,600,000	73,600,000
Higher Education . . . . .	564,000	. . . .	. . . .	. . . .	. . . .	. . . .	564,000
Insurance and Securities							
Funds Reserve Guarantee . .	1,672,000,000	. . . .	. . . .	. . . .	. . . .	. . . .	1,672,000,000
Local Government Assistance . .	. . . .	. . . .	2,379,600	. . . .	. . . .	. . . .	2,379,600
Miscellaneous Guarantee							
Appropriations . . . . .	865,526,000	. . . .	. . . .	. . . .	. . . .	. . . .	865,526,000
National and Community							
Service . . . . .	. . . .	30,000,000	. . . .	. . . .	. . . .	. . . .	30,000,000
Northeastern Queens							
Nature and Historic							
Preservation Commission . .	79,000	. . . .	. . . .	. . . .	. . . .	. . . .	79,000
Petroleum Storage Tanks -							
COPs Repayment . . . . .	9,824,000	. . . .	. . . .	. . . .	. . . .	. . . .	9,824,000
Reserve for Federal Audit							
Disallowances . . . . .	50,000,000	. . . .	. . . .	. . . .	. . . .	. . . .	50,000,000
Statewide Energy Improvement							
Workers' Compensation							
Reserve . . . . .	38,000,000	. . . .	. . . .	. . . .	. . . .	. . . .	38,000,000
Subtotal: All State Departments and Agencies . . . . .	\$4,926,499,100	\$30,000,000	\$5,379,600	. . . .	. . . .	\$73,600,000	\$5,035,478,700
Legislature	184,671,938	. . . .	1,600,000	. . . .	. . . .	500,000	186,771,938
Judiciary	1,259,226,040	4,290,000	54,149,605	. . . .	. . . .	. . . .	1,317,665,645
Total: . . . . .	<u>\$12,143,972,678</u>	<u>\$4,326,239,900</u>	<u>\$5,574,758,505</u>	<u>\$81,761,600</u>	<u>\$444,794,100</u>	<u>\$3,670,527,700</u>	<u>\$26,242,054,483</u>

# SUMMARY OF APPROPRIATIONS

## GENERAL FUND STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Adirondack Park Agency . . . . .	\$3,492,800	\$3,556,800	+ \$64,000
Advocate for Persons with Disabilities, Office of . . . . .	890,000	1,015,000	+ 125,000
Aging, Office for the . . . . .	2,652,000	2,619,000	-33,000
Agriculture and Markets, Department of . . . . .	21,332,200	21,309,200	-23,000
Arts, Council on the . . . . .	6,573,000	6,948,000	+ 375,000
Audit and Control, Department of . . . . .	79,043,400	92,339,000	+ 13,295,600
Budget, Division of the . . . . .	29,162,300	29,631,900	+ 469,600
Capital Defender Office . . . . .	13,582,600	14,756,500	+ 1,173,900
Children and Families, Council on . . . . .	910,000	892,000	-18,000
Children and Family Services, Department of . . . . .	225,677,000	227,379,000	+ 1,702,000
Civil Service, Department of . . . . .	27,449,500	28,404,200	+ 954,700
Consumer Protection Board, State . . . . .	413,500	442,500	+ 29,000
Correction, Commission of . . . . .	2,204,800	2,204,200	-600
Correctional Services, Department of . . . . .	1,537,494,900	1,611,760,000	+ 74,265,100
Crime Victims Board . . . . .	3,003,900	2,953,450	-50,450
Criminal Justice Services, Division of . . . . .	34,537,200	39,370,750	+ 4,833,550
Domestic Violence, Office for the Prevention of . . . . .	1,543,000	1,482,000	-61,000
Economic Development, Department of . . . . .	30,999,000	35,195,800	+ 4,196,800
Education Department, State . . . . .	58,537,300	56,741,600	-1,795,700
Elections, State Board of . . . . .	3,067,300	3,087,000	+ 19,700
Employee Relations, Office of . . . . .	3,732,400	3,784,400	+ 52,000
Environmental Conservation, Department of . . . . .	88,201,100	91,364,700	+ 3,163,600
Executive Chamber . . . . .	12,276,000	15,989,400	+ 3,713,400
General Services, Office of . . . . .	111,942,000	111,987,300	+ 45,300
Greenway Heritage Conservancy for the Hudson River Valley . . . . .	217,000	220,000	+ 3,000
Health, Department of . . . . .	136,798,500	151,516,000	+ 14,717,500
Higher Education Services Corporation, New York State . . . . .	10,492,700	10,750,000	+ 257,300
Housing and Community Renewal, Division of . . . . .	39,913,000	39,114,000	-799,000
Mortgage Agency, State of New York . . . . .	76,800,000	76,800,000	. . . . .
Hudson River Valley Greenway Communities Council . . . . .	209,400	214,400	+ 5,000
Human Rights, Division of . . . . .	9,538,000	9,848,000	+ 310,000
Inspector General, Office of the . . . . .	4,823,100	4,675,000	-148,100
Investigation, Temporary State Commission of . . . . .	2,281,800	2,349,500	+ 67,700
Judicial Commissions . . . . .	2,055,900	2,107,500	+ 51,600
Labor, Department of . . . . .	10,714,900	10,760,900	+ 46,000
Law, Department of . . . . .	83,842,600	87,485,400	+ 3,642,800
Lieutenant Governor, Office of the . . . . .	353,600	457,200	+ 103,600
Lobbying, Temporary State Commission on . . . . .	566,200	579,000	+ 12,800
Mental Health, Office of . . . . .	492,920,000	498,839,000	+ 5,919,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	146,874,000	149,574,000	+ 2,700,000
Alcoholism and Substance Abuse Services, Office of Military and Naval Affairs, Division of . . . . .	45,141,500	45,862,500	+ 721,000
Motor Vehicles, Department of . . . . .	12,892,100	12,791,300	-100,800
Motor Vehicles, Department of . . . . .	120,960,900	123,864,900	+ 2,904,000
Olympic Regional Development Authority . . . . .	3,962,000	3,972,000	+ 10,000
Parks, Recreation and Historic Preservation, Office of . . . . .	89,354,400	97,879,900	+ 8,525,500
Parole, Division of . . . . .	135,033,000	133,107,400	-1,925,600
Probation and Correctional Alternatives, Division of . . . . .	2,025,700	1,952,300	-73,400
Public Employment Relations Board . . . . .	3,227,100	3,307,400	+ 80,300
Quality of Care for the Mentally Disabled, Commission on . . . . .	3,140,000	2,886,000	-254,000
Real Property Services, Office of . . . . .	26,145,300	22,686,100	-3,459,200
Regulatory Reform, Governor's Office of . . . . .	2,743,300	2,468,800	-274,500
State, Department of . . . . .	10,000,800	9,923,500	-77,300
State Police, Division of . . . . .	276,458,100	294,743,600	+ 18,285,500
State University of New York . . . . .	944,815,500	946,412,000	+ 1,596,500
Taxation and Finance, Department of . . . . .	269,732,000	271,282,000	+ 1,550,000
Tax Appeals, Division of . . . . .	3,316,000	3,176,000	-140,000
Technology, Office for . . . . .	2,606,000	101,417,300	+ 98,811,300
Temporary and Disability Assistance, Office of . . . . .	64,617,000	67,408,000	+ 2,791,000

# SUMMARY OF APPROPRIATIONS

## GENERAL FUND STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Transportation, Department of . . . . .	170,969,000	172,478,000	+ 1,509,000
Veterans' Affairs, Division of . . . . .	4,917,000	5,097,000	+ 180,000
Welfare Inspector General, Office of . . . . .	382,000	356,000	-26,000
Subtotal: Agencies . . . . .	<u>\$5,509,556,600</u>	<u>\$5,773,575,600</u>	<u>+ \$264,019,000</u>
Miscellaneous			
All State Departments and Agencies:			
Collective Bargaining Agreements . . . . .	35,806,955	. . . . .	-35,806,955
Deferred Compensation Board . . . . .	150,000	150,000	. . . . .
General State Charges . . . . .	1,963,953,300	2,037,962,100	+ 74,008,800
Green Thumb Program . . . . .	2,394,000	2,394,000	. . . . .
Health Insurance Contingency Reserve . . . . .	239,513,000	250,000,000	+ 10,487,000
Higher Education . . . . .	300,000	564,000	+ 264,000
Insurance and Securities Funds Reserve Guarantee . . . . .	1,672,000,000	1,672,000,000	. . . . .
Local Government Assistance . . . . .	73,100	. . . . .	-73,100
Miscellaneous Guarantee Appropriations . . . . .	816,534,000	865,526,000	+ 48,992,000
Northeastern Queens Nature and Historic Preservation Commission . . . . .	81,000	79,000	-2,000
Petroleum Storage Tanks - COPs Repayment . . . . .	. . . . .	9,824,000	+ 9,824,000
Reserve for Federal Audit Disallowances . . . . .	50,000,000	50,000,000	. . . . .
Workers' Compensation Reserve . . . . .	46,040,000	38,000,000	-8,040,000
Subtotal: All State Departments . . . . .	<u>\$4,826,845,355</u>	<u>\$4,926,499,100</u>	<u>+ \$99,653,745</u>
Legislature . . . . .	184,671,938	184,671,938	. . . . .
Judiciary . . . . .	1,196,815,296	1,259,226,040	+ 62,410,744
Total . . . . .	<u>\$11,717,889,189</u>	<u>\$12,143,972,678</u>	<u>+ \$426,083,489</u>
Adjustments:			
Prior Year Deficiencies . . . . .	+ 114,355,000		
Recommended Deficiencies . . . . .	-60,000,000		
Transfers to:			
Special Revenue Funds-Other (State Operations) . . . . .	+ 19,231,600		
General Fund (Aid to Localities) . . . . .	+ 30,000,000		
Transfers from:			
General Fund (Aid to Localities) . . . . .	-18,697,000		
Debt Service (Debt Service) . . . . .	-5,900,000		
Appropriated 1998-99 . . . . .	<u>\$11,796,878,789</u>		

# SUMMARY OF APPROPRIATIONS

## SPECIAL REVENUE FUNDS-FEDERAL STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	<u>Change</u>
Adirondack Park Agency . . . . .	\$150,000	. . . . .	-\$150,000
Advocate for Persons with Disabilities, Office of . . . . .	800,000	\$580,000	-220,000
Aging, Office for the . . . . .	10,198,600	10,199,000	+ 400
Agriculture and Markets, Department of . . . . .	6,587,000	7,387,000	+ 800,000
Arts, Council on the . . . . .	680,000	680,000	. . . . .
Children and Families, Council on . . . . .	500,000	550,000	+ 50,000
Children and Family Services, Department of . . . . .	109,300,000	119,600,000	+ 10,300,000
Correctional Services, Department of . . . . .	96,947,000	95,387,000	-1,560,000
Crime Victims Board . . . . .	813,600	991,700	+ 178,100
Criminal Justice Services, Division of . . . . .	19,682,100	34,836,900	+ 15,154,800
Developmental Disabilities Planning Council . . . . .	4,250,000	4,250,000	. . . . .
Domestic Violence, Office for the Prevention of . . . . .	100,000	100,000	. . . . .
Economic Development, Department of . . . . .	1,000,000	1,000,000	. . . . .
Education Department, State . . . . .	150,019,000	154,827,300	+ 4,808,300
Energy Research and Development Authority, New York State . . . . .	2,200,000	3,000,000	+ 800,000
Environmental Conservation, Department of . . . . .	60,950,100	63,993,100	+ 3,043,000
General Services, Office of . . . . .	6,050,000	6,050,000	. . . . .
Health, Department of . . . . .	2,541,162,250	2,747,447,600	+ 206,285,350
Housing and Community Renewal, Division of . . . . .	5,705,000	5,743,000	+ 38,000
Human Rights, Division of . . . . .	2,740,000	2,740,000	. . . . .
Labor, Department of . . . . .	422,843,300	451,167,300	+ 28,324,000
Law, Department of . . . . .	24,683,000	25,660,000	+ 977,000
Mental Health, Office of . . . . .	883,000	913,000	+ 30,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	177,000	177,000	. . . . .
Alcoholism and Substance Abuse Services, Office of Military and Naval Affairs, Division of . . . . .	4,371,700	4,371,700	. . . . .
Motor Vehicles, Department of . . . . .	28,735,700	30,771,500	+ 2,035,800
Parks, Recreation and Historic Preservation, Office of . . . . .	5,863,400	8,263,400	+ 2,400,000
Parole, Division of . . . . .	2,350,900	2,517,300	+ 166,400
Public Service Department . . . . .	2,307,600	2,307,600	. . . . .
Quality of Care for the Mentally Disabled, Commission on . . . . .	1,216,600	1,138,100	-78,500
State, Department of . . . . .	3,835,000	4,062,600	+ 227,600
State Police, Division of . . . . .	6,100,000	6,215,000	+ 115,000
State University of New York . . . . .	9,190,200	17,256,800	+ 8,066,600
Taxation and Finance, Department of . . . . .	117,600,000	129,100,000	+ 11,500,000
Temporary and Disability Assistance, Office of . . . . .	300,000	300,000	. . . . .
Transportation, Department of . . . . .	317,070,000	340,570,000	+ 23,500,000
Veterans' Affairs, Division of . . . . .	11,721,000	6,332,000	-5,389,000
National and Community Service . . . . .	1,977,400	1,464,000	-513,400
Judiciary . . . . .	30,000,000	30,000,000	. . . . .
	4,290,000	4,290,000	. . . . .
Total . . . . .	\$4,015,350,450	\$4,326,239,900	+ \$310,889,450
Adjustments:			
Recommended Deficiencies . . . . .	-1,000,000		
Appropriated 1998-99 . . . . .	\$4,014,350,450		

# SUMMARY OF APPROPRIATIONS

## SPECIAL REVENUE FUNDS-OTHER STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Agriculture and Markets, Department of . . . . .	\$25,582,500	\$25,970,500	+ \$388,000
Alcoholic Beverage Control, Division of . . . . .	11,640,200	13,702,400	+ 2,062,200
Audit and Control, Department of . . . . .	3,851,800	4,215,000	+ 363,200
Banking Department . . . . .	57,245,700	59,145,900	+ 1,900,200
Budget, Division of the . . . . .	6,200,000	6,200,000	. . . . .
Children and Family Services, Department of . . . . .	34,325,000	109,389,000	+ 75,064,000
City University of New York . . . . .	42,000,000	55,000,000	+ 13,000,000
Civil Service, Department of . . . . .	496,000	1,000,000	+ 504,000
Consumer Protection Board, State . . . . .	2,399,600	2,348,900	-50,700
Crime Victims Board . . . . .	635,200	648,200	+ 13,000
Criminal Justice Services, Division of . . . . .	2,302,600	300,000	-2,002,600
Domestic Violence, Office for the Prevention of . . . . .	20,000	20,000	. . . . .
Economic Development, Department of . . . . .	5,420,900	4,659,900	-761,000
Education Department, State . . . . .	71,277,000	73,249,900	+ 1,972,900
Elections, State Board of . . . . .	40,000	20,000	-20,000
Employee Relations, Office of . . . . .	400,000	450,000	+ 50,000
Energy Research and Development Authority, New York State . . . . .	16,006,000	14,906,000	-1,100,000
Environmental Conservation, Department of . . . . .	199,657,000	196,628,200	-3,028,800
Environmental Facilities Corporation . . . . .	6,837,400	6,863,800	+ 26,400
General Services, Office of . . . . .	11,183,000	16,648,000	+ 5,465,000
Health, Department of . . . . .	453,367,200	418,893,100	-34,474,100
Higher Education Services Corporation, New York State . . . . .	77,470,500	77,137,000	-333,500
Housing and Community Renewal, Division of . . . . .	16,153,000	16,669,000	+ 516,000
Human Rights, Division of . . . . .	120,000	120,000	. . . . .
Inspector General, Office of the . . . . .	1,300,000	1,300,000	. . . . .
Insurance Department . . . . .	98,612,800	98,521,000	-91,800
Investigation, Temporary State Commission of . . . . .	200,000	200,000	. . . . .
Labor, Department of . . . . .	45,163,200	46,535,800	+ 1,372,600
Law, Department of . . . . .	22,595,700	17,374,000	-5,221,700
Lobbying, Temporary State Commission on . . . . .	40,000	40,000	. . . . .
Lottery, Division of the . . . . .	105,305,000	108,709,400	+ 3,404,400
Mental Hygiene, Department of . . . . .	17,736,000	. . . . .	-17,736,000
Mental Health, Office of . . . . .	541,090,000	531,046,000	-10,044,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	882,269,000	872,504,000	-9,765,000
Alcoholism and Substance Abuse Services, Office of Military and Naval Affairs, Division of . . . . .	14,097,500	18,732,500	+ 4,635,000
. . . . .	8,219,600	9,542,700	+ 1,323,100
Motor Vehicles, Department of . . . . .	70,560,400	76,404,500	+ 5,844,100
Olympic Regional Development Authority . . . . .	150,000	150,000	. . . . .
Parks, Recreation and Historic Preservation, Office of . . . . .	33,180,000	41,953,900	+ 8,773,900
Parole, Division of . . . . .	400,000	400,000	. . . . .
Public Employment Relations Board . . . . .	192,500	192,500	. . . . .
Public Service Department . . . . .	64,094,300	59,628,600	-4,465,700
Quality of Care for the Mentally Disabled, Commission on . . . . .	2,195,000	2,315,000	+ 120,000
Racing and Wagering Board, State . . . . .	14,694,607	16,767,300	+ 2,072,693
Real Property Services, Office of . . . . .	13,355,700	14,351,100	+ 995,400
State, Department of . . . . .	25,600,800	27,349,300	+ 1,748,500
State Police, Division of . . . . .	85,175,700	81,370,600	-3,805,100
State University of New York . . . . .	2,077,791,000	2,063,791,000	-14,000,000
State University Construction Fund . . . . .	9,400,000	9,400,000	. . . . .
Taxation and Finance, Department of . . . . .	22,129,000	32,761,000	+ 10,632,000
Technology, Office for . . . . .	40,000,000	. . . . .	-40,000,000
Temporary and Disability Assistance, Office of . . . . .	103,445,000	104,045,000	+ 600,000
Transportation, Department of . . . . .	46,424,000	33,515,000	-12,909,000
Welfare Inspector General, Office of . . . . .	269,000	334,000	+ 65,000
Workers' Compensation Board . . . . .	145,014,900	140,210,300	-4,804,600
Collective Bargaining Agreements . . . . .	130,000	. . . . .	-130,000
Local Government Assistance . . . . .	2,829,500	2,379,600	-449,900
Statewide Energy Improvement . . . . .	2,200,000	3,000,000	+ 800,000

## SUMMARY OF APPROPRIATIONS

### SPECIAL REVENUE FUNDS-OTHER STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	<u>Change</u>
Legislature .....	1,600,000	1,600,000	.....
Judiciary .....	53,747,699	54,149,605	+ 401,906
Total .....	\$5,595,838,506	\$5,574,758,505	<u>- \$21,080,001</u>
Adjustments:			
Prior Year Deficiencies .....	+ 17,387,000		
Recommended Deficiencies .....	-2,000,000		
Transfers to:			
Special Revenue Funds-Other (Aid to Localities) ..	+ 30,000,000		
Transfers from:			
General Fund (State Operations) .....	-19,231,600		
Appropriated 1998-99 .....	<u>\$5,621,993,906</u>		

# SUMMARY OF APPROPRIATIONS

## FIDUCIARY FUNDS STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Advocate for Persons with Disabilities, Office of . . .	\$77,000	\$77,000	. . . .
Aging, Office for the . . . . .	953,000	953,000	. . . .
Agriculture and Markets, Department of . . . . .	1,635,800	1,719,300	+ \$83,500
Arts, Council on the . . . . .	. . . .	1,000,000	+ 1,000,000
Audit and Control, Department of . . . . .	51,598,100	52,247,200	+ 649,100
Banking Department . . . . .	2,700,000	2,700,000	. . . .
Budget, Division of the . . . . .	150,000	150,000	. . . .
Children and Families, Council on . . . . .	200,000	300,000	+ 100,000
Children and Family Services, Department of . . . .	3,225,000	3,225,000	. . . .
City University of New York . . . . .	992,388,000	974,000,000	-18,388,000
Civil Service, Department of . . . . .	435,000	435,000	. . . .
Correctional Services, Department of . . . . .	18,000	18,000	. . . .
Criminal Justice Services, Division of . . . . .	300,000	1,150,000	+ 850,000
Domestic Violence, Office for the Prevention of . . .	50,000	50,000	. . . .
Education Department, State . . . . .	1,312,000	1,332,000	+ 20,000
Executive Chamber . . . . .	100,000	100,000	. . . .
General Services, Office of . . . . .	1,354,000	954,000	-400,000
Health, Department of . . . . .	2,725,000	2,725,000	. . . .
Human Rights, Division of . . . . .	50,000	50,000	. . . .
Interest on Lawyer Account . . . . .	1,016,000	999,900	-16,100
Labor, Department of . . . . .	2,500,000,000	2,500,000,000	. . . .
Mental Health, Office of . . . . .	570,000	570,000	. . . .
Mental Retardation and Developmental Disabilities, Office of . . . . .	540,000	540,000	. . . .
Military and Naval Affairs, Division of . . . . .	52,000	52,000	. . . .
Olympic Regional Development Authority . . . . .	100,000	200,000	+ 100,000
Parks, Recreation and Historic Preservation, Office of . . . . .	1,165,000	1,172,800	+ 7,800
Parole, Division of . . . . .	400,000	400,000	. . . .
State Police, Division of . . . . .	7,500	7,500	. . . .
State University of New York . . . . .	44,300,000	49,300,000	+ 5,000,000
Health Insurance Reserve Receipts Fund . . . . .	21,000,000	73,600,000	+ 52,600,000
Legislature . . . . .	500,000	500,000	. . . .
Total . . . . .	<u>\$3,628,921,400</u>	<u>\$3,670,527,700</u>	<u>+ \$41,606,300</u>
Appropriated 1998-99 . . . . .	<u>\$3,628,921,400</u>		

## SUMMARY OF APPROPRIATIONS

### INTERNAL SERVICE FUNDS STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Audit and Control, Department of . . . . .	\$1,248,800	\$1,266,000	+ \$17,200
Budget, Division of the . . . . .	1,500,000	1,300,000	-200,000
Children and Family Services, Department of . . . . .	100,000	100,000	. . . . .
Civil Service, Department of . . . . .	26,292,000	24,193,000	-2,099,000
Correctional Services, Department of . . . . .	70,345,000	70,345,000	. . . . .
Education Department, State . . . . .	13,595,300	17,484,000	+ 3,888,700
Employee Relations, Office of . . . . .	2,029,600	2,047,400	+ 17,800
General Services, Office of . . . . .	198,916,000	213,658,000	+ 14,742,000
Law, Department of . . . . .	6,494,900	6,605,000	+ 110,100
Mental Health, Office of . . . . .	1,950,000	1,967,000	+ 17,000
Motor Vehicles, Department of . . . . .	400,000	1,500,000	+ 1,100,000
State University of New York . . . . .	. . . . .	5,000,000	+ 5,000,000
Taxation and Finance, Department of . . . . .	49,362,000	63,705,000	+ 14,343,000
Technology, Office for . . . . .	. . . . .	30,065,700	+ 30,065,700
Temporary and Disability Assistance, Office of . . . . .	. . . . .	1,000,000	+ 1,000,000
Transportation, Department of . . . . .	4,524,000	4,558,000	+ 34,000
Total . . . . .	<u>\$376,757,600</u>	<u>\$444,794,100</u>	<u>+ \$68,036,500</u>
Appropriated 1998-99 . . . . .	<u>\$376,757,600</u>		

# SUMMARY OF APPROPRIATIONS

## ENTERPRISE FUNDS STATE OPERATIONS

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Advocate for Persons with Disabilities, Office of . . .	\$15,000	\$15,000	. . . .
Aging, Office for the . . . . .	200,000	200,000	. . . .
Agriculture and Markets, Department of . . . . .	14,014,300	14,140,600	+ \$126,300
Children and Family Services, Department of . . . .	500,000	500,000	. . . .
Correctional Services, Department of . . . . .	56,485,000	54,060,000	-2,425,000
General Services, Office of . . . . .	1,054,000	1,153,000	+ 99,000
Health, Department of . . . . .	10,000	10,000	. . . .
Mental Health, Office of . . . . .	7,200,000	7,213,000	+ 13,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	1,950,000	1,950,000	. . . .
Parks, Recreation and Historic Preservation, Office of . . . . .	2,500,000	2,500,000	. . . .
Quality of Care for the Mentally Disabled, Commission on . . . . .	20,000	20,000	. . . .
Total . . . . .	<u>\$83,948,300</u>	<u>\$81,761,600</u>	<u>-\$2,186,700</u>
Appropriated 1998-99 . . . . .	<u>\$83,948,300</u>		

## SUMMARY OF APPROPRIATIONS

### AID TO LOCALITIES RECAPITULATION OF 1999-00 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Internal Service	Fiduciary	Total
Adirondack Park Agency	\$50,000					\$50,000
Aging, Office for the	56,757,000	\$95,600,000			\$3,100,000	155,457,000
Agriculture and Markets, Department of	9,199,800	3,000,000				12,199,800
Arts, Council on the	41,200,000	95,000			200,000	41,495,000
Audit and Control, Department of	18,705,000					18,705,000
Children and Family Services, Department of	1,052,718,900	1,870,827,000	\$21,000,000		3,530,000	2,948,075,900
City University of New York	689,964,000					689,964,000
Correctional Services, Department of	55,902,800					55,902,800
Crime Victims Board		19,318,300	17,999,300		40,000	37,357,600
Criminal Justice Services, Division of	61,449,300	45,846,600	2,200,000			109,495,900
Domestic Violence, Office for the Prevention of	555,000					555,000
Economic Development, Department of	8,653,600	5,000,000				13,653,600
Education Department, State	11,241,147,300	2,140,729,000	2,865,150,000			16,247,026,300
Empire State Development Corporation	117,004,100					117,004,100
Environmental Conservation, Department of	532,800					532,800
Health, Department of	6,104,789,500	15,631,996,500	924,168,500		500,000,000	23,160,954,500
Higher Education Services Corporation, New York State	614,683,000	2,400,000	7,000,000			624,083,000
Housing and Community Renewal, Division of	61,185,000	23,525,000			10,000,000	94,710,000
Housing Finance Agency	760,000					760,000
Mortgage Agency, State of New York	80,702,000					80,702,000
Hudson River Valley Greenway Communities Council	204,000					204,000
Interest on Lawyer Account					14,950,000	14,950,000
Labor, Department of	33,958,700	476,586,000	245,000			510,789,700
Law, Department of	437,800					437,800
Mental Health, Office of	633,256,000	22,925,000				656,181,000
Mental Retardation and Developmental Disabilities, Office of	600,233,000		377,885,000		2,000,000	980,118,000
Alcoholism and Substance Abuse Services, Office of	242,131,000	133,477,400	8,000,000			383,608,400
Metropolitan Transportation Authority			253,400,000			253,400,000
Military and Naval Affairs, Division of		5,500,000	1,650,000			7,150,000
Motor Vehicles, Department of		4,978,300				4,978,300
Parks, Recreation and Historic Preservation, Office of	6,951,600	870,000	1,100,000			8,921,600
Parole, Division of	52,071,200	2,842,500		\$5,250,000		60,163,700
Probation and Correctional Alternatives, Division of	88,586,400					88,586,400
Public Service Department			800,000			800,000
Quality of Care for the Mentally Disabled, Commission on	95,000		373,000			468,000
Racing and Wagering Board, State			1,700,000			1,700,000
Real Property Services, Office of	18,911,000					18,911,000
Science and Technology Foundation, New York State	24,045,000					24,045,000
State, Department of	5,350,000	45,150,000	300,000		2,600,000	53,400,000
State University of New York	294,164,600					294,164,600
Temporary and Disability Assistance, Office of	1,918,100,000	2,515,500,000	86,200,000		10,000,000	4,529,800,000
Transportation, Department of	163,033,000	26,003,000	1,446,377,000			1,635,413,000
Veterans' Affairs, Division of	2,425,000					2,425,000
<b>Subtotal: Agencies</b>	<b>\$24,299,912,400</b>	<b>\$23,072,169,600</b>	<b>\$6,015,547,800</b>	<b>\$5,250,000</b>	<b>\$546,420,000</b>	<b>\$53,939,299,800</b>

# SUMMARY OF APPROPRIATIONS

## AID TO LOCALITIES RECAPITULATION OF 1999-00 RECOMMENDATIONS BY FUND TYPE

	General	Special Revenue Federal	Special Revenue Other	Internal Service	Fiduciary	Total
Miscellaneous:						
All State Departments and Agencies:						
Community Projects, Other . . . . .	3,311,000	. . . .	. . . .	. . . .	. . . .	3,311,000
Emergency Highway Construction and Reconstruction . . . . .	276,000,000	. . . .	. . . .	. . . .	. . . .	276,000,000
Emergency Highway Reconditioning and Preservation . . . . .	208,600,000	. . . .	. . . .	. . . .	. . . .	208,600,000
Local Government Assistance . . . . .	<u>1,146,798,322</u>	<u>. . . .</u>	<u>. . . .</u>	<u>. . . .</u>	<u>21,770,300,000</u>	<u>22,917,098,322</u>
Subtotal:						
All State Departments and Agencies . .	<u>\$1,634,709,322</u>	<u>. . . .</u>	<u>. . . .</u>	<u>. . . .</u>	<u>\$21,770,300,000</u>	<u>\$23,405,009,322</u>
Judiciary	<u>500,000</u>	<u>. . . .</u>	<u>40,037,000</u>	<u>. . . .</u>	<u>. . . .</u>	<u>40,537,000</u>
Total . . . . .	<u>\$25,935,121,722</u>	<u>\$23,072,169,600</u>	<u>\$6,055,584,800</u>	<u>\$5,250,000</u>	<u>\$22,316,720,000</u>	<u>\$77,384,846,122</u>

# SUMMARY OF APPROPRIATIONS

## GENERAL FUND AID TO LOCALITIES

	1998-99 Adjusted Appropriation	1999-00 Recommendation	<u>Change</u>
Adirondack Park Agency . . . . .	\$50,000	\$50,000	. . . . .
Aging, Office for the . . . . .	63,554,883	56,757,000	-\$6,797,883
Agriculture and Markets, Department of . . . . .	11,669,800	9,199,800	-2,470,000
Arts, Council on the . . . . .	41,300,000	41,200,000	-100,000
Audit and Control, Department of . . . . .	17,482,000	18,705,000	+ 1,223,000
Children and Family Services, Department of . . . . .	1,005,751,501	1,052,718,900	+ 46,967,399
City University of New York . . . . .	694,058,331	689,964,000	-4,094,331
Correctional Services, Department of . . . . .	60,216,000	55,902,800	-4,313,200
Criminal Justice Services, Division of . . . . .	71,447,004	61,449,300	-9,997,704
Domestic Violence, Office for the Prevention of . . . . .	555,000	555,000	. . . . .
Economic Development, Department of . . . . .	12,911,500	8,653,600	-4,257,900
Education Department, State . . . . .	10,919,376,937	11,241,147,300	+ 321,770,363
Empire State Development Corporation . . . . .	135,767,600	117,004,100	-18,763,500
Environmental Conservation, Department of . . . . .	2,475,602	532,800	-1,942,802
Greenway Heritage Conservancy for the Hudson River Valley . . . . .	200,000	. . . . .	-200,000
Health, Department of . . . . .	6,157,602,331	6,104,789,500	-52,812,831
Higher Education Services Corporation, New York State . . . . .	749,883,000	614,683,000	-135,200,000
Housing and Community Renewal, Division of . . . . .	60,292,224	61,185,000	+ 892,776
Housing Finance Agency . . . . .	775,000	760,000	-15,000
Mortgage Agency, State of New York . . . . .	56,256,000	80,702,000	+ 24,446,000
Hudson River Valley Greenway Communities Council . . . . .	204,000	204,000	. . . . .
Labor, Department of . . . . .	37,339,300	33,958,700	-3,380,600
Law, Department of . . . . .	405,500	437,800	+ 32,300
Mental Health, Office of . . . . .	620,644,000	633,256,000	+ 12,612,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	583,159,700	600,233,000	+ 17,073,300
Alcoholism and Substance Abuse Services, Office of Military and Naval Affairs, Division of . . . . .	243,882,791	242,131,000	-1,751,791
Parks, Recreation and Historic Preservation, Office of . . . . .	60,689,000	. . . . .	-60,689,000
Parole, Division of . . . . .	25,364,927	6,951,600	-18,413,327
Probation and Correctional Alternatives, Division of . . . . .	53,714,100	52,071,200	-1,642,900
Quality of Care for the Mentally Disabled, Commission on . . . . .	91,647,370	88,586,400	-3,060,970
Racing and Wagering Board, State . . . . .	95,000	95,000	. . . . .
Real Property Services, Office of . . . . .	250,000	. . . . .	-250,000
Science and Technology Foundation, New York State State, Department of . . . . .	21,929,000	18,911,000	-3,018,000
State University of New York . . . . .	26,793,000	24,045,000	-2,748,000
Taxation and Finance, Department of . . . . .	14,065,808	5,350,000	-8,715,808
Temporary and Disability Assistance, Office of . . . . .	292,985,600	294,164,600	+ 1,179,000
Transportation, Department of . . . . .	750,000	. . . . .	-750,000
Veterans' Affairs, Division of . . . . .	2,029,375,000	1,918,100,000	-111,275,000
	168,807,500	163,033,000	-5,774,500
	3,027,697	2,425,000	-602,697
Subtotal: Agencies . . . . .	<u>\$24,336,754,006</u>	<u>\$24,299,912,400</u>	<u>-\$36,841,606</u>
Miscellaneous All State Departments and Agencies: Community Projects, Other . . . . .	3,311,000	3,311,000	. . . . .
Development Authority of the North Country . . . . .	794,000	. . . . .	-794,000
Emergency Highway Construction and Reconstruction . . . . .	251,000,000	276,000,000	+ 25,000,000
Emergency Highway Reconditioning and Preservation . . . . .	183,600,000	208,600,000	+ 25,000,000
Higher Education . . . . .	6,054,000	. . . . .	-6,054,000
Local Government Assistance . . . . .	1,177,158,715	1,146,798,322	-30,360,393
Services, Expenses or Grants . . . . .	541,000	. . . . .	-541,000
Subtotal: All State Departments	<u>\$1,622,458,715</u>	<u>\$1,634,709,322</u>	<u>+ \$12,250,607</u>

# SUMMARY OF APPROPRIATIONS

---

## GENERAL FUND AID TO LOCALITIES

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Judiciary . . . . .	. . . .	500,000	+ 500,000
Total . . . . .	\$25,959,212,721	<u>\$25,935,121,722</u>	<u>-\$24,090,999</u>
Adjustments:			
Recommended Deficiencies . . . . .	-117,118,000		
Transfers to:			
General Fund (State Operations) . . . . .	+ 18,697,000		
Transfers from:			
General Fund (State Operations) . . . . .	<u>-30,000,000</u>		
Appropriated 1998-99 . . . . .	<u>\$25,830,791,721</u>		

## SUMMARY OF APPROPRIATIONS

### SPECIAL REVENUE FUNDS-FEDERAL AID TO LOCALITIES

	1998-99 Adjusted Appropriation	1999-00 Recommendation	<u>Change</u>
Aging, Office for the . . . . .	\$95,600,000	\$95,600,000	. . . . .
Agriculture and Markets, Department of . . . . .	. . . . .	3,000,000	+ \$3,000,000
Arts, Council on the . . . . .	250,000	95,000	-155,000
Children and Family Services, Department of . . . . .	1,533,647,000	1,870,827,000	+ 337,180,000
Crime Victims Board . . . . .	19,897,900	19,318,300	-579,600
Criminal Justice Services, Division of . . . . .	43,551,600	45,846,600	+ 2,295,000
Economic Development, Department of . . . . .	5,000,000	5,000,000	. . . . .
Education Department, State . . . . .	1,896,254,000	2,140,729,000	+ 244,475,000
Health, Department of . . . . .	15,148,400,950	15,631,996,500	+ 483,595,550
Higher Education Services Corporation, New York State . . . . .	2,400,000	2,400,000	. . . . .
Housing and Community Renewal, Division of . . . . .	25,050,000	23,525,000	-1,525,000
Labor, Department of . . . . .	445,108,000	476,586,000	+ 31,478,000
Mental Health, Office of . . . . .	21,891,000	22,925,000	+ 1,034,000
Alcoholism and Substance Abuse Services, Office of . . . . .	119,998,400	133,477,400	+ 13,479,000
Military and Naval Affairs, Division of . . . . .	205,100,000	5,500,000	-199,600,000
Motor Vehicles, Department of . . . . .	3,978,300	4,978,300	+ 1,000,000
Parks, Recreation and Historic Preservation, Office of . . . . .	800,000	870,000	+ 70,000
Parole, Division of . . . . .	2,842,500	2,842,500	. . . . .
State, Department of . . . . .	43,040,000	45,150,000	+ 2,110,000
Temporary and Disability Assistance, Office of . . . . .	2,702,500,000	2,515,500,000	-187,000,000
Transportation, Department of . . . . .	18,023,000	26,003,000	+ 7,980,000
Total . . . . .	\$22,333,332,650	\$23,072,169,600	+ \$738,836,950
Appropriated 1998-99 . . . . .	<u>\$22,333,332,650</u>		

# SUMMARY OF APPROPRIATIONS

## SPECIAL REVENUE FUNDS-OTHER AID TO LOCALITIES

	1998-99 Adjusted Appropriation	1999-00 Recommendation	Change
Children and Family Services, Department of . . . .	\$21,000,000	\$21,000,000	. . . .
Crime Victims Board . . . . .	17,999,300	17,999,300	. . . .
Criminal Justice Services, Division of . . . . .	2,200,000	2,200,000	. . . .
Education Department, State . . . . .	2,244,150,000	2,865,150,000	+ \$621,000,000
Health, Department of . . . . .	1,093,148,500	924,168,500	-168,980,000
Higher Education Services Corporation, New York State . . . . .	7,000,000	7,000,000	. . . .
Labor, Department of . . . . .	245,000	245,000	. . . .
Mental Retardation and Developmental Disabilities, Office of . . . . .	338,871,000	377,885,000	+ 39,014,000
Alcoholism and Substance Abuse Services, Office of	5,500,000	8,000,000	+ 2,500,000
Metropolitan Transportation Authority . . . . .	248,600,000	253,400,000	+ 4,800,000
Military and Naval Affairs, Division of . . . . .	1,650,000	1,650,000	. . . .
Parks, Recreation and Historic Preservation, Office of . . . . .	900,000	1,100,000	+ 200,000
Public Service Department . . . . .	200,000	800,000	+ 600,000
Quality of Care for the Mentally Disabled, Commission on . . . . .	373,000	373,000	. . . .
Racing and Wagering Board, State . . . . .	. . . .	1,700,000	+ 1,700,000
State, Department of . . . . .	300,000	300,000	. . . .
Temporary and Disability Assistance, Office of . . .	132,100,000	86,200,000	-45,900,000
Transportation, Department of . . . . .	1,437,646,000	1,446,377,000	+ 8,731,000
Judiciary . . . . .	38,600,000	40,037,000	+ 1,437,000
Total . . . . .	\$5,590,482,800	\$6,055,584,800	+ \$465,102,000
Adjustments:			
Transfers from:			
Special Revenue Funds-Other (State Operations) . .	<u>-30,000,000</u>		
Appropriated 1998-99 . . . . .	<u>\$5,560,482,800</u>		

## SUMMARY OF APPROPRIATIONS

### FIDUCIARY FUNDS AID TO LOCALITIES

	1998-99 Adjusted Appropriation	1999-00 Recommendation	<u>Change</u>
Aging, Office for the . . . . .	\$3,100,000	\$3,100,000	. . . .
Arts, Council on the . . . . .	200,000	200,000	. . . .
Children and Family Services, Department of . . . .	3,530,000	3,530,000	. . . .
Crime Victims Board . . . . .	40,000	40,000	. . . .
Health, Department of . . . . .	375,000,000	500,000,000	+ \$125,000,000
Housing and Community Renewal, Division of . . . .	10,000,000	10,000,000	. . . .
Interest on Lawyer Account . . . . .	14,950,000	14,950,000	. . . .
Mental Retardation and Developmental Disabilities, Office of . . . . .	2,000,000	2,000,000	. . . .
State, Department of . . . . .	5,000,000	2,600,000	-2,400,000
Temporary and Disability Assistance, Office of . . . .	6,000,000	10,000,000	+ 4,000,000
Local Government Assistance . . . . .	19,576,857,793	21,770,300,000	+ 2,193,442,207
<b>Total . . . . .</b>	<b>\$19,996,677,793</b>	<b>\$22,316,720,000</b>	<b>+ \$2,320,042,207</b>
Appropriated 1998-99 . . . . .	<u>\$19,996,677,793</u>		

### INTERNAL SERVICE FUNDS AID TO LOCALITIES

	1998-99 Adjusted Appropriation	1999-00 Recommendation	<u>Change</u>
Parole, Division of . . . . .	\$5,250,000	\$5,250,000	. . . .
<b>Total . . . . .</b>	<b>\$5,250,000</b>	<b>\$5,250,000</b>	<b>. . . .</b>
Appropriated 1998-99 . . . . .	<u>\$5,250,000</u>		

# SUMMARY OF APPROPRIATIONS

## CAPITAL PROJECTS APPROPRIATIONS ALL FUNDS

	Appropriated for 1998-99				
Department or Agency	Capital Projects Funds	Special Revenue Funds	Internal Service Funds	Fiduciary Funds	Total 1998-99
Agriculture and Markets, Department of . . . . .	\$1,917,000	. . . .	. . . .	. . . .	\$1,917,000
Children and Family Services, Office of . . . . .	15,100,000	. . . .	. . . .	. . . .	15,100,000
City University of New York . . . . .	1,036,900,000	. . . .	. . . .	. . . .	1,036,900,000
Correctional Services, Department of . . . . .	429,062,000	. . . .	. . . .	. . . .	429,062,000
Education Department, State . . . . .	13,150,000	. . . .	. . . .	. . . .	13,150,000
Environmental Conservation, Department of . . . . .	547,919,000	\$5,500,000	. . . .	. . . .	553,419,000
Environmental Facilities Corporation . . . . .	292,000	. . . .	. . . .	. . . .	292,000
General Services, Office of . . . . .	53,500,000	. . . .	. . . .	. . . .	53,500,000
Health, Department of . . . . .	106,906,000	. . . .	. . . .	. . . .	106,906,000
Housing and Community Renewal, Division of . . . . .	63,200,000	. . . .	. . . .	. . . .	63,200,000
Mental Health, Office of . . . . .	151,432,000	. . . .	. . . .	. . . .	151,432,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	69,554,000	. . . .	. . . .	. . . .	69,554,000
Alcoholism and Substance Abuse Services, Office of . . . . .	15,300,000	. . . .	. . . .	. . . .	15,300,000
Military and Naval Affairs, Division of . . . . .	8,425,000	. . . .	. . . .	. . . .	8,425,000
Olympic Regional Development Authority . . . . .	2,317,000	. . . .	. . . .	. . . .	2,317,000
Parks, Recreation and Historic Preservation, Office of . . . . .	42,431,000	200,000	. . . .	. . . .	42,631,000
State, Department of . . . . .	1,055,000	. . . .	. . . .	. . . .	1,055,000
State Police, Division of . . . . .	4,550,000	. . . .	. . . .	. . . .	4,550,000
State University of New York . . . . .	1,947,750,000	. . . .	. . . .	. . . .	1,947,750,000
State University - Community Colleges . . . . .	200,000,000	. . . .	. . . .	. . . .	200,000,000
Office of Temporary and Disability Assistance . . . . .	30,000,000	. . . .	. . . .	. . . .	30,000,000
Thruway Authority, New York State . . . . .	2,000,000	. . . .	. . . .	. . . .	2,000,000
Transportation, Department of . . . . .	3,364,549,000	34,618,000	. . . .	. . . .	3,399,167,000
Total . . . . .	<u>\$8,107,309,000</u>	<u>\$40,318,000</u>	<u>. . . .</u>	<u>. . . .</u>	<u>\$8,147,627,000</u>
Appropriated 1998-99	<u>\$8,107,309,000</u>				

## SUMMARY OF APPROPRIATIONS

### CAPITAL PROJECTS ALL FUNDS

#### TOTAL RECOMMENDED NEW APPROPRIATIONS AND REAPPROPRIATIONS

Department or Agency	Total Recommended Appropriations 1999-00	Total Recommended Reappropriations 1999-00	Capital Projects Fund	Capital Projects Fund Advances	Federal Capital Projects Fund	All Other Fund Types (a)	Total Capital Projects 1999-00
Agriculture and Markets, Department of . . . . .	\$3,078,000	\$7,653,000	\$7,403,000	. . . .	. . . .	\$3,328,000	\$10,731,000
Children and Family Services, Office of . . . . .	83,750,000	49,174,000	15,280,000	. . . .	. . . .	117,644,000	132,924,000
City University of New York Correctional Services, Department of . . . . .	. . . .	1,091,528,000	99,112,000	\$988,346,000	. . . .	4,070,000	1,091,528,000
Education Department, State . . . . .	443,000,000	983,871,000	3,000,000	. . . .	\$148,233,000	1,275,638,000	1,426,871,000
Empire State Development Corporation . . . . .	909,000	45,551,000	4,467,000	41,993,000	. . . .	. . . .	46,460,000
Energy Research and Development Authority, New York State . . . . .	. . . .	350,000,000	350,000,000	. . . .	. . . .	. . . .	350,000,000
Environmental Conservation, Department of . . . . .	12,617,000	. . . .	12,500,000	. . . .	. . . .	117,000	12,617,000
Environmental Facilities Corporation . . . . .	663,597,000	4,203,608,000	1,612,016,000	121,458,000	432,828,000	2,700,903,000	4,867,205,000
General Services, Office of . . . . .	299,000	. . . .	. . . .	. . . .	. . . .	299,000	299,000
Health, Department of . . . . .	95,800,000	95,728,000	185,329,000	5,902,000	297,000	. . . .	191,528,000
Housing and Community Renewal, Division of . . . . .	98,877,000	225,167,000	79,053,000	26,500,000	178,367,000	40,124,000	324,044,000
Mental Hygiene, Department of . . . . .	67,700,000	344,028,000	26,075,000	. . . .	46,003,000	339,650,000	411,728,000
Mental Health, Office of . . . . .	19,347,000	. . . .	. . . .	. . . .	19,347,000	19,347,000	19,347,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	114,432,000	509,097,000	81,275,000	. . . .	. . . .	542,254,000	623,529,000
Alcoholism and Substance Abuse Services, Office of . . . . .	61,381,000	91,782,000	79,072,000	. . . .	. . . .	74,091,000	153,163,000
Metropolitan Transportation Authority . . . . .	28,761,000	151,459,000	41,009,000	. . . .	. . . .	139,211,000	180,220,000
Military and Naval Affairs, Division of . . . . .	. . . .	36,000,000	. . . .	36,000,000	. . . .	. . . .	36,000,000
Niagara Frontier Transportation Authority . . . . .	8,925,000	24,235,000	15,321,000	. . . .	17,839,000	. . . .	33,160,000
Olympic Regional Development Authority . . . . .	. . . .	2,000	2,000	. . . .	. . . .	. . . .	2,000
Parks, Recreation and Historic Preservation, Office of . . . . .	2,317,000	. . . .	2,317,000	. . . .	. . . .	. . . .	2,317,000
State, Department of . . . . .	39,039,000	107,147,000	34,465,000	. . . .	2,970,000	108,751,000	146,186,000
State Police, Division of . . . . .	1,317,000	1,008,000	1,977,000	. . . .	. . . .	348,000	2,325,000
State University of New York State University - Community Colleges . . . . .	2,000,000	7,969,000	9,969,000	. . . .	. . . .	. . . .	9,969,000
Office of Temporary and Disability Assistance . . . . .	. . . .	2,302,258,000	161,729,000	1,759,609,000	. . . .	380,920,000	2,302,258,000
Thruway Authority, New York State . . . . .	. . . .	256,557,000	36,891,000	219,666,000	. . . .	. . . .	256,557,000
Transportation, Department of . . . . .	30,000,000	124,856,000	14,111,000	. . . .	. . . .	140,745,000	154,856,000
	2,000,000	2,000,000	. . . .	. . . .	. . . .	4,000,000	4,000,000
<b>Total . . . . .</b>	<u>\$5,019,746,000</u>	<u>\$19,001,903,000</u>	<u>\$3,071,602,000</u>	<u>\$3,225,707,000</u>	<u>\$5,136,182,000</u>	<u>\$11,761,621,000</u>	<u>\$24,021,649,000</u>

(a) Includes Other Capital Projects Funds, Special Revenue Funds - Other, Fiduciary Funds, Internal Service Funds, Enterprise Funds, and Bond Funds

# SUMMARY OF APPROPRIATIONS

## CAPITAL PROJECTS APPROPRIATIONS ALL FUNDS

Department or Agency	Recommended for 1999-00					Total 1999-00	Change From 1998-99
	Total 1998-99	Capital Projects Funds	Special Revenue Funds	Internal Service Funds	Fiduciary Funds		
Agriculture and Markets, Department of . . . . .	\$1,917,000	\$3,078,000	.....	.....	.....	\$3,078,000	+ 1,161,000
Children and Family Services, Office of . . . . .	15,100,000	83,750,000	.....	.....	.....	83,750,000	+ 68,650,000
City University of New York Correctional Services, Department of . . . . .	1,036,900,000	.....	.....	.....	.....	.....	-1,036,900,000
Education Department, State . .	429,062,000	443,000,000	.....	.....	.....	443,000,000	+ 13,938,000
Energy Research and Development Authority, New York State . . . . .	13,150,000	909,000	.....	.....	.....	909,000	-12,241,000
Environmental Conservation, Department of . . . . .	.....	12,617,000	.....	.....	.....	12,617,000	+ 12,617,000
Environmental Facilities Corporation . . . . .	553,419,000	660,597,000	\$3,000,000	.....	.....	663,597,000	+ 110,178,000
General Services, Office of . . .	292,000	299,000	.....	.....	.....	299,000	+ 7,000
Health, Department of . . . . .	53,500,000	95,800,000	.....	.....	.....	95,800,000	+ 42,300,000
Housing and Community Renewal, Division of . . . . .	106,906,000	87,477,000	11,400,000	.....	.....	98,877,000	-8,029,000
Mental Health, Office of . . . . .	63,200,000	67,700,000	.....	.....	.....	67,700,000	+ 4,500,000
Mental Retardation and Developmental Disabilities, Office of . . . . .	151,432,000	114,432,000	.....	.....	.....	114,432,000	-37,000,000
Alcoholism and Substance Abuse Services, Office of . . .	69,554,000	61,381,000	.....	.....	.....	61,381,000	-8,173,000
Military and Naval Affairs, Division of . . . . .	15,300,000	28,761,000	.....	.....	.....	28,761,000	+ 13,461,000
Olympic Regional Development Authority . . . . .	8,425,000	8,925,000	.....	.....	.....	8,925,000	+ 500,000
Parks, Recreation and Historic Preservation, Office of . . . . .	2,317,000	2,317,000	.....	.....	.....	2,317,000	.....
State, Department of . . . . .	42,631,000	39,039,000	.....	.....	.....	39,039,000	-3,592,000
State Police, Division of . . . . .	1,055,000	1,317,000	.....	.....	.....	1,317,000	+ 262,000
State University of New York . .	4,550,000	2,000,000	.....	.....	.....	2,000,000	-2,550,000
State University - Community Colleges . . . . .	1,947,750,000	.....	.....	.....	.....	.....	-1,947,750,000
Office of Temporary and Disability Assistance . . . . .	200,000,000	.....	.....	.....	.....	.....	-200,000,000
Thruway Authority, New York State . . . . .	30,000,000	30,000,000	.....	.....	.....	30,000,000	.....
Transportation, Department of .	2,000,000	2,000,000	.....	.....	.....	2,000,000	.....
	3,399,167,000	3,219,288,000	40,659,000	.....	.....	3,259,947,000	-139,220,000
<b>Total . . . . .</b>	<b>\$8,147,627,000</b>	<b>\$4,964,687,000</b>	<b>\$55,059,000</b>	<b>.....</b>	<b>.....</b>	<b>\$5,019,746,000</b>	<b>-3,127,881,000</b>

# ***PART V***

## ***USER'S GUIDE***



# ***USER'S GUIDE***

The "User's Guide" provides an explanation of how to use the Executive Budget documents and where to find particular types of information. It also contains some short, nontechnical and "user-friendly" descriptions of State government and the budget process, a guide on how to read certain budget tables, and definitions of financial terms as included in these budget documents.

Government budget documents can be difficult to read. They contain many numbers and tend to lapse into technical jargon. Even people with considerable government experience can be baffled by the numerous tables or find themselves uncertain about the meaning of specialized terms.

The User's Guide attempts to overcome this problem by providing simplified, nontechnical explanations and a description of how to use the budget documents. The User's Guide contains the following sections:

- The Executive Budget Documents
- The Structure of State Government
- The Budget Process
- Guide to the Tables
- Financial Terminology

## **THE EXECUTIVE BUDGET DOCUMENTS**

The 1999-2000 Executive Budget is presented in three volumes. The first volume includes the Budget Message, an overview which describes the major themes and initiatives contained within the budget and the fiscal and economic environment within which budget decisions were made, and a listing of the legislation necessary to implement the budget recommendations. This document also presents tables summarizing cash disbursements by agency.

This second volume (Appendix I) contains the more detailed agency budget presentations. These presentations generally follow a common format and provide information on the agencies' budgets, including operating, local aid and capital projects appropriations. This volume also contains presentations covering miscellaneous appropriations (including general state charges), State debt service and, as required by the Constitution, the requests of the Judiciary and the Legislature. Tables summarizing appropriations for all agencies can be found in Part IV immediately preceding this Guide.

A third volume (Appendix II) includes the State's Financial Plan Overview, the Capital Program and Financing Plan, the detailed Explanation of Receipt Estimates, and the economic, revenue and expenditure assumptions that form the basis of the Financial Plan.

It should be noted that this User's Guide describes only the "official" budget publications (the Executive Budget and the Executive Budget Appendix books). Other documents such as press releases and publicly released briefing materials may also be of help to those seeking to understand the budget.

## **THE STRUCTURE OF STATE GOVERNMENT**

The Executive Budget focuses on the programs and finances of State government. It should be kept in mind, however, that government in New York State also includes the governments of 62 counties (five of which are the five boroughs of New York City), 62 cities (including New York City), 932 towns and 553 villages. In addition, the State is divided into 707 school districts, including New York City.

Organizationally, the State follows the classic pattern of American government — with three independent branches. The legislative branch consists of a bicameral Legislature — a Senate of 61 members and an Assembly of 150 members. The judicial branch includes trial courts and appellate courts ranging from town and village courts to the State's highest court — the Court of Appeals. The Judiciary functions under a Unified Court System whose organization, administration and financing are prescribed by the State Constitution and the Unified Court Budget Act.

The executive branch of New York State government consists of 20 departments, the maximum number allowed under a constitutional ceiling. The limitation in the number of departments is traceable to the constitutional reforms of the mid-1920's which sought to make government more manageable by eliminating most of the independently elected executive officers and by inhibiting the creation of new departments. Although there have been several interim changes since the 1920's, in 1961 the maximum number of departments was set at 20, which at the present time are the following:

Agriculture and Markets	Health
Audit and Control	Insurance
Banking	Labor
Civil Service	Law
Correctional Services	Mental Hygiene
Economic Development	Motor Vehicles
Education	Public Service
Environmental Conservation	State
Executive	Taxation and Finance
Family Assistance	Transportation

To accommodate governmental functions added since the 1920's within the limits established by the Constitution, numerous agencies have been created within the Executive Department. At the time of the 1920's reorganization, this Department, headed by the Governor, consisted solely of such core functions as budgeting, central purchasing, State police, and military and naval affairs. However, over the years, as the State took on new responsibilities that did not fit logically into the framework of one of the other departments, the entities charged with providing those services became divisions or offices of the Executive Department.

New York grants its Governor a comparatively broad range of executive power. Only two officers, in addition to the Governor and Lieutenant Governor (who are elected on a joint ballot), are directly elected by the people of the State: the State Comptroller, who heads the Department of Audit and Control, and the Attorney General, who heads the Department of Law. With a handful of exceptions, the Governor appoints the heads of all other departments and agencies of the executive branch.

## ***USER'S GUIDE***

---

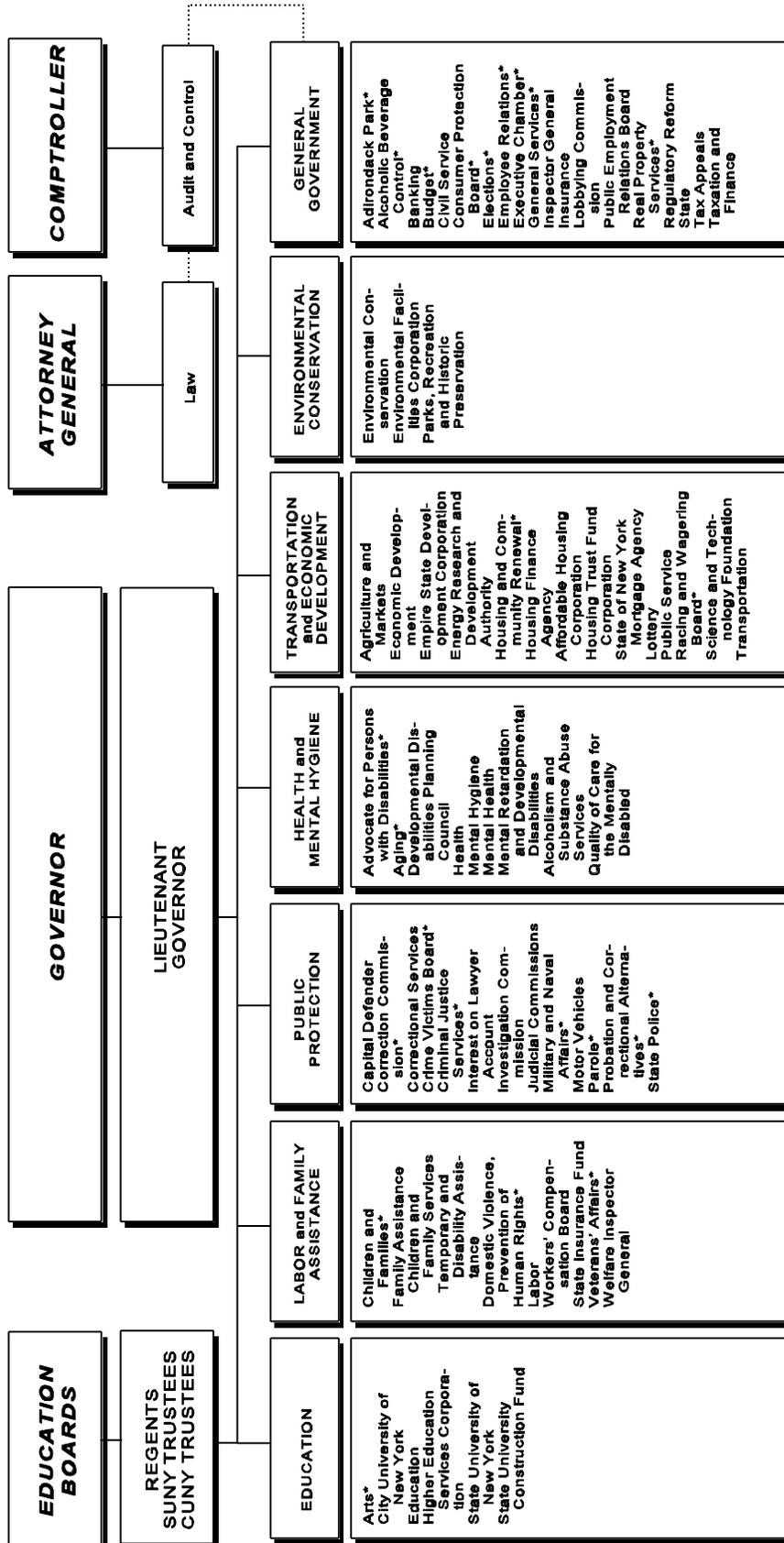
The exceptions include the Commissioner of the State Education Department, whose head is appointed by, and serves at the pleasure of, the State Board of Regents. The State University of New York (SUNY), although technically a corporate entity within the State Education Department, is headed by a Chancellor who is appointed by a Board of Trustees. Likewise, the City University of New York (CUNY) is headed by a Chancellor, who is appointed by a Board of Trustees.

The departments and agencies whose heads report to the Governor are separate and distinct from one another. Conceptually, however, one may think of each department, board, commission, office or other entity as operating within the context of one of seven major functional areas.

An organization chart of the executive branch by functional areas is displayed on the following page. This chart depicts the current structure of the executive branch, and therefore does not reflect any reorganizations that are proposed in the Executive Budget. These are described elsewhere, particularly in the Agency Presentations section of this volume.

**FUNCTIONAL DISTRIBUTION OF STATE AGENCIES IN THE EXECUTIVE BRANCH**

January 1, 1999



\*Indicates agencies within the Executive Department

## **THE BUDGET PROCESS**

New York State's budget process is a prime example of an executive budget system. The Governor is required by the State Constitution to seek and coordinate requests from agencies of State government, develop a "complete" plan of proposed expenditures and the revenues available to support them (a "balanced budget"), and submit a budget to the Legislature along with the appropriation bills and other legislation required to carry out budgetary recommendations. The Governor is also required by the State Finance Law to manage the budget through administrative actions during the fiscal year.

The State's fiscal year begins April 1 and ends on March 31. However, the actual "budget cycle," representing the time between early budget preparation and last-minute disbursements, begins some nine months earlier and lasts approximately 27 months — until the expiration of the State Comptroller's authority to honor vouchers against the previous fiscal year's appropriations.

### **AGENCY BUDGET PREPARATION (JUNE—SEPTEMBER/OCTOBER)**

Preparation of budget requests varies among agencies reflecting their size, complexity and internal practice. Typically, budget development begins at the program or subdepartmental level, with staff preparing individual program requests guided by the instructions set forth by the Division of the Budget in the Budget Request Manual. The head of the agency or its top fiscal officer may hold internal hearings at which program managers outline their budgetary needs.

Although agencies begin to analyze their budget needs as early as May or June, the formal budget cycle begins when the Budget Director issues a policy memorandum — the "call letter" — to agency heads. The call letter outlines, in general terms, the Governor's priorities for the coming year, alerts the agency heads to expected fiscal constraints and informs agencies of the schedule for submitting requests to the Division of the Budget. In short, the call letter signals the official start of the budget process.

By early fall, the final program package is assembled, reviewed for consistency with the call letter, and approved by the agency head.

### **DIVISION OF THE BUDGET REVIEW (SEPTEMBER/OCTOBER—DECEMBER)**

In accordance with a schedule outlined in the call letter, agencies typically submit their budget requests to the Division of the Budget in September or October, with copies provided to the legislative fiscal committees. Examination units within the Division then analyze the requests of agencies for which they have responsibility. Examiners may seek additional information from the agencies and may hold informal hearings or meetings with agency management to clarify agency requests and seek a more precise definition of agency priorities. By the end of October, examination units have also usually determined funding requirements to continue agency programs at current levels in the new year.

In November, the Budget Director conducts a series of constitutionally authorized "formal" budget hearings, giving agency heads an opportunity to present and discuss their budget requests and giving the staff of the Division of the Budget and the Governor's office an "on-the-record" opportunity to raise critical questions on program, policy and priorities. As provided in the Constitution, representatives of the Legislature may participate in the hearings.

To help expedite the budget process, the Legislature also participates in a series of meetings with executive staff to discuss the economic outlook, revenue forecasts, projected spending, the impact of State and Federal statutes, and any other relevant matters. Through late November, the Division's examiners transform agency requests into preliminary budget and personnel recommendations which are reviewed in detail with

the Director. The staff also prepare the appropriation bills and any other legislation required to carry out these recommendations. Concurrently, the Division of the Budget's fiscal staff is reassessing economic projections, investigating possible changes in the revenue structure, analyzing trends in Federal funding, and preparing the Financial Plan that describes and forecasts the State's fiscal condition. The Financial Plan is prepared both on a cash basis and according to generally accepted accounting principles (GAAP).

By early December, the Division of the Budget will normally have completed its recommendations on both revenues and expenditures, and presented them to the Governor and the Governor's staff. Budget staff then prepare the tables and the narrative (the "budget story") that accompany each agency budget, and the descriptions and forecasts of individual revenue sources.

### ***THE GOVERNOR'S DECISIONS (NOVEMBER—JANUARY)***

The Governor and staff, who are also preparing the annual Message to the Legislature (the "State-of-the-State" message which the Governor presents to the Legislature when it convenes in January), are conversant with the budget throughout its development. The Governor is kept up-to-date on changing economic and revenue forecasts and confirms that program priorities are accurately reflected in the budget. Based on the preliminary recommendations and the most current reading of the economic and fiscal environment, the final Executive Budget recommendations are formulated in a series of meetings between Division of the Budget staff and the Governor and his staff. These sessions focus on major fiscal and policy issues and may lead to significant revisions in agency budgets.

### ***LEGISLATIVE ACTION (JANUARY—MARCH)***

Typically, in mid-January — or, following a gubernatorial election year, by February 1 — the Governor submits the Executive Budget to the Legislature, along with the related appropriation, revenue and other budget bills concerning State operations, aid to localities, capital projects and debt service. The State's Five-Year Capital and Financing Plan is also submitted with the Executive Budget. Within 10 days, the Division of the Budget provides the Legislature with additional financial information supporting the Executive Budget. A three-year financial projection is submitted within 30 days following submission of the Executive Budget, although it can be submitted earlier.

Historically, the Legislature, primarily through its fiscal committees — Senate Finance and Assembly Ways and Means — analyzes the Executive spending proposals and revenue estimates, holds public hearings on major programs and seeks further information from the staffs of the Division of the Budget and other State agencies. Following that review, the Legislature acts on the appropriation bills submitted with the Executive Budget to reflect its decisions.

In 1998, for the first time ever, the Legislature adopted a Conference Committee process to organize its deliberations and reach bi-lateral agreement on a Budget. The process involved the creation of a General Budget Conference Committee to set overall priorities and manage the process, and several Conference Subcommittees to make budget recommendations for specific program areas. After a series of public meetings, the Committees developed joint spending and revenue recommendations which were then reflected in amended versions of the Governor's proposed appropriation bills and related legislation, and approved by both houses.

It is generally expected that the Legislature will again utilize the Conference Committees in its deliberations on the 1999-2000 Budget. The Senate and Assembly will continue to conduct an extensive analysis of the Budget and discuss their findings with the Executive, as has been done in the past. Upon completing its analysis, the Legislature often amends the appropriation bills and other budget-related bills before voting on them.

These amended bills are available from the Senate and Assembly Document Rooms located in the Capitol and the Legislative Office Building, and on the Internet.

The appropriation bills, except for those items which were added by the Legislature and the appropriations for the Legislature and Judiciary, become law without further action by the Governor. The Governor must approve or disapprove all or parts of the appropriation bills covering the Legislature and Judiciary and may use the line item veto to disapprove items added by the Legislature while approving the remainder of the bill. As provided in the Constitution, the Legislature may override the Governor's veto by the vote of two-thirds of the members of each house. The passage of the appropriation bills provides a legal foundation for the disbursement of funds during the new fiscal year.

Upon passage of the appropriation bills, the Legislature must issue a summary of changes to the budget, and indicate how projected disbursements will be balanced by projected receipts. The Legislature must also issue a report describing appropriation changes in the enacted budgets, and the effect of the enacted budget on State agency employment levels.

### ***BUDGET EXECUTION (APRIL—MARCH)***

At this point the budget process enters a new phase: budget execution. As a first step, the Division of the Budget approves "certificates of allocation" informing the State Comptroller that accounts may be established as specified in the certificates and that vouchers drawn against the accounts may be honored.

In addition, the Division of the Budget keeps a close watch throughout the year on the flow of revenue and the pattern of expenditures against its projections. This information is reflected in quarterly updates of the Financial Plan which are provided to the Legislature, as required by law, in April (or as soon as practicable after budget enactment), July, October and with the Executive Budget for the ensuing year. These serve as the basis of financial management during the fiscal year, and may alert both the Governor and the Legislature to potential problems in maintaining budget balance as the State fiscal year unfolds.

## **A GUIDE TO THE TABLES**

One of the most daunting features of any budget document is the array of tables that accompanies each narrative. What does each table include? What is a "category"? Is it the same as a "program"? What are "all funds"? How do the tables account for transactions that have occurred during the current fiscal year and that may have changed the basis for year-to-year comparisons?

At first glance, the tables may appear to differ widely in appearance and content from one agency budget to another. Some agencies will have a limited number of programs, receive funding in only one category of appropriation — say, State Operations — and have no capital construction projects. Others may receive funding in all categories and many fund types, have a complex set of programs, and reflect numerous current-year adjustments. A closer look will reveal that each agency presentation uses a uniform set of tables in an identical sequence. It should be noted, however, that some agencies may not require one or more of the set. For example, the capital projects table will not be included for an agency that has no construction program.

All or most of the following tables accompany each agency presentation. The numbers of the tables (e.g., I, II,...X) have been included in this guide for ease of reference only. Although the titles of the tables are identical to those that appear in the agency presentations, the tables in the presentations are not numbered.

- I. ALL FUNDS — APPROPRIATIONS**
- II. ALL FUND TYPES — LEVELS OF EMPLOYMENT BY PROGRAM — ANNUAL SALARIED POSITIONS**
- III. STATE OPERATIONS — ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**
- IV. STATE OPERATIONS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**
- V. STATE OPERATIONS — GENERAL FUND — SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES — 1999-2000 RECOMMENDED**
- VI. STATE OPERATIONS — GENERAL FUND — SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED APPROPRIATIONS AND CHANGES — 1999-2000 RECOMMENDED**
- VII. STATE OPERATIONS — OTHER THAN GENERAL FUND — SUMMARY OF APPROPRIATIONS AND CHANGES — 1999-2000 RECOMMENDED**
- VIII. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**
- IX. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**
- X. CAPITAL PROJECTS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

# USER'S GUIDE

## I. ALL FUNDS — APPROPRIATIONS

This table shows the total recommended appropriations by category and grand total for the coming fiscal year compared with appropriations available for the current fiscal year for all funds. It also shows the total of current year and prior year appropriations which have been recommended for reappropriation for all funds in the Capital Projects category.

<b>1</b> ALL FUNDS APPROPRIATIONS				
<b>2</b> Category	<b>3</b> Available 1998-99	<b>4</b> Appropriations Recommended 1999-00	Change	<b>5</b> Reappropriations Recommended 1999-00
State Operations . . . . .	\$34,981,300	\$32,592,500	-\$2,388,800	. . . . .
Aid To Localities . . . . .	82,085,405	79,619,905	-2,465,500	\$3,100,000
Capital Projects . . . . .	3,314,000	2,495,000	-819,000	96,557,000
Debt Service . . . . .	. . . . .	. . . . .	. . . . .	. . . . .
Total . . . . .	<u>\$120,380,705</u>	<u>\$114,707,405</u>	<u>-\$5,673,300</u>	<u>\$99,657,000</u>

**1** "All Funds" captures spending from all of the State's various revenue sources, including taxes, fees, fines, Federal grants, bond proceeds, lottery proceeds, and other miscellaneous receipts. This concept includes the four fund types which comprise the Governmental Funds Financial Plan: the General Fund (the repository for the majority of State-imposed taxes and fees), Special Revenue funds (including funds earmarked for specific purposes like lottery proceeds, fishing licenses, or Federal grants), Capital Projects funds and Debt Service funds. Another three fund types — Internal Service funds, Enterprise funds and Fiduciary funds — are included as well.

**2** There are four major categories of spending: State Operations, Aid to Localities, Capital Projects and Debt Service.

**3** This column includes the appropriations for the current fiscal year. Adjustments, such as the recommended transfer of a program or an item to another fund or agency for the coming fiscal year, are included to provide for year-to-year comparability.

**4** This column displays the appropriations recommended to be made to the agency for 1999-2000. As explained in the "Financial Terminology" section of this Guide, appropriations represent an authorization to incur spending obligations during the fiscal year, up to the specified amount. Cash payments for those obligations may occur during the fiscal year of the appropriation, or during the first part of the ensuing fiscal year.

**5** A reappropriation is a prior-year or current-year appropriation which will not have been fully expended by the end of the current fiscal year and which has been recommended for extension. For a further discussion of Capital Projects reappropriations see Note 2 of Table X.

**II. ALL FUND TYPES — LEVELS OF EMPLOYMENT BY PROGRAM — ANNUAL SALARIED POSITIONS**

Level of Employment or Workforce, as reflected in this table, is on an "Average Fill Level" (AFL) basis and does not include nonannual salaried employees (e.g., employees hired on a seasonal or hourly basis). AFL is the number of annual salaried positions, expressed on a full-time equivalent (FTE) basis, that can be filled on average throughout the fiscal year based on available funding.

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

Program	1999-00 Recommended Average Fill Level				Change
	<b>1</b> Available 1998-99	<b>2</b> Personal Service (Regular)	<b>3</b> Maintenance Undistributed	<b>4</b> Total Recommended 1999-00	
Executive Management					
General Fund	60	56	....	56	-4
Administration and Fiscal Management					
General Fund	72	46	....	46	-26
Special Revenue Funds—Federal	19	40	....	40	+ 21
Special Revenue Funds—Other	50	....	59	59	+ 9
Prevention and Intervention					
General Fund	42	34	....	34	-8
Treatment and Rehabilitation					
General Fund	525	493	....	493	-32
Research, Planning and Development					
General Fund	122	96	....	96	-26
Subtotal, Direct Funded Programs	890	765	59	824	-66
<b>6</b> Suballocations:					
Special Revenue Funds—Federal	....			10	+ 10
Total	890			834	-56

**1** Available 1998-99 includes the combined total AFL available in this agency during the current year funded from three sources: Personal Service (Regular); Maintenance Undistributed; and suballocations of funding from sources outside the agency.

**2** AFL values shown in this column are funded from appropriations for Personal Service (Regular) and, if applicable, from capital appropriations in this agency.

**3** AFL values shown in this column are funded from Maintenance Undistributed appropriations made to this agency.

**4** This is the total of the values shown in the preceding two columns.

**5** This is the year to year change in AFL values, i.e., the values shown in the fourth column versus the values shown in the first column.

**6** AFL values shown in this row are funded from other sources, including suballocations from other agencies and other financing mechanisms. This table shows the addition of 10 positions from suballocated funds.

The next five tables apply to the State Operations category. Each agency which has appropriations in this category will have some or all of these tables in its budget presentation.

**III. STATE OPERATIONS — ALL FUNDS REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**

This table shows the distribution of all appropriations within the State Operations category by fund type and shows a year-to-year comparison of the amounts available in the current fiscal year and those recommended for the coming fiscal year. See the next table for a distribution by program.

STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE APPROPRIATIONS			
1 Fund Type	Available 1998-99	Recommended 1999-00	Change
2 General Fund . . . . .	\$31,388,300	\$27,704,200	-\$3,684,100
Special Revenue Funds—Federal . . . . .	1,043,000	1,694,100	+ 651,100
Special Revenue Funds—Other . . . . .	2,550,000	3,194,200	+ 644,200
Total . . . . .	\$34,981,300	\$32,592,500	-\$2,388,800
3 Adjustments:			
Transfer(s) From:			
All State Departments and Agencies			
General Fund . . . . .	-235,800		
Transfer(s) To:			
Alcoholism and Substance Abuse Services, Office of			
General Fund (Aid to Localities) . . . . .	+ 50,800		
Appropriated 1998-99 . . . . .	\$34,796,300		

1 The State Finance Law defines and mandates the use of seven fund types: General, Special Revenue, Capital Projects, Debt Service, Enterprise, Internal Service and Fiduciary.

2 Because of the difference between the State's fiscal year (April 1 through March 31) and the Federal fiscal year (October 1 through September 30), State fiscal year appropriations of most Federal grants generally include spending from portions of two Federal fiscal years. The amounts discussed throughout the Executive Budget represent the totals of spending from different grants, that are expected to occur during the State fiscal year.

3 Adjustments in the amounts available for the current year may occur for a number of reasons. As discussed below, they may anticipate changes that are being recommended in the budget for the new fiscal year or reflect transactions occurring during the course of the current year:

- Most commonly, the adjustment is included to make the amounts available in the current year more comparable to those recommended for the upcoming year. For example, if the Executive Budget is recommending that an item, which has been appropriated in the current year's budget as a State Operations item, be included in the upcoming year in Aid to Localities, the dollar amount of the item would be deducted from the amount available in the current year for State Operations to achieve year-to-year comparability. A similar amount would be added to the amount available this year for Aid to Localities.
- In other cases, including the example shown in the table above, the amount shown reflects an adjustment that has actually taken place during the current year. In the example, the amount of \$235,800 was transferred to this agency from an

appropriation made to "All State Departments and Agencies" which is included among the Miscellaneous appropriations elsewhere in the Executive Budget. During budget execution, such Miscellaneous All State Department and Agency appropriations (e.g., to fund a salary increase or some other across-the-board adjustment) are divided and transferred to the appropriations of individual agencies to be expended (see the explanation of "lump sum appropriations" included in the "Financial Terminology" section). The adjustment made in this case enables the reader to compare the amount actually available to the agency under this category during the current fiscal year with that appropriated by the Legislature for the year.

**IV. STATE OPERATIONS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

This table shows the amounts available for State Operations for the current fiscal year and those that have been recommended for the coming fiscal year by program and, within each program, by fund type.

STATE OPERATIONS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS			
1 Program	Available 1998-99	Recommended 1999-00	Change
Executive Management			
General Fund . . . . .	\$1,990,900	\$1,858,200	-\$132,700
Administration and Fiscal Management			
General Fund . . . . .	3,624,800	2,604,700	-1,020,100
Special Revenue Funds—Federal . . . . .	1,043,000	1,694,100	+ 651,100
Prevention and Intervention			
General Fund . . . . .	1,678,000	1,404,500	-273,500
Treatment and Rehabilitation			
General Fund . . . . .	19,670,400	18,239,500	-1,430,900
Special Revenue Funds—Other . . . . .	2,550,000	3,194,200	+ 644,200
Research, Planning and Development			
General Fund . . . . .	4,424,200	3,597,300	-826,900
Total . . . . .	<u>\$34,981,300</u>	<u>\$32,592,500</u>	<u>-\$2,388,800</u>

1 Each agency has a program structure which is described in its narrative presentation. Each of the agency's activities falls within a program, and each program may have appropriations from one or more fund types.

**V. STATE OPERATIONS — GENERAL FUND — SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES — 1999-00 RECOMMENDED**

This table shows the amounts recommended for personal service for each program supported from the General Fund. Personal service is one of four "major objects" of expenditure in use in New York State budgeting. The other major objects — nonpersonal service, grants and capital projects — are discussed in the tables that follow.

**STATE OPERATIONS—GENERAL FUND  
SUMMARY OF PERSONAL SERVICE APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	<b>1</b>		<b>3</b>		<b>4</b>	
	Total Personal Service Amount	Change	Personal Service Regular (Annual Salaried) Amount	Change	Temporary Service (Nonannual Salaried) Amount	Change
Executive Management . . . . .	\$1,716,300	-\$130,900	\$1,690,200	-\$118,900	\$23,100	-\$12,000
Administration and Fiscal Management . .	1,434,300	-811,600	1,427,300	-803,600	. . . .	-8,000
Prevention and Intervention . . . . .	1,025,900	-244,100	1,009,900	-244,100	10,000	. . . .
Treatment and Rehabilitation . . . . .	15,121,200	-979,900	14,867,000	-969,900	61,100	-10,000
Research, Planning and Development . . .	2,865,600	-780,800	2,848,600	-780,800	9,000	. . . .
<b>Total . . . . .</b>	<b>\$22,163,300</b>	<b>-\$2,947,300</b>	<b>\$21,843,000</b>	<b>-\$2,917,300</b>	<b>\$94,200</b>	<b>-\$30,000</b>

Program	<b>5</b>	
	Holiday/Overtime Pay (Annual Salaried) Amount	Change
Executive Management . . . . .	\$3,000	. . . .
Administration and Fiscal Management . .	7,000	. . . .
Prevention and Intervention . . . . .	6,000	. . . .
Treatment and Rehabilitation . . . . .	193,100	. . . .
Research, Planning and Development . . .	17,000	. . . .
<b>Total . . . . .</b>	<b>\$226,100</b>	<b>. . . .</b>

- 1** The total amount recommended for Personal Service is the sum of the amounts recommended for Personal Service Regular (Annual Salaried), Temporary Service (Nonannual Salaried) and Holiday/Overtime Pay (Annual Salaried). It includes funding for annual-salaried personnel (see table entitled "All Fund Types — Levels of Employment By Program — Annual Salaried Positions") and nonannual salaried personal services costs, and includes adjustments to account for savings expected to result from vacancies occurring throughout the year.
- 2** The amounts shown under "Change" represent the difference (+/-) between the appropriations available in the current fiscal year and the amounts recommended for the coming year.
- 3** The bulk of the State's permanent work force is funded through the Personal Service Regular appropriation and is generally paid on the basis of an annual salary. Personal Service Regular, Temporary Service and Holiday/Overtime Pay are "subobjects" of expenditure within Personal Service, the major object.
- 4** As noted above, Temporary Service is a subobject of expenditure within Personal Service, the major object. It includes appropriations recommended to pay for

employees hired on a seasonal or short-term basis who are generally paid according to an hourly wage scale, and includes amounts to cover Holiday/Overtime Pay for such nonannual salaried employees.

- 5 As also noted above, Holiday/Overtime Pay is a subobject of expenditure within Personal Service, the major object. It includes recommended appropriations to compensate annual salaried employees eligible to receive payment for work performed on holidays or beyond normal duty hours. Eligibility for such payment is established by Civil Service Rules and Regulations and by contracts resulting from collective bargaining with employee organizations. The provisions of both the Civil Service Rules and Regulations and contracts with employee organizations must meet the standards set forth in the Federal Fair Labor Standards Act which governs State overtime policies.

**VI. STATE OPERATIONS — GENERAL FUND — SUMMARY OF  
NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES — 1999-00 RECOMMENDED**

Nonpersonal Service (NPS) is one of the major objects of expenditure in use in New York State budgeting. This table shows the amounts recommended for appropriation from the General Fund in the coming year by program and NPS subobject and by program for Maintenance Undistributed. As in the case of the Personal Service table, it also shows the "change," or the difference (+/-) between the amounts available during the current fiscal year and the amounts recommended for appropriation in the coming year.

**STATE OPERATIONS—GENERAL FUND  
SUMMARY OF NONPERSONAL SERVICE AND MAINTENANCE UNDISTRIBUTED  
APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

Program	Total		Supplies and Materials <sup>1</sup>	
	Amount	Change	Amount	Change
Executive Management . . . . .	\$141,900	-\$1,800	\$20,200	-\$300
Administration and Fiscal Management . . . . .	1,170,400	-208,500	83,600	-50,700
Prevention and Intervention . . . . .	378,600	-29,400	6,000	-18,600
Treatment and Rehabilitation . . . . .	3,118,300	-451,000	1,816,300	+ 43,000
Research, Planning and Development . . . . .	731,700	-46,100	82,200	. . . .
Total . . . . .	<u>\$5,540,900</u>	<u>-\$736,800</u>	<u>\$2,008,300</u>	<u>-\$26,600</u>

Program	Travel <sup>2</sup>		Contractual Services <sup>3</sup>	
	Amount	Change	Amount	Change
Executive Management . . . . .	\$51,000	. . . .	\$70,700	-\$1,500
Administration and Fiscal Management . . . . .	66,800	. . . .	995,700	-44,500
Prevention and Intervention . . . . .	54,500	. . . .	318,100	-10,800
Treatment and Rehabilitation . . . . .	105,600	-\$98,200	966,400	-95,800
Research, Planning and Development . . . . .	34,100	. . . .	615,400	-46,100
Total . . . . .	<u>\$312,000</u>	<u>-\$98,200</u>	<u>\$2,966,300</u>	<u>-\$198,700</u>

Program	Equipment <sup>4</sup>		Maintenance Undistributed <sup>5</sup>	
	Amount	Change	Amount	Change
Executive Management . . . . .	. . . .	. . . .	. . . .	. . . .
Administration and Fiscal Management . . . . .	\$24,300	-\$113,300	. . . .	. . . .
Prevention and Intervention . . . . .	. . . .	. . . .	. . . .	. . . .
Treatment and Rehabilitation . . . . .	30,000	-100,000	\$200,000	-\$200,000
Research, Planning and Development . . . . .	. . . .	. . . .	. . . .	. . . .
Total . . . . .	<u>\$54,300</u>	<u>-\$213,300</u>	<u>\$200,000</u>	<u>-\$200,000</u>

<sup>1</sup> The subobject Supplies and Materials constitutes one of four subobjects of expenditure within the major object, Nonpersonal Service. Supplies and Materials include such items as institutional food, clothing, household supplies and office supplies. The mix of items purchased will, of course, vary widely from agency to agency and program to program.

## **USER'S GUIDE**

---

- 2** Included within the subobject Travel are public transportation, meals and lodging, reimbursement for the use of personal cars, and the costs associated with the operation and maintenance of State-owned cars.
- 3** The subobject Contractual Services includes the payment of leases, the rental of data processing and other equipment, and a variety of services provided to the State on an occasional or regular basis by outside vendors. Some examples are printing, accounting, legal, consulting and medical services.
- 4** The subobject Equipment includes the amounts recommended for such items as vehicles, office machines and furniture, and highway equipment.
- 5** Maintenance Undistributed is not a subobject within Nonpersonal Service. It contains one or more lump sum appropriations for specific purposes or programs. As appropriated, it does not distinguish between major objects or subobjects. Under the State Finance Law, before an agency can use these funds a segregation ("certificate") must be issued by the Director of the Budget to specify the amounts available within the lump sum for major objects (Personal Service, Nonpersonal Service) and for various subobjects (e.g., Personal Service Regular, Travel, Equipment). Copies of the certificate are filed with the Comptroller and the legislative fiscal committees.

**VII. STATE OPERATIONS — OTHER THAN GENERAL FUND — SUMMARY OF APPROPRIATIONS AND CHANGES — 1999-00 RECOMMENDED**

This table shows the amounts recommended to support State Operations from funds other than the General Fund. It shows totals for amounts recommended by program for the major objects Personal Service and Nonpersonal Service and for Maintenance Undistributed, but does not distribute the major objects into subobjects. It also shows the change, or difference (+/-), between the amounts available in the current fiscal year and those recommended for appropriation in the coming year.

**STATE OPERATIONS—OTHER THAN GENERAL FUND 1  
SUMMARY OF APPROPRIATIONS AND CHANGES  
1999-00 RECOMMENDED**

<u>Program</u>	<u>Total</u> <u>Amount</u>	<u>Change</u>	<u>Personal Service</u> <u>Amount</u>	<u>Change</u>
Administration and Fiscal Management . . . . .	\$1,694,100	+ \$651,100	\$1,546,100	+ \$856,300
Treatment and Rehabilitation . . . . .	3,194,200	+ 644,200	. . . . .	. . . . .
<b>Total . . . . .</b>	<b>\$4,888,300</b>	<b>+ \$1,295,300</b>	<b>\$1,546,100</b>	<b>+ \$856,300</b>
<u>Program</u>	<u>Nonpersonal Service</u> <u>Amount</u>	<u>Change</u>	<u>Maintenance Undistributed</u> <u>Amount</u>	<u>Change</u>
Administration and Fiscal Management . . . . .	. . . . .	-\$230,200	\$148,000	+ \$25,000
Treatment and Rehabilitation . . . . .	. . . . .	. . . . .	3,194,200	+ 644,200
<b>Total . . . . .</b>	<b>. . . . .</b>	<b>-\$230,200</b>	<b>\$3,342,200</b>	<b>+ \$669,200</b>

1 Other-than-General Fund appropriations include Federal funds; Internal Service funds, such as the Centralized Services Fund through which individual agencies purchase computer, telephone and other support services from the Office of General Services; Special Revenue funds, such as the State Special Revenue Fund; Debt Service funds; Fiduciary funds, such as the Common Retirement fund; and Enterprise funds.

**USER'S GUIDE**

The next two tables apply to the Aid to Localities category. Each agency which has appropriations in this category will have these two tables in its budget presentation.

**VIII. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY FUND TYPE — APPROPRIATIONS**

This table shows the distribution of all appropriations for this agency within the Aid to Localities category by fund type and shows a year-to-year comparison of the amounts available in the current year with those recommended for the coming fiscal year. See the next table for the distribution by program.

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

Fund Type	Available 1998-99	Recommended 1999-00	Change
General Fund .....	\$46,146,800	\$44,311,300	-\$1,835,500
Special Revenue Funds—Federal .....	35,938,605	35,308,605	-630,000
Total .....	<u>\$82,085,405</u>	<u>\$79,619,905</u>	<u>-\$2,465,500</u>
Adjustments:			
Transfer(s) To:			
Alcoholism and Substance Abuse Services, Office of General Fund (State Operations) .....	+ 50,800		
Appropriated 1998-99 .....	<u>\$82,136,205</u>		

**IX. AID TO LOCALITIES — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

This table shows for Aid to Localities the amounts that are available for the current fiscal year and those that have been recommended for the coming fiscal year by program and, within each program, by fund type.

**AID TO LOCALITIES  
ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM  
APPROPRIATIONS**

Program	Available 1998-99	Recommended 1999-00	Change
Community Alcoholism Services			
<b>1</b> General Fund .....	\$46,146,800	\$44,311,300	-\$1,835,500
Special Revenue Funds—Federal .....	35,938,605	35,308,605	-630,000
Total .....	<u>\$82,085,405</u>	<u>\$79,619,905</u>	<u>-\$2,465,500</u>

**1** The amounts available or recommended for each program are shown by fund type. As pointed out elsewhere, other programs may include a different mix of fund types.

The next table applies to the Capital Projects category. Each agency which has appropriations in this category will have this table in its budget presentation.

**X. CAPITAL PROJECTS — ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM — APPROPRIATIONS**

This table shows the amounts that are available for Capital Projects for the current fiscal year and those that have been recommended for the coming fiscal year by Comprehensive Construction Program and, within such program, by fund or account. It also shows recommended reappropriations for the coming year.

<b>CAPITAL PROJECTS ALL FUNDS FINANCIAL REQUIREMENTS BY PROGRAM APPROPRIATIONS</b>				
<b>Comprehensive Construction Programs</b>	Available 1998-99	Recommended 1999-00	Change	Reappropriations 1999-00
Institutional Services Program				
Capital Projects Fund	\$365,000	. . . .	-365,000	\$763,000
Mental Hygiene Capital Improvement Fund - 389	1,885,000	\$1,449,000	-436,000	38,159,000
Community Services Program				
Capital Projects Fund	. . . .	500,000	+ 500,000	3,500,000
Mental Hygiene Capital Improvement Fund - 389	822,000	546,000	-276,000	51,375,000
Design and Construction Supervision				
Mental Hygiene Capital Improvement Fund - 389	242,000	. . . .	-242,000	2,760,000
<b>Total</b>	<u>\$3,314,000</u>	<u>\$2,495,000</u>	<u>-819,000</u>	<u>\$96,557,000</u>

**1** Programs in the Capital Projects category are known as Comprehensive Construction Programs (CCP).

**2** A reappropriation continues for the coming year all or part of the undisbursed balance of an appropriation from a prior fiscal year. Reappropriations are used extensively in capital programs because construction or major rehabilitation projects usually require more than one fiscal year from their inception to completion.

**3** The program titles in the Capital Projects category usually differ from the program titles used in the State Operations and Aid to Localities categories. Some CCP's represent broad categories, such as General Maintenance and Improvements, while others may correspond to specific agency programs.

**4** The number shown (in this case, 389) is assigned by the State Comptroller to identify the particular fund. It is used in the Comptroller's records and in the appropriation bill.

# FINANCIAL TERMINOLOGY

This section provides a comprehensive overview of financial terms used throughout the Executive Budget and in other financial and budgetary documents. Many of the terms are generic; others reflect definitions set forth in New York State law, regulations issued by State financial control agencies, or historical usage in State government. The terms have been grouped under 9 major headings:

1. Budgets
2. Financial Plan
3. Fund Structure
4. Appropriations and Expenditures
5. Budget Execution and Control
6. Generally Accepted Accounting Principles (GAAP)
7. Accountability, Audit and Internal Controls
8. Debt and Capital Financing
9. Other Miscellaneous Terms

## 1. BUDGETS

**Executive Budget** refers to the structure and process of the constitutional system of budgeting in New York State which vests in the Governor primary authority and responsibility for budget formulation, presentation and execution. More specifically, it refers to the Governor's constitutionally mandated annual submission to the Legislature containing his plan of recommended **appropriations**, **expenditures** and **cash disbursements** (see below) necessary to carry out programs, along with estimates of **revenues** and **cash receipts** (see below) expected to be available to support these expenditures and disbursements for the forthcoming **fiscal year** (see below). The State Constitution requires explicit recommendations for making changes to the current revenue structure and legislation to implement such recommendations (see **Financial Plan** below).

Pursuant to the Constitution, the Governor's Executive Budget must incorporate the appropriations requests of the Judiciary and the Legislature as they are received from these bodies, although they are not part of the executive branch of State government. While the Governor may not alter their requests, the Governor may comment on them and recommend changes.

The Constitution requires submission of the Budget on or before the third Tuesday after the first Monday in January, except in years following gubernatorial elections when it must be submitted by February 1.

**Amendments to the Budget:** The State Constitution permits the Governor to amend or supplement the Executive Budget within 30 calendar days after its submission or, with the consent of the Legislature, at any time before the close of the legislative session. Such revisions, additions or deletions, conveyed to the heads of the fiscal committees in a memorandum, reflect necessary corrections or responses to new situations or conditions arising after the preparation of the Executive Budget.

**Legislative action on the Executive Budget:** The Legislature and its fiscal committees — Senate Finance and Assembly Ways and Means — analyze the budget, holding public hearings on major programs and seeking further information from the staffs of the Division of the Budget and other State agencies. Except for the budgets of the Legislature and the Judiciary, the Legislature may not alter an appropriation bill except to eliminate or reduce the amount of an item recommended therein. It may, however, add items separate and distinct from those included in the original bill submitted by the Governor.

The appropriation bills, except for those which added items or provided funds for the Legislature and Judiciary, become law without further action by the Governor. The

Governor must approve or disapprove all or parts of the appropriation bills covering the Legislature and Judiciary and may disapprove, by line item veto, items added to his original bills. As provided in the Constitution, the Legislature may override the Governor's veto by a vote of two-thirds of those elected to each house.

**Other Appropriation Measures:** An appropriation bill may also be submitted through the regular legislative process (i.e., it may be introduced by one or more legislators or by a legislative committee). However, the Legislature must act upon the Governor's constitutionally mandated appropriation bills before it acts on any other appropriation bills (unless the Governor certifies the need for immediate passage of another appropriation bill, pursuant to the Governor's constitutional authority to issue a "Message of Necessity"). Appropriation measures initiated by the Legislature are subject to veto in whole or in part by the Governor.

**Fiscal Years:** A fiscal year is the accounting period on which a budget is based. The State fiscal year runs from April 1 through March 31. The Federal fiscal year runs from October 1 through September 30. The fiscal year for all New York counties and towns and for most cities is the calendar year. New York City and the City University of New York, and independent school districts in the State operate on July 1 through June 30 fiscal years. For most villages, the fiscal year runs from June 1 through May 31. Other cities and villages in New York State have varying fiscal years (see the State Comptroller's annual *Special Report on Municipal Affairs*).

## 2. FINANCIAL PLAN

A financial plan is a comprehensive outline of a government's financial resources and spending requirements.

Appropriation bills and State laws together provide the necessary legal framework for the State to collect money and spend it on the operations of State agencies, aid to local governments and school districts, and for capital projects and debt service. However, the tax laws do not contain estimates of how much income the State will generate from each levy — these amounts must be estimated. Similarly, estimates must be made of spending, based on an evaluation of each State program and its attendant costs and eligibility requirements. Together these projections of income and spending constitute the Financial Plan.

As set forth in law, the Budget Director is designated to act on specific matters on behalf of the Governor in exercising the Governor's constitutionally prescribed responsibilities. The Division of the Budget, headed by the Budget Director, prepares a Financial Plan for each fiscal year. The Financial Plan presented with the budget reflects the receipts and disbursements that would result from legislative adoption of the Executive Budget recommendations. A revised Financial Plan must be submitted as soon as practicable after the Executive Budget, as amended, is enacted. This plan becomes the basis for administration of the State's finances and must be updated quarterly.

The Financial Plan includes results for one or more funds that are managed by the State, displayed on a cash or GAAP basis, and projects closing balances at the completion of a fiscal period (e.g., a fiscal year). See Section 6 below for a discussion of GAAP and cash-based accounting.

## 3. FUND STRUCTURE

### **Governmental Funds**

- a) **General Fund:** This is the major operating fund of the State. It receives all State income not earmarked for a particular program or activity and not specified by law to be deposited in another fund. State income for financial plan purposes consists

of moneys deposited to the credit of the General Fund during the fiscal year from current revenues (taxes, fees, and miscellaneous receipts including certain repayments of State advances) and transfers. General Fund income finances disbursements from its two operating accounts — the Local Assistance Account and the State Purposes Account — and transfers to other funds.

The **Local Assistance Account** finances:

- State grants to, or State expenditures on behalf of, counties, cities, towns, villages, school districts and other local entities;
- certain contractual payments to localities;
- certain advances for reimbursable costs (see **advances**, below); and
- certain financial assistance to, or on behalf of, individuals and not-for-profit organizations.

The **State Purposes Account** finances:

- salaries and non-wage compensation for most State employees;
- other operating costs of State departments and agencies, the Legislature and the Judiciary;
- General State Charges, which are costs mandated by statute or court decree or by agreements negotiated with employee unions for which the State is liable, including: pensions; health, dental and optical benefits; Social Security payments on behalf of State employees; unemployment insurance benefits; employee benefit programs; court judgments and settlements; assessments for local improvements; and taxes on public lands;
- certain contractual payments, including some contractual payments to localities and State lease-purchase payments for **certificates of participation** (see below);
- certain financial assistance to individuals and not-for-profit organizations;
- certain advances for reimbursable costs; and
- interest payments on **tax and revenue anticipation notes (TRANS)**, **bond anticipation notes (BANs)** and BANs issued in the form of commercial paper.

In addition to the above accounts, the General Fund includes the following funds:

- **Tax Stabilization Reserve Fund (TSRF)**: This fund receives any General Fund cash surpluses existing at year-end up to a maximum contribution of two-tenths of one percent of total General Fund disbursements. The reserve fund cannot exceed 2 percent of General Fund disbursements for the fiscal year. Any General Fund surplus after the reserve contribution may be used for State tax reduction or may be carried over into the succeeding fiscal year. In the event of a deficit in the General Fund at the close of the fiscal year, a loan may be made from the TSRF to the extent of the deficit or the funds available in the TSRF whichever is lower, provided such loans will be repaid in three equal annual installments within a period of six years from the date the loan was made. Cash assets of the TSRF can be loaned to the Local Assistance Account or the State Purposes Account during the fiscal year, but must be repaid, in cash, by March 31 of any fiscal year.
- **Contingency Reserve Fund**: This fund was created in legislation accompanying the 1993-94 budget to provide a reserve to fund extraordinary needs arising from litigation actions against the State. Use of this fund is restricted to litigation cases of \$25 million or more, and requires an appropriation to access.
- **Community Projects Fund**: This fund was created in legislation accompanying the 1996-97 Budget to provide a fund to track various community projects.

The General Fund, as reported by the State Comptroller in his annual GAAP financial statements, also includes the revenues and expenditures of funds budgeted as **Internal Service Funds** and **Enterprise Funds** and of certain **Special Revenue Funds** (see below).

- b) Special Revenue Funds:** These funds account for State receipts from specific revenue sources and are legally restricted to disbursement for specified purposes. This governmental fund type is divided into two classifications in New York State — **Special Revenue Funds-Other** and **Special Revenue Funds-Federal**. An example of a Special Revenue Fund-Other is the Conservation Fund, which finances a number of State environmental programs. An example of a Special Revenue Fund-Federal is the Health and Human Services Fund where, for instance, Federal Medicaid reimbursements are received and disbursed. Although any earmarked revenue fund is treated as a Special Revenue Fund-Other for cash-basis budgeting and reporting purposes, it is combined with the General Fund for purposes of budgeting and reporting on the basis of GAAP.
- c) Capital Projects Funds:** These funds finance such capital construction costs as:
- planning, land acquisition, design, construction, construction management and supervision, and equipment costs attributable to: highway, parkway and rail preservation projects; outdoor recreation and environmental conservation projects; and buildings and other capital facilities required by various State departments and agencies;
  - aid payments to local governmental units and public authorities to help finance the following types of capital programs: highway, parkway, bridge, mass transportation, aviation, economic development, port development, community college, community and State mental health, outdoor recreation, State-assisted housing and environmental quality; and
  - advances for capital construction costs reimbursable by public authorities, instrumentalities of the State, the Federal government or local governments.

Sources of revenue for this fund type include transfers from the General Fund, dedicated taxes and other revenues, reimbursement of advances, other State funds including bond proceeds, and Federal capital grants.

- d) Debt Service Funds:** All tax-financed State debt service on long-term debt and payments on certain lease-purchase or other contractual obligations are paid from debt service funds. These account for the accumulation of money for, and the payment of principal and interest on, general long-term debt and certificates of participation. Lease-purchase payments for State University, Health and Mental Hygiene facilities, and for highway construction, reconstruction, reconditioning and preservation under contractual agreements with public authorities are also paid from funds classified as debt service funds. Debt service on highway bonds supported by dedicated highway revenues is also reflected in this fund type. Sources of revenue for this fund type include transfers from the General Fund, dedicated taxes and other revenues.

### ***Proprietary Funds***

- a) Internal Service Funds:** These funds are used to account for the financing of goods or services supplied by one State agency to other State agencies or governmental units on a cost reimbursement basis.
- b) Enterprise Funds:** These funds are used to account for operations that operate similarly to private business enterprises.

The Internal Service Funds and Enterprise Funds are treated as Proprietary Funds for cash-basis budgeting and reporting purposes, and are combined with the General Fund for purposes of budgeting and reporting on a GAAP basis.

### *Fiduciary Funds*

- a) **Expendable Trust Funds:** These funds are used to account for funds held by the State in a trust capacity whose principal and income may be spent for designated operations.
- b) **Non-Expendable Trust Funds:** These funds are used to account for funds held by the State in a trust capacity whose principal must remain intact.

### **4. APPROPRIATIONS AND EXPENDITURES**

An **appropriation** is a statutory authorization against which expenditures may be made during a specific State fiscal year, and from which **disbursements** (see below) may be made, for the purposes designated, up to the stated amount of the appropriation. Under the Constitution, an appropriation may be made for no longer than a two-year period (also see **reappropriation**, below).

Appropriations are authorizations, rather than mandates, to spend. **Expenditures** and **disbursements** (see below) need not, and generally do not, equal the amount of the appropriation from which they were made, since less than the full amount of the appropriation is usually spent within the fiscal year to which it pertains (see **carryover**, below). An appropriation thus represents maximum spending authority unless a lower maximum has been set by a **disbursement ceiling** (see below). When authorized by statute an appropriation may be **suballocated** (that is, moved) from one agency to another agency for the purpose of incurring obligations and making disbursements in the agency which receives the suballocation. (The term suballocation should not be confused with **allocation** which is defined in section 5).

In New York, all appropriations are classified in one of the four following categories:

- **State Operations.** This category relates to appropriations for the operation of State agencies, regardless of fund source. For example, an agency may have appropriations in several different funds (or accounts within funds), and all these appropriations would be categorized as "State Operations." Also included in this category, although authorized by appropriation bills separate and distinct from those for the executive branch, are the appropriations for the operation of the Legislature and the Judiciary. (See also **personal service** and **nonpersonal service** defined below.)
- **Aid to Localities.** This category includes all appropriations for aid to localities, regardless of fund source.
- **Capital Projects.** When used as a category of appropriation, "Capital Projects" includes all appropriations for capital construction projects, regardless of fund source. (It should not be confused with the Capital Projects Fund or the Federal Capital Projects Fund).
- **Debt Service.** This category includes all appropriations for tax-financed State debt service on long-term debt; contractual-obligation and lease-purchase arrangements with several public authorities and municipalities; and lease-purchase payments for State University, Health and Mental Hygiene facilities, and for various highway projects (construction, reconstruction, reconditioning and preservation projects undertaken through contractual agreements with public authorities). This also includes appropriations for interest rate exchange and similar agreements.

A **deficiency appropriation** is used to meet actual or anticipated obligations not foreseen when the annual budget and any supplemental budgets were enacted and for which the costs would exceed available spending authorizations. It might add to a previously authorized appropriation anticipated to be inadequate, or provide a new appropriation to finance an existing or anticipated liability for which no appropriation exists. A deficiency appropriation usually applies to the fiscal year during which it is made.

Section 53 of the State Finance Law authorizes the enactment of a **special emergency appropriation** which may be allocated by the Governor to various funds. As set forth in the statute, allocations to the General Fund, the Capital Projects Fund and funds receiving Federal moneys are subject to the prior approval of the chairpersons of the Senate Finance and Assembly Ways and Means committees.

**Personal service** represents an appropriation for salaries and non-wage compensation for State employees and certain payments to non-State employees.

**Nonpersonal service** represents an appropriation for such items as contractual services, equipment and supplies.

**Maintenance undistributed** is an appropriation which does not define the amounts to be available for personal and nonpersonal service. Such an appropriation allows flexibility in the management of a program. The terms **lump sum** and maintenance undistributed are often used synonymously, although they are not equivalent.

A **lump-sum appropriation** is one made for personal service, nonpersonal service or maintenance undistributed; or for local assistance or capital projects for all State agencies, or to an agency alone or on behalf of itself and one or more other agencies. A lump sum is appropriated for a stated purpose without specifying maximum amounts that may be spent for specific activities or individual objects of expenditure. Such an appropriation cannot be obligated and expended without an **allocation** (see below, section 5).

A **reappropriation** is a legislative enactment that continues all or part of the undisbursed balance of an appropriation that would otherwise lapse (see **lapsed appropriation**, below). Reappropriations are commonly used in the case of federally funded programs and capital projects, where the funding amount is intended to support activities that may span several fiscal years. For example, funds for capital projects are customarily recommended and appropriated in amounts sufficient to cover the total estimated cost of each phase of a specific project (such as land acquisition, design, construction and equipping). As contracts within each phase are established, portions of the capital construction appropriation are allocated. However, disbursements are made only to meet the actual costs incurred as each phase of the project progresses. In ensuing years, the balances not disbursed are reappropriated to cover the costs of subsequent construction phases in the project.

An **obligation** is a commitment (such as a contract or purchase order) to spend against a given appropriation. An **encumbrance** provides a mechanism for reserving all or a portion of an appropriation for future expenditure. Entering into a contract usually requires an encumbrance, although the funds will be expended or disbursed over a period of several months. Encumbrance accounting enables management to avoid spending in excess of authorized appropriations.

A **carryover** is the balance of an appropriation that remains at the end of the fiscal year for which it was appropriated (and where it has not been repealed or reappropriated), against which liabilities were incurred (i.e., an obligation exists) but for which cash payments were not disbursed before the end of the fiscal year. Disbursements may be made against a carryover balance through June 30 of the following fiscal year to liquidate any such liabilities for State operations, or through September 15 for aid to localities, capital projects, and debt service.

A **lapsed appropriation** is an appropriation which has expired and against which obligations can no longer be incurred, nor payment made. An appropriation lapses, and is no longer available to authorize any encumbrance or cash payments, on June 30 for State operations and on September 15 for aid to localities, capital projects, and debt service.

### 5. BUDGET EXECUTION AND CONTROL

**Certificates** of several types are issued by the Budget Director to authorize various fiscal actions. Copies of all certificates must be sent to the State Comptroller and to the chairpersons of the two legislative fiscal committees.

For State Operations, and in some cases Aid to Localities, a **certificate of approval** issued by the Budget Director formally authorizes certain financial transactions. These transactions include **allocations** or **segregations**, **apportionments** and **interchanges**:

- An **allocation** or a **segregation** authorizes expenditures from appropriated funds for specified purposes, activities or objects. It is used as a control device for appropriated funds (e.g., quarterly allocations) and to distribute lump-sum appropriations within State agencies.
- An **apportionment** transfers part of an appropriation from certain lump-sum "all State departments and agencies" appropriations to specific agencies.
- An **interchange** is the movement of funds by certificate to increase or decrease the funds for any item within the same program or purpose appropriation schedule. Currently, in accordance with the State Finance Law, within a given Fund, the amounts appropriated to a department or agency may also be interchanged among such schedules, subject to the following formula (with the exclusion of the State University of New York, the City University of New York, and other specific appropriations as may be noted in the various appropriation bills): the total amount appropriated for any given program or purpose may not, in aggregate, be increased or decreased via interchanges by more than 5 percent of the first \$5 million, 4 percent of the second \$5 million and 3 percent of amounts in excess of \$10 million.

A **certificate of transfer** authorizes the transfer of appropriation authority and/or positions between agencies and/or funds. All such transfers must be specifically authorized in statute. Transfers of appropriation authority must be distinguished from operating transfers which move moneys (cash) between funds or accounts.

For **Capital Projects**, the appropriation format differs somewhat from the program structure found in State Operations and Aid to Localities. Capital Projects appropriations are structured as follows:

- one or more **comprehensive construction programs (CCPs)**, which may or may not relate to agency programs or other organizational arrangements;
- **a grouping of appropriations into one or more purposes within CCPs**, which purposes may or may not relate to other agency organizational structures; and
- **one or more appropriations or projects in each purpose**. Some appropriations have "project schedules" that list institutions or projects for which construction work will be done.

For Capital Projects, a **certificate of approval of availability** issued by the Budget Director in accordance with an appropriation authorizes the State Comptroller to encumber, expend and disburse funds to the extent required for specific projects or phases of projects.

Capital Projects Funds **interchanges or transfers** must be accompanied by a certification of need and availability of funds and may be made as follows:

In the case of **interchanges**, which are movements of funds by certificate between items within an appropriation "project schedule," no certification is required when the appropriation states that schedule amounts are estimates and are interchangeable among the various projects; all other interchanges require the certification of need and availability.

In the case of transfers, a **certificate of transfer** authorizes the transfer of a specified sum of money, within available limits, from an appropriation for a given capital project to an appropriation for another capital project within the same CCP and agency. However, the Budget Director cannot authorize any Capital Projects Fund transfer which would increase or decrease the total of appropriations (including reappropriations) for projects sharing the same purpose by an amount exceeding the following percentages of the total

amount of the original appropriation for the project: 25 percent of the first \$5 million, 20 percent of the second \$5 million, 15 percent of the third \$5 million, and 10 percent of any amount in excess of \$15 million.

## **6. GENERALLY ACCEPTED ACCOUNTING PRINCIPLES (GAAP)**

**Generally Accepted Accounting Principles (GAAP)** for governments are uniform minimum standards and guidelines for financial accounting and reporting as promulgated by authoritative national standard-setting bodies, primarily the National Council on Governmental Accounting (NCGA); its successor, the Governmental Accounting Standards Board (GASB); and the American Institute of Certified Public Accountants (AICPA). NCGA's *Statement One — Governmental Accounting and Financial Reporting Principles*, published in 1979, succeeding statements by NCGA (reaffirmed by GASB), and statements promulgated by GASB are the most widely recognized sources for authoritative guidance. New York presents its State financial plan and Executive Budget on both a cash basis and in accordance with GAAP. Projected operating results in the General Fund as measured on the cash basis of accounting differ from projections measured in accordance with GAAP. Generally, these differences are caused by the inclusion of certain funds in the GAAP General Fund which are outside the cash basis General Fund plus the recognition of differences between cash and GAAP. The conversion tables show these differences classified into the following major categories:

- "Perspective Differences" represent the projected cash basis operating results of two funds, the Miscellaneous State Special Revenue Fund and the Infrastructure Trust Fund, which are treated as part of the General Fund in the GAAP basis financial plan, but as part of the Special Revenue Fund in the cash basis financial plan. The Miscellaneous State Special Revenue Fund includes dozens of individual accounts which finance the operation of agencies and programs from sources other than General Fund tax dollars.
- "Entity Differences" represent the projected cash basis operating results of the proprietary funds (Internal Service Funds and Enterprise Funds) which are treated as part of the General Fund in the GAAP basis financial plan. On a cash basis the proprietary funds are not part of the all governmental funds financial plan.
- "Changes in Accruals" result from timing differences between the recognition of individual accounting transactions on a cash basis vs. recognition of the same items under generally accepted accounting principles. On a cash basis, receipts are recorded when moneys are deposited in the State Treasury, and disbursements are recorded when a check is drawn from the Treasury. Under GAAP, however, revenues are recorded when they are measurable and available, and expenditures are recorded when the State incurs an obligation to pay. It is in this column that revenues and expenditures are attributed to the appropriate fiscal year. For example, positive numbers in this column reflect the accrual of revenues which are owed to the State but not yet received, and obligations of the State for which payment has not yet been made. Negative entries generally reflect the reduction of receipts or disbursements which are attributed under GAAP to a different fiscal period.
- "Eliminations" exclude activity related to State advances and the repayment of such advances, which are treated as receipts and disbursements in the cash basis financial plan. On a GAAP basis, the repayment is not a revenue, and the advance is not an expenditure unless it is determined to be uncollectible. This category also includes transactions related to the elimination of SUNY/CUNY Senior College operations, which are no longer considered part of the governmental fund structure on a GAAP basis.
- "Intra-fund Eliminations" remove any transactions which occur between two funds in the same fund type, in order to avoid counting such transactions twice.

- "Reclassifications" shows the movement of transactions from one category of the financial plan to another, and does not impact the operating results of a given fund.

### **GAAP Basis Reporting Differences**

In general, the General Fund revenue and expenditure projections contained in this Budget reflect the application of Generally Accepted Accounting Principles as applied by the State Comptroller in his audited 1997-98 financial statements. There is an exception to this policy. Activity related to public authorities has not been reclassified as operating transfers. These reclassifications do not affect operating results and only further complicate the differences between cash basis financial plans and GAAP basis financial plans. Accordingly, these reclassifications have not been included.

### **GAAP Revenues**

A separate volume provides tax-by-tax descriptions of the cash-based estimates of tax receipts underlying the 1998-99 and 1999-2000 cash Financial Plans. This section deals with estimates of GAAP revenues that are included in the GAAP Financial Plan. The following is a brief description of how such estimates are generated, what factors are considered in their preparation, and how such estimates differ from those prepared on the cash basis.

In general, cash-based estimates are forecasts of the deposits of cash (net of refund payments) that will occur during the fiscal year. Estimates of GAAP revenue attempt to more closely measure what the State actually "earned" during the period, regardless of when the cash transactions that represent those earnings occur. The State, of course, "earns" money when taxpayers incur liability for taxes, for example, by receiving money subject to income taxes or purchasing goods or services subject to the sales or excise levies, or by wagering on horse races in betting pools subject to the pari-mutuel tax. Taxpayers may discharge that liability in a variety of ways. For example, in the case of the sales tax they often pay the money directly to an authorized agent of the State who must then transmit it to the State, sometimes in a period different from that in which the actual liability was incurred and discharged by the taxpayer. In the case of the personal income tax, they may be subject to withholding by their employer (another agent of the State) or make estimated and final tax payments directly to the State. Some taxpayers overpay their liability and are due refunds for a given liability period. Such refunds or final payments are usually paid in years (or accounting periods) different from those to which the transaction relates.

In their most pure sense, GAAP revenue estimates attempt to gather all the (actual or estimated) transactions that apply to tax liabilities earned in a given State fiscal year, regardless of the year in which the related cash transaction occurs, to appropriately "measure" what the State has earned. In practice, given the limits of both information systems and time, some accommodations are made in the development of these "earnings" estimates. During any one fiscal year the State will receive money earned in the current year and in any of several prior years (and sometimes money not yet earned). Estimates of those prior-year earnings are not changed each time a new transaction is disclosed and so GAAP revenue estimates are not "pure."

However, for any given tax, GAAP revenue estimates should attempt to measure (as an increase in revenue, or a receivable) how much the State is owed, but has not yet received, from taxpayers for the activity during a State fiscal year. Similarly, they must reflect (as a reduction in revenue, or a payable) any amounts that the State has received but must refund (in some future period) as a result of overpayments of liability by taxpayers.

In some sources, the receivable and payable amounts are relatively trivial and do not change materially from year to year. In others, the accruals are large and variable.

GAAP revenue estimates differ from cash receipt estimates by how much the receivable and payable balances change from year to year. If receivables are growing relative to payables in a particular source (i.e., if the net amount owed to the State is larger at the end of the year than at the beginning of the year), estimated GAAP revenues will exceed forecasted cash receipts. Should payables rise faster than receivables, the opposite relationship will exist.

### **GAAP Expenditures**

As previously mentioned, GAAP measures expenditures when the State incurs a liability to pay, rather than when a check is written against the Treasury. The Comptroller generally applies a 12-month recognition rule — if the liability is determined to exist and will be disbursed in the 12 months following the close of the fiscal year, the expenditure will be recorded in that fiscal year. Thus, the GAAP basis financial plan includes liabilities projected to be incurred during a given fiscal year for which actual payments will not be made for up to 12 months following the close of such fiscal year.

The most significant of these liabilities occur in the categories of local assistance and State operations. The GAAP basis financial plan reflects:

- Amounts owed to local governments for Medicaid, public health, criminal justice and court-ordered handicapped programs which are all reimbursed on a lag basis.
- Employee salaries remaining unpaid at the close of each fiscal year, and the related fringe benefits.

## **7. ACCOUNTABILITY, AUDIT AND INTERNAL CONTROL**

**Internal controls** are the measures an organization adopts to: encourage adherence to agency policies and procedures; promote operational efficiency and effectiveness; safeguard assets; and ensure the reliability of accounting data. Internal controls encompass both internal administrative controls and internal accounting controls.

**Internal administrative controls** are the measures (e.g., organization plan, policies, procedures and records) which ensure that transactions are authorized consistent with managerial intent. They include mission and policy statements, organization charts, procedure manuals, duties descriptions, training programs, information systems, filing systems, and other tools used to control program operations.

**Internal accounting controls** are the measures which safeguard assets and ensure the reliability of financial records. They include authorization procedures for financial transactions, use of generally accepted accounting principles to record financial transactions, limited access to assets and periodic inventories of assets.

**Internal audit** is an independent appraisal of operations, conducted under the direction of agency management, to assess the effectiveness of internal administrative and accounting controls and help ensure conformance with managerial policies.

**Vulnerability Assessment (VA)** is an assessment by an agency of its potential susceptibility to unintentional and intentional operational breakdowns which could lead to inadequate or inappropriate program outcomes, including waste of resources. The VA analyzes the overall organizational and administrative environment, the potential for failures and the seriousness of such occurrences. Identifying each function's level of risk helps the agency schedule the timing and frequency of more extensive reviews of operations. The VA may also identify internal control weaknesses which can be immediately corrected.

**Internal Control Review (ICR)** is a detailed evaluation of the degree to which the organization has designed, established, documented and followed the policies and procedures necessary to achieve specific functional goals and objectives and avoid unwanted outcomes. The ICR focuses upon how well procedures operate for a given

function rather than the broader, common controls assessed through the vulnerability assessment.

**Testing** (sometimes called compliance testing) is that part of an internal control review which assesses whether actual practice follows, or complies with, prescribed policies and procedures. The assessment is made by interviewing or observing staff, following a transaction through the process, or sampling documentation of transactions to determine if required steps are executed.

**Corrective Action Plan** is a step-by-step plan of action and schedule for resolving the internal control weaknesses identified by a vulnerability assessment or internal control review.

**Certification** is the annual affirmation by each agency that it is in conformance with the requirements of the Internal Control Act of 1987, which prescribed the establishment and maintenance of a system of internal controls and a program of internal control review by State agencies and certain public authorities. Agencies may submit a plan to achieve compliance with the Act in lieu of a certification.

**Annual Internal Control Review Report** is a report by each covered organization describing certain aspects of its internal control system. It may include procedures, schedules and follow-up on vulnerability assessments, internal control reviews and education and training efforts. The report is a companion to and supports the latest Internal Control Act certification from the agency.

## 8. DEBT AND CAPITAL FINANCING

**Appropriation-backed bonds** refers to long-term obligations sold by the State's public authorities under a variety of financial arrangements — primarily **lease-purchase and contractual service agreements**. Debt service on such obligations is appropriated annually by the State, although the State has no legal obligation to continue to make such appropriations. This form of debt represents an important source of financing for capital projects in the State's transportation, criminal justice, mental hygiene, education, health, and housing programs.

**Bond anticipation notes (BANs)** are short-term notes which occasionally may be sold by the Comptroller to finance capital expenditures until long-term bonds are sold. Since these obligations are outstanding for no more than two years (with certain exceptions), the interest rates paid on such obligations are typically lower than that for long-term bonds.

**Bondable capital spending** refers to disbursements for capital purposes which, by statute, may be financed by the proceeds of bonds or other debt obligations.

**Certificates of Participation** represent shares of lease-purchase payments for personal or real property made by State agencies. These tax-exempt certificates are sold publicly or privately to investors by the Comptroller, pursuant to Article 5-A of the State Finance Law. These payments are not State debt under Article VII of the State Constitution and are subject to annual appropriation.

**Commercial paper** refers to a form of short-term obligation sold by the State and issued by the Comptroller. These are general obligations of the State and are outstanding for only short periods — sometimes only days — and, therefore, have much lower interest rates than do long-term bonds. Obligations can be sold up to a statutory maximum of \$500 million, but must be replaced within two years with long-term bonds. As a result, a portion of a general obligation bond sale may be used to "**take-out**" commercial paper which has been outstanding the maximum two years, rather than to directly reimburse a capital expenditure.

A **credit rating** is assigned by a non-governmental agency serving the financial market (such as Standard & Poors, Moody's Investor Service, and Fitch), and represents the relative security behind a given debt. The ratings indicate the relative likelihood of repayment of debt service liabilities by a specific issuer.

**General obligation bonds** refer to long-term obligations of the State, used to finance capital projects. These obligations must be authorized by the voters in a general election, are issued by the Comptroller, and are backed by the **full faith and credit** of the State. Under current provisions of the Constitution, only one bond issue may be put before the voters at each general election, and it must be for a single work or purpose. The amount of general obligation bond or note proceeds which the State expects to issue in a given fiscal year is shown in the Capital Projects fund-type of the Governmental Funds Financial Plan in the Other Financing Sources category. Debt service must be paid from the first available taxes whether or not the Legislature has enacted the required appropriations for such payments.

**Impoundment** is the term used to describe the setting aside, in a separate account, of income necessary to pay principal and interest on obligations. The specific method of impoundment — including the timing and amounts — is generally specified by State law for each obligation, and is an integral element of the security behind any obligation.

**Moral obligation debt** refers to long-term bonds issued by certain State public authorities, also known as public benefit corporations, which are essentially supported by their own revenues. Moral obligation debt is not incurred pursuant to a referendum, is not considered State debt, and is not backed by the full faith and credit of the State. However, the authorities selling such obligations have been allowed to establish procedures where, under certain conditions, the State may be called upon to meet deficiencies in debt service reserve funds supporting such bonds. An appropriation must be enacted by the Legislature to meet any such obligation.

An **official statement** is a disclosure document prepared to accompany each issuance of bonds, notes and publicly sold certificates of participation offered for sale by the State or its public authorities. This statement is prepared by the issuer and describes the issuer, the project or program being financed and the security behind the bond issue. In addition, where payment of debt service is made primarily with State moneys, this statement discloses information regarding the State, including recent and projected fiscal and economic trends and developments that bear reasonably on the credit strength of the issue. It discusses potential legal, fiscal or economic problems facing the issuer, State government and other relevant major governmental jurisdictions. Its primary purpose is to provide prospective bond or note purchasers sufficient information to make informed decisions on the creditworthiness of the issue.

**Pay-as-you-go** financing refers to the use of current State resources (as opposed to bonds) to finance capital projects.

**Spring borrowing** refers to the short-term borrowing historically undertaken by New York following passage of the budget. This borrowing was traditionally necessary because the State's disbursements during the first quarter of the fiscal year exceeded scheduled receipts. Short-term notes were issued annually to finance the imbalance, and were repaid within the same State fiscal year. The Omnibus Fiscal Reform Act of 1990 created the **New York Local Government Assistance Corporation (LGAC)** to help the State eliminate its spring borrowing by replacing it with LGAC's long-term obligations. In addition, the legislation established a "cap" to be set in bond covenants, which would thereafter limit the size of the State's annual spring borrowing. The initial cap was set at \$4.7 billion, with provision that the cap be reduced by one dollar for each dollar of LGAC bonds sold. With the completion of all LGAC borrowings in 1995-96, the State no longer requires a spring borrowing.

**State-guaranteed debt** refers to debt authorized by the voters to be sold by three public authorities: the Job Development Authority, the New York State Thruway Authority, and the Port Authority of New York and New Jersey. Such debt is backed by the full faith and credit of the State.

**State-related debt** includes all State-supported debt, as well as State guaranteed, and moral obligation debt. This broad category combines all forms of debt for which the State is directly or contingently liable.

**State-supported debt** includes general obligation and appropriation-backed debt, and certificates of participation. This category includes all obligations for which the State appropriates and pays debt service. While tax supported debt (obligations supported by State taxes) represents the majority of obligations in this category, obligations supported by other State revenues (such as dormitory fees or patient revenues) are also included.

**Tax and revenue anticipation notes (TRANS)** refer to short-term obligations of the State. The notes must be redeemed within one-year of issuance. Notes are generally sold to address short-term cashflow imbalances, such as the spring borrowing, but may also be issued to address a year-end deficit.

### 9. OTHER MISCELLANEOUS TERMS

An **account** is a subdivision of a fund and refers to a classification by which information on particular financial transactions and financial resources is recorded and arranged.

An **advance** is a payment by the State on behalf of an agency, an authority, a fund, a public benefit corporation, or the Federal government that must be reimbursed by such entity. Certain advances are made from the Capital Projects Fund for prefinancing the cost of capital projects undertaken by public authorities, State agencies or localities.

**All Governmental Funds** is a term referring to all State government funds within the following fund types: General, Special Revenue, Capital Projects, and Debt Service. In a discussion of appropriations rather than cash figures (e.g., in the Appendix I tables described earlier in this Guide), **All Funds** includes All Governmental Funds appropriations *plus* appropriations made from the non-governmental (Proprietary and Fiduciary) fund types.

**Annualization** refers to the expected full-year financial implications of a revenue item or an expenditure item initially budgeted for only part of a fiscal year.

**Attrition** refers to a method of achieving a reduction in personnel by not refilling positions that are vacated through resignation, reassignment, transfer, retirement, or means other than layoffs.

**Average Fill Level (AFL)** is the number of annual-salaried positions, expressed on a full-time equivalent (FTE) basis, that can be filled on average throughout a fiscal year based on available funding.

**Cap** refers to an absolute dollar limit placed on spending and/or borrowing for a designated activity or program. The term is sometimes used to refer to the limitation of a disbursement for the current and/or forthcoming fiscal year(s) to the level of the preceding fiscal year or to some other predetermined level.

**Chargeback** refers to an assessment levied by the State on another government or other entity (e.g., a public authority, a private-sector enterprise, a trade association, or a nonprofit organization) for payment of costs incurred by the State in administering an activity or program on behalf of such government or entity. It may also refer to an assessment by one State agency against another.

A **deficit**, for purposes of the cash-basis financial plan, is an excess of disbursements over receipts at the end of a fiscal year. On a GAAP basis, a deficit is an excess of expenditures or expenses over revenues at the end of a fiscal year.

**Fixed assets** are assets of a long-term character, such as land, buildings, machinery, equipment and improvements other than buildings, that are intended to continue to be held or used. **General fixed assets** include all fixed assets not accounted for in proprietary funds or in trust and agency funds. Under GAAP, general fixed assets are recorded in an **account group** (which does not involve the measurement of results of operations), rather than in a fund, and the recording of "infrastructure" assets and depreciation is not required.

A **joint-custody fund** is held within the State Treasury by both the State Comptroller and the Commissioner of Taxation and Finance (see **sole-custody fund**).

**Line item veto.** The Governor of New York State has the power of line item veto. The State Constitution authorizes the Governor to veto individual appropriations contained within any multiple appropriation bill passed by the Legislature, other than one that the Governor recommended and that was passed without change.

A **margin**, or **positive margin**, is a temporary excess of receipts over disbursements. When disbursements temporarily exceed receipts, a **negative margin** exists. A positive margin is not a surplus, nor is a negative margin a deficit, until the fiscal year ends.

A **matching formula** is a formula applied under an intergovernmental grant program which requires a recipient to match from its own funds a specified percentage of each dollar granted by one or more higher level(s) of government.

**Nonrecurring receipts** are receipts in a given fiscal year that are not normally expected to recur in subsequent fiscal years. **Recurring receipts** are normally derived from an income stream that is expected to continue from one fiscal year to the next.

An **offset fund** is an appropriated fund, usually of the Special Revenue Fund type, which is used to reimburse expenditures charged in the first instance to the General Fund.

**Save harmless** refers to a provision of law under which the State protects another entity against any decrease from a previous level of funding under a given State program.

**Shortfall** refers to a situation where actual revenues collected are less than those that had been projected.

A **sole-custody fund** is administered by an individual State agency official and is not under the joint custody of the State Comptroller and the Commissioner of Taxation and Finance. Sole-custody funds are usually fiduciary in nature. Examples include assets held for wards of the State.



# INDEX

	Page
<b>A</b>	
Achievement Incentive Dividend Program (HESC) .....	62
Acute Care (DOH) .....	144
Adirondack Park Agency .....	329
Adirondack Park Local Government Review Board (APA) .....	329
Advantage Schools (OCFS) .....	42
Advocate for Persons with Disabilities, Office of .....	103
Affordable Housing Corporation (DHCR) .....	263
Aging, State Office for the .....	107
Agriculture and Markets, Department of .....	229
Agricultural Business Services (Ag&Mkts) .....	230
Aid for Part Time Study (HESC) .....	64
Aid for Public Broadcasting (SED) .....	28
AIDS Institute (DOH) .....	146
Albany Port District Commission (Public Authorities) .....	296
Alcoholic Beverage Control, Division of .....	333
Alcoholism and Substance Abuse Services, Office of .....	171
Artpark (Parks) .....	287
Arts, Council on the .....	5
Audit and Control, Department of .....	337

## B

Banking Department .....	345
Battery Park City Authority (Public Authorities) .....	294
Biodiversity Stewardship (DEC) .....	248
Budget, Division of the .....	349
Buffalo and Fort Erie Public Bridge Authority (Public Authorities) .....	294
Bureau of Criminal Investigation (DSP) .....	222
Business Permits Assistance (GORR) .....	409

## C

Capital Defender Office .....	113
Capital District Transportation Authority (Public Authorities) .....	297
Caregiver Assistance Program (SOFA) .....	108
Caregiver Resource Centers (SOFA) .....	108
Central New York Regional Transportation Authority (Public Authorities) .....	297
Charter Schools (SED) .....	25
Child Care Block Grant (OCFS) .....	42
Child Care and College Discovery (CUNY) .....	14
Child Care Reserve Fund (OCFS) .....	42
Child Health Plus (DOH) .....	146
Children and Families, Council on .....	9
Children and Family Services, Office of .....	41
City University of New York .....	13
Civil Service, Department of .....	353
Clean Air Fund (DEC) .....	247
Clean Water/Clean Air Bond Act - 1996 (DEC) .....	247

## INDEX

---

Clean Water State Revolving Loan Fund (EFC) . . . . .	259
Collective Bargaining Agreements (Miscellaneous) . . . . .	435
College Choice Tuition Savings Program (HESC) . . . . .	64
College Preparatory Initiative (CUNY) . . . . .	15
Community Colleges (SUNY) . . . . .	82
Community Health Care Conversion Demonstration Project (DOH) . . . . .	144
Community Mental Health Reinvestment Act (OMH) . . . . .	178
Community Services (OMH) . . . . .	177
Community Services for the Elderly Program (SOFA) . . . . .	108
Comprehensive Alcohol and Substance Abuse Treatment Program (DOCS) . . . . .	123
Comprehensive Psychiatric Emergency Programs (OMH) . . . . .	179
CONNECTIONS (OCFS) . . . . .	43
Congregate Services Initiative (SOFA) . . . . .	108
Consolidated Highway Improvement Program-CHIPS (DOT) . . . . .	321
Consumer Protection Board . . . . .	359
Cornell Cooperative Extension (SUNY) . . . . .	82
Correction, State Commission of . . . . .	117
Correctional Services, Department of . . . . .	121
Crime Victims Board . . . . .	131
Criminal Justice Services, Division of . . . . .	135
CRIMNET (DCJS) . . . . .	136
Cultural Education (SED) . . . . .	31

## D

Day Services (OMRDD) . . . . .	189
Dedicated Highway and Bridge Trust Fund (DOT) . . . . .	320
Dedicated Mass Transportation Trust Fund (DOT) . . . . .	320
Deferred Compensation Board (Miscellaneous) . . . . .	436
Design and Construction (OGS) . . . . .	376
Development Authority of the North Country (Miscellaneous) . . . . .	437
Developmental Disabilities Planning Council . . . . .	141
Disability Assistance (OTDA) . . . . .	54
Disability Benefits Program (WCB) . . . . .	98
Domestic Violence, Office for the Prevention of . . . . .	19
Dormitory Authority (Public Authorities) . . . . .	295
Drinking Water State Revolving Loan Fund (EFC) . . . . .	259

## E

Economic Development, Department of . . . . .	235
Economic Development Zones (DED) . . . . .	236
Education Department, State . . . . .	23
Educational Improvement Block Grant (SED) . . . . .	26
Elderly Abuse Education and Outreach (SOFA) . . . . .	107
Elderly Pharmaceutical Insurance Coverage Program (DOH) . . . . .	147
Elections, Board of . . . . .	363
Elementary, Middle and Secondary Education Programs (SED) . . . . .	27
Emergency Highway Construction and Reconstruction (Miscellaneous) . . . . .	437
Emergency Highway Reconditioning and Preservation (Miscellaneous) . . . . .	438
Empire State Development Corporation . . . . .	241
Empire State Games (Parks) . . . . .	288
Empire State Partnerships (Arts) . . . . .	5

Employee Relations, Office of .....	367
Energy Research and Development Authority, NYS .....	245
Environmental Conservation Academy (DEC) .....	249
Environmental Conservation, Department of .....	247
Environmental Facilities Corporation .....	259
Environmental Protection Fund (DEC) .....	247
Environmental Quality Bond Act - 1986 (DEC) .....	248
Executive Chamber .....	371
Expanded In-home Services for the Elderly Program (SOFA) .....	108

**F**

Family Assistance (OTDA) .....	52
Family and Children's Services Block Grant (OCFS) .....	41
Family Protection and Domestic Violence Intervention Act (OPDV) .....	19
Federal Adoption and Safe Families Act (ASFA) (OCFS) .....	42
Federal Nutrition Assistance Program for Women, Infants and Children (DOH) .	147
Federal Temporary Assistance for Needy Families (DOL) .....	74
Federal Temporary Assistance to Needy Families (TANF) (OCFS) .....	41
Field Investigation and Audit (DMV) .....	202
Financial Assistance to Business (EFC) .....	260
Foster Grandparent Program (SOFA) .....	108

**G**

General Services, Office of .....	375
General State Charges (Miscellaneous) .....	438
Green Thumb Program (Miscellaneous) .....	441
Greenway Heritage Conservancy of the Hudson River Valley (Miscellaneous) .	441
guardHELP (DMNA) .....	196

**H**

Harlem Valley Secure Youth Facility (OCFS) .....	43
Health, Department of .....	143
Health Insurance Contingency Reserve (Miscellaneous) .....	442
Health Insurance Reserve Receipts Fund (Miscellaneous) .....	442
Hearing Aid Dispenser Act (DOS) .....	413
Heavy Duty Inspection and Maintenance Program (DEC) .....	250
Higher Education (Miscellaneous) .....	443
Higher Education Services Corporation .....	61
Holocaust Claims Processing Office (Bank) .....	345
Housing and Community Renewal, Division of .....	263
Housing Finance Agency .....	269
Housing Finance Agency (DHCR) .....	263
Housing Trust Fund Corporation (DHCR) .....	263
Hudson River Park Fund (Parks) .....	288
Hudson River Valley Greenway Communities Council (Miscellaneous) .....	443
Human Rights, Division of .....	69
Human Services Application Service Center (OFT) .....	430

**I**

"I Love NY" (DED) .....	236
Industrial Finance Program (EFC) .....	260
Inspector General, Office of the State .....	381
Insurance and Securities Funds Reserve Guarantee (Miscellaneous) .....	444
Insurance Department .....	385
Interagency Services (OGS) .....	377
Interest on Lawyer Account .....	159
International Fuel Tax Agreement (Tax) .....	419
Investigation, Temporary State Commission of .....	163

**J**

Jail Management Assistance Team (DPCA) .....	213
Job Development Authority (ESDC) .....	241
Job Services (DOL) .....	75
Judicial Commissions .....	165
Judicial Conduct, Commission on .....	165
Judicial Nomination, Commission on .....	165
Judicial Screening Committees, Governor's .....	165
Judiciary .....	465
Judiciary, Commentary of the Governor on .....	463
Juvenile Delinquency/Persons in Need of Supervision (JD/PINS) Foster Care Program .....	41

**L**

Labor, Department of .....	73
Lake George Park Commission (DOS) .....	414
Language Immersion Program (CUNY) .....	15
Law, Department of .....	389
Legislature .....	501
Lieutenant Governor (Legislature) .....	502
Lieutenant Governor, Office of .....	374
Linked Deposit Program (DED) .....	237
Literacy First Initiative (SED) .....	25
Lobbying, Temporary State Commission on .....	395
Local Government Assistance (Miscellaneous) .....	445
Local Government and Community Service Program (DOS) .....	413
Long Island Power Authority (Public Authorities) .....	295
Long-Term Care (DOH) .....	144
Lottery, Division of the .....	275

**M**

Managed Care (DOH) .....	145
Marchiselli Program (DOT) .....	320
Mass Transportation Operating Assistance Fund (DOT) .....	320
Medicaid (DOH) .....	143
Medicaid Service Coordination (OMRDD) .....	187
Mental Health, Office of .....	177
Mental Hygiene, Department of .....	169

Mental Retardation and Developmental Disabilities, Office of .....	185
Metropolitan Transportation Authority .....	279
Military and Naval Affairs, Division of .....	195
Military Readiness (DMNA) .....	196
Miscellaneous Guarantee Appropriations (Miscellaneous) .....	447
Mortgage Agency, State of New York .....	271
Motor Vehicles, Department of .....	201
Multi-Modal Program (DOT) .....	320
Municipal Assistance Corporation for the City of New York (Public Authorities) ..	295
Municipal Assistance Corporation for the City of Troy (Public Authorities) .....	295
Municipal Bond Bank Agency (Public Authorities) .....	296

**N**

Nathan S. Kline Institute (OMH) .....	179
National and Community Service (Miscellaneous) .....	447
Natural Heritage Trust (Parks) .....	288
New York City AMTRAK Train Station Redevelopment Project (ESDC) .....	242
New York City Transit Authority (MTA) .....	279
New York Intranet (OFT) .....	430
New York Power Authority (Public Authorities) .....	295
New York Psychiatric Institute (OMH) .....	179
New York State Bridge Authority (Public Authorities) .....	294
New York State Canal Corporation (Thruway) .....	317
Niagara Frontier Transportation Authority (Public Authorities) .....	297
NORC Supportive Service Program (SOFA) .....	108
Northeastern Queens Nature & Historical Preserve Comm. (Miscellaneous) ...	448
NYS-Cares (OMRDD) .....	186
NYSTEP System (CS) .....	353
NY Wired Scholars Program (Lottery) .....	275

**O**

Ogdensburg Bridge and Port Authority (Public Authorities) .....	296
Olympic Regional Development Authority .....	283

**P**

Parole, Division of .....	207
Parks, Recreation and Historic Preservation, Office of .....	287
Partnership for Long Term Care (DOH) .....	145
Payments to Victims Program (CVB) .....	131
Petroleum Overcharge Recovery Program (ERDA) .....	245
Petroleum Storage Tanks - COPS Repayment (Miscellaneous) .....	448
Port Authority of New York and New Jersey (Public Authorities) .....	296
Port of Oswego Authority (Public Authorities) .....	296
Principal Tenure Reform (SED) .....	25
Probation and Correctional Alternatives, Division of .....	213
Project Finance Agency (Public Authorities) .....	296
Public Authorities, New York State .....	293
Public Employment Practices and Representation, Office of (PERB) .....	399
Public Employment Relations Board .....	399
Public School Choice (SED) .....	25

## **INDEX**

---

Public Service, Department of .....	307
Public Service Commission (DPS) .....	307

### **Q**

Quality of Care for the Mentally Disabled, Commission on .....	217
--	-----

### **R**

Racing and Wagering Board, State .....	311
Real Property Management and Development (OGS) .....	376
Real Property Services, Office of .....	403
Recruitment Incentive and Retention Program (DMNA) .....	196
Recycling Market Development Program (DED) .....	237
Regulation of the Professions (SED) .....	31
Regulatory Reform, Governor's Office of .....	409
Regulatory Review (GORR) .....	409
Replacement Medicaid System (DOH) .....	145
Research Institute on Addictions (OASAS) .....	172
Reserve for Federal Audit Disallowances (Miscellaneous) .....	448
Residential Services (OMRDD) .....	189
Retired and Senior Volunteer Program .....	108
Rochester-Genesee Regional Transportation Authority (Public Authorities) .....	297
Roswell Park Cancer Institute Corporation (DOH) .....	143

### **S**

Safety Net Program (OTDA) .....	53
Scholarships for Academic Excellence (HESC) .....	62
School Aid (SED) .....	26
School Tax Relief (SED) .....	23
Science and Technology Foundation .....	315
Senior Colleges (CUNY) .....	13
Solid Waste Management Act -1988 (DEC) .....	249
Special Education (SED) .....	27
Special Emergency Appropriation (Miscellaneous) .....	449
Special Needs Plans (OMH) .....	177
SSI Outreach (SOFA) .....	107
STAR Initiative (ORPS) .....	404
State, Department of .....	413
State Athletic Commission (DOS) .....	414
State Child Abuse Hotline .....	42
State Debt Service .....	453
State Emergency Management Office (DMNA) .....	195
State Ethics Commission (DOS) .....	414
State Fair (Ag&Mkts) .....	230
State Food Assistance Program (OTDA) .....	54
State Liquor Authority (ABC) .....	333
State-Operated Colleges (SUNY) .....	81
State Park Infrastructure Fund (Parks) .....	288
State Police, Division of .....	221
State University Construction Fund .....	87
State University of New York .....	81

Statewide Energy Improvement (Miscellaneous) .....	449
Statewide Public Safety Communications System (DSP) .....	221
Supplemental Nutrition Assistance Program (SOFA) .....	108
Supplemental Security Income (OTDA) .....	51
Support for Consumers Living in Their own Homes (OMRDD) .....	189
Surrogate Decision Making Committee Program (CQC) .....	217
System Benefits Charge (ERDA) .....	245
Systems Modernization Program (WCB) .....	98

**T**

Tax Appeals, Division of .....	425
Taxation and Finance, Department of .....	419
Technical Advisory Services (EFC) .....	260
Technology and Procurement (OGS) .....	376
Technology, Office for .....	429
Technology Training Partnership Initiative (SED) .....	28
Tele-Claims Centers (DOL) .....	76
Temporary and Disability Assistance, Office of .....	51
Thousand Islands Bridge Authority (Public Authorities) .....	294
Thruway Authority .....	317
Transportation, Department of .....	319
Triborough Bridge and Tunnel Authority (MTA) .....	279
Tug Hill Commission (DOS) .....	414
Tuition Assistance Program (HESC) .....	62

**U**

Uniform State Laws, Commission on (DOS) .....	414
United Nations Development Corporation (Public Authorities) .....	294
Urban Development Corporation (ESDC) .....	241

**V**

Vehicle and Driver Safety (DMV) .....	202
Veterans' Affairs, Division of .....	89
Victim and Witness Assistance Program (CVB) .....	132
Vocational Rehabilitation (SED) .....	32

**W**

Welfare Inspector General, Office of .....	93
Worker Protection (DOL) .....	76
Workers' Compensation Board .....	97
Workers' Compensation Reserve (Miscellaneous) .....	449
Workforce Investment Act (DOL) .....	75



# KEY TO AGENCY ABBREVIATIONS

A&C	Department of Audit and Control
ABC	Division of Alcoholic Beverage Control
Adv	Office of Advocate for Persons with Disabilities
Ag&Mkts	Department of Agriculture and Markets
AHC	Affordable Housing Corporation
APA	Adirondack Park Agency
Arts	Council on the Arts
Bank	Banking Department
CC&F	Council on Children and Families
CPB	Consumer Protection Board
CQC	Commission on Quality Care for the Mentally Disabled
CS	Department of Civil Service
CUNY	City University of New York
CVB	Crime Victims Board
DA	Dormitory Authority
DANC	Development Authority of the North Country
DCJS	Division of Criminal Justice Services
DDPC	Developmental Disabilities Planning Council
DEC	Department of Environmental Conservation
DED	Department of Economic Development
DHCR	Division of Housing and Community Renewal
DHR	Division of Human Rights
DMNA	Division of Military and Naval Affairs
DMH	Department of Mental Hygiene
DMV	Department of Motor Vehicles
DPCA	Division of Probation and Correctional Alternatives
DPS	Department of Public Service
DOB	Division of the Budget
DOCS	Department of Correctional Services
DOH	Department of Health
DOS	Department of State
DOT	Department of Transportation
DPS	Department of Public Service
DSP	Division of State Police
DTA	Division of Tax Appeals
DVA	Division of Veterans' Affairs
EFC	Environmental Facilities Corporation
ERDA	New York State Energy Research and Development Authority
ESDC	Empire State Development Corporation
FCB	New York State Financial Control Board
GORR	Governor's Office of Regulatory Reform
HESC	Higher Education Services Corporation
HFA	Housing Finance Agency
HTFC	Housing Trust Fund Corporation
IG	Inspector General, Office of the State
Ins	Insurance Department
IOLA	Interest on Lawyer Account
JDA	Job Development Authority

## ***KEY TO AGENCY ABBREVIATIONS***

---

DOL	Department of Labor
Law	Department of Law
LGAC	Local Government Assistance Corporation
LIPA	Long Island Power Authority
Lottery	Division of the Lottery
MBBA	Municipal Bond Bank Agency
MTA	Metropolitan Transportation Authority
OASAS	Office of Alcoholism and Substance Abuse Services
OCFS	Office of Children and Family Services
OER	Office of Employee Relations
OFT	Office for Technology
OGS	Office of General Services
OMH	Office of Mental Health
OMRDD	Office of Mental Retardation and Developmental Disabilities
OPDV	Office for the Prevention of Domestic Violence
ORDA	Olympic Regional Development Authority
ORPS	Office of Real Property Services
OTDA	Office of Temporary Disability Assistance
OWIG	Office of the Welfare Inspector General
PACB	Public Authorities Control Board
Parole	Division of Parole
Parks	Office of Parks, Recreation and Historic Preservation
PERB	Public Employment Relations Board
PFA	Project Finance Agency
R&W	New York State Racing and Wagering Board
SCOC	State Commission of Correction
SED	State Education Department
SIF	State Insurance Fund
SOFA	State Office for the Aging
SONYMA	State of New York Mortgage Agency
STF	Science and Technology Foundation
SUCF	State University Construction Fund
SUNY	State University of New York
Tax	Department of Taxation and Finance
Thruway	NYS Thruway Authority
UDC	Urban Development Corporation
WCB	Workers' Compensation Board