
NEW YORK STATE REGISTER

INSIDE THIS ISSUE:

- School Breakfast Programs
- Medical Use of Marihuana
- NYS Part-Time Scholarship (PTS) Award Program

**Rule Review
Financial Reports**

State agencies must specify in each notice which proposes a rule the last date on which they will accept public comment. Agencies must always accept public comment: for a minimum of 60 days following publication in the *Register* of a Notice of Proposed Rule Making, or a Notice of Emergency Adoption and Proposed Rule Making; and for 30 days after publication of a Notice of Revised Rule Making, or a Notice of Emergency Adoption and Revised Rule Making in the *Register*. When a public hearing is required by statute, the hearing cannot be held until 60 days after publication of the notice, and comments must be accepted for at least 5 days after the last required hearing. When the public comment period ends on a Saturday, Sunday or legal holiday, agencies must accept comment through the close of business on the next succeeding workday.

For notices published in this issue:

- the 60-day period expires on February 24, 2019
- the 30-day period expires on January 25, 2019

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GOVERNOR**

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NEW YORK STATE DEPARTMENT OF STATE

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NEW YORK STATE REGISTER

Be a part of the rule making process!

The public is encouraged to comment on any of the proposed rules appearing in this issue. Comments must be made in writing and must be submitted to the agency that is proposing the rule. Address your comments to the agency representative whose name and address are printed in the notice of rule making. No special form is required; a handwritten letter will do. Individuals who access the online *Register* (www.dos.ny.gov) may send public comment via electronic mail to those recipients who provide an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings.

To be considered, comments should reach the agency before expiration of the public comment period. The law provides for a minimum 60-day public comment period after publication in the *Register* of every Notice of Proposed Rule Making, and a 30-day public comment period for every Notice of Revised Rule Making. If a public hearing is required by statute, public comments are accepted for at least five days after the last such hearing. Agencies are also required to specify in each notice the last date on which they will accept public comment.

When a time frame calculation ends on a Saturday or Sunday, the agency accepts public comment through the following Monday; when calculation ends on a holiday, public comment will be accepted through the following workday. Agencies cannot take action to adopt until the day after expiration of the public comment period.

The Administrative Regulations Review Commission (ARRC) reviews newly proposed regulations to examine issues of compliance with legislative intent, impact on the economy, and impact on affected parties. In addition to sending comments or recommendations to the agency, please do not hesitate to transmit your views to ARRC:

Administrative Regulations Review Commission
State Capitol
Albany, NY 12247
Telephone: (518) 455-5091 or 455-2731

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KEY: (P) Proposal; (RP) Revised Proposal; (E) Emergency; (EP) Emergency and Proposal; (A) Adoption; (AA) Amended Adoption; (W) Withdrawal

Individuals may send public comment via electronic mail to those recipients who provided an e-mail address in Notices of Proposed Rule Making. This includes Proposed, Emergency Proposed, Revised Proposed and Emergency Revised Proposed rule makings. Choose pertinent issue of the *Register* and follow the procedures on the website (www.dos.ny.gov)

Rule Making Activities

Agriculture and Markets, Department of

- 1 / Importation of Cervids Susceptible to Chronic Wasting Disease (“CWD”) (E)
- 4 / Spotted Lanternfly (“SL”) (E)

Education Department

- 7 / School Breakfast Programs (E)
- 10 / Prohibition Against Meal Shaming (E)
- 14 / Administration of Certain Vaccines by Pharmacists (A)
- 14 / Student Teaching Requirements for Teacher Certification and the Registration of Teacher Preparation Programs (P)
- 18 / Annual Professional Performance Reviews (P)
- 19 / To Implement New York State’s Every Student Succeeds Act (ESSA) Plan (RP)

Financial Services, Department of

- 22 / Principle-Based Reserving (EP)

Health, Department of

- 24 / Medical Use of Marihuana (E)

Higher Education Services Corporation

- 25 / New York State Masters-in-Education Teacher Incentive Scholarship Program (E)
- 27 / NYS Part-Time Scholarship (PTS) Award Program (E)

Niagara Frontier Transportation Authority

- 29 / Transportation Network Operators (“TNCs”) Providing Commercial Ground Transportation Services at NFTA Airports (A)

Public Service Commission

- 30 / Standby Service Rates and Buyback Service Rates (P)
- 30 / Transfer of Certain Street Lighting Facilities (P)
- 31 / Minor Rate Filing (P)
- 31 / Compensation of Distributed Energy Resources (P)
- 31 / Installed Reserve Margin (P)
- 32 / LED Street Lighting (P)
- 32 / Minor Rate Filing (P)
- 32 / Compensation of Distributed Energy Resources (P)

State, Department of

- 33 / New York State Uniform Fire Prevention and Building Code (the Uniform Code) (A)

Workers’ Compensation Board

- 34 / Fees for Medical Testimony (A)
- 35 / Medical Fee Schedules (A)

Hearings Scheduled for Proposed Rule Makings / 37

Action Pending Index / 39

Rule Review

- 83 / Education Department

Advertisements for Bidders/Contractors

95 / Sealed Bids

Miscellaneous Notices/Hearings

99 / Notice of Abandoned Property Received by the State Comptroller

99 / Public Notice

Financial Reports / 105

RULE MAKING ACTIVITIES

Each rule making is identified by an I.D. No., which consists of 13 characters. For example, the I.D. No. AAM-01-96-00001-E indicates the following:

AAM -the abbreviation to identify the adopting agency
01 -the *State Register* issue number
96 -the year
00001 -the Department of State number, assigned upon receipt of notice.
E -Emergency Rule Making—permanent action not intended (This character could also be: A for Adoption; P for Proposed Rule Making; RP for Revised Rule Making; EP for a combined Emergency and Proposed Rule Making; EA for an Emergency Rule Making that is permanent and does not expire 90 days after filing.)

Italics contained in text denote new material. Brackets indicate material to be deleted.

Department of Agriculture and Markets

EMERGENCY RULE MAKING

Importation of Cervids Susceptible to Chronic Wasting Disease ("CWD")

I.D. No. AAM-34-18-00001-E

Filing No. 1135

Filing Date: 2018-12-10

Effective Date: 2018-12-12

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 68.3(b) of Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 18, 72 and 74

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: Chronic Wasting Disease ("CWD") is a disease of captive and free-ranging susceptible cervids. CWD is generally spread from an infected cervid, via its bodily fluids and excretions, to an uninfected cervid. A cervid that has contracted CWD will experience weight loss, stumbling, tremors, and other symptoms and will, eventually, die due to having contracted such disease.

The proposed rule will amend 1 NYCRR section 68.3(b) to extend the prohibition upon the importation of cervids susceptible of contracting CWD from August 1, 2018, the date that such prohibition is due to expire, until August 1, 2023. The proposed rule is necessary to, generally, protect the general welfare and, specifically, to protect the State's cervid population and those industries and businesses that are dependent upon the health of such population.

Presently, the State's cervid population is believed to be to be free of CWD. However, CWD has been detected in both captive and free-ranging cervids in other states and, if an infected cervid were to be imported into New York, that cervid could, in turn, infect other cervids. The proposed rule, by extending the prohibition upon the importation of CWD-susceptible cervids, will not provide a guarantee but will significantly lessen the possibility that the State's cervid population will contract CWD; indeed, since the prohibition was initially promulgated (i.e., August 1, 2013), no CWD-infected cervid has been found in the State.

The proposed rule is necessary to ensure that the State's cervid population remains CWD-free. This objective cannot effectively be achieved by any other measure; at this time there is no ante-mortem test approved for determining if a cervid has contracted CWD and there is no generally-accepted procedure that would allow that determination to be made, based upon a cervid's appearance, because CWD-infected cervids typically do not exhibit symptoms until a period after being infected. Furthermore, it has been determined that a captive cervid in a herd enrolled in the United States Department of Agriculture's Herd Certification Program (designed to ensure that cervids in such a "certified herd" are at low risk for CWD) nevertheless had contracted that disease; as such, and based upon the foregoing, only a prohibition of the type referred to above will effectively promote the State's interest in ensuring that the State's cervid population is CWD-free.

Based upon the facts and circumstances set forth above, the Department has determined that the immediate adoption of the proposed rule is necessary for the preservation of the general welfare and that compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: Importation of cervids susceptible to Chronic Wasting Disease.

Purpose: To help control the spread of Chronic Wasting Disease into the State's cervid population.

Text of emergency rule: Subdivision (b) of section 68.3 of 1 NYCRR is amended to read as follows:

(b) All movements of CWD susceptible cervids into New York State are prohibited until August 1 [2018] 2023, except movements to a zoo accredited by the Association of Zoos and Aquariums, 8403 Colesville Road, Suite 710, Silver Springs, MD 20910-3314. No such movements shall be made unless approved prior to the movement by the commissioner or his/her designee in consultation with the New York Department of Environmental Conservation. [Prior to August 1, 2018, the commissioner shall hold public hearings to reevaluate the risks and impacts of allowing limited movement of CWD susceptible cervids into New York from other states and propose amendments to this Part if needed to prevent the introduction of Chronic Wasting Disease into New York.]

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. AAM-34-18-00001-EP, Issue of August 22, 2018. The emergency rule will expire February 7, 2019.

Text of rule and any required statements and analyses may be obtained from: David Smith, D.V.M., Director, Division of Animal Industry, NYS Dept. of Agriculture and Markets, 10B Airline Drive, Albany, New York 12235, (518) 457-3502, email: David.Smith@agriculture.ny.gov

Regulatory Impact Statement

1. Statutory Authority:

Section 18(6) of the Agriculture and Markets Law ("A&ML") provides, in part, that the Commissioner of Agriculture and Markets ("Commissioner") may enact, amend and repeal necessary rules which shall provide generally for the exercise of the powers and performance of the duties of the Department of Agriculture and Markets ("Department").

Section 72 of the A&ML authorizes the Commissioner to adopt and enforce rules and regulations for the control, suppression or eradication of communicable diseases among domestic animals and to prevent the spread

of infection and contagion. That section also provides that whenever any infectious or communicable disease affecting domestic animals shall exist or have recently existed outside the State, the Commissioner shall take measures to prevent such disease from being brought into the State.

Section 74 of the A&ML authorizes the Commissioner to adopt rules and regulations relating to the importation of domestic or feral animals into the State.

2. Legislative Objectives:

The proposed rule will amend 1 NYCRR section 68.3(b) to extend the prohibition upon the importation of cervids susceptible to contracting Chronic Wasting Disease ("CWD") from the date that the prohibition is currently scheduled to expire (i.e. on August 1, 2018), to August 1, 2023.

By enacting the statutes set forth above, the legislature intended to prevent infectious or communicable diseases, affecting, inter alia, wild and domestic cervids, from being brought into the State. The proposed rule would further this legislative goal by extending the prohibition upon the importation of live CWD susceptible cervids from outside of the State, as more fully set forth above.

3. Needs and Benefits:

The proposed rule is needed to inhibit the spread of CWD into the State's wild and domestic cervid population. CWD is a progressive, uniformly fatal, degenerative neurological disease of captive and free-ranging susceptible cervid species. It was first recognized in 1967 as clinical wasting syndrome of unknown cause in captive mule deer in Colorado. CWD belongs to the family of diseases known as transmissible spongiform encephalopathies ("TSE"). The name derives from the pin-point sized holes in brain tissue of infected animals which gives the tissue a sponge-like appearance. TSEs include several different diseases affecting animals and humans including bovine spongiform encephalopathy ("BSE") in cattle, scrapie in sheep and goats, and Creutzfeldt-Jacob disease ("CJD") in humans. Although CWD shares certain features with other TSEs, it is a distinct disease affecting only certain cervid species. There is no known treatment, vaccine nor reliable antemortem diagnostic test for CWD.

The origin of CWD is unknown. The agent that causes CWD and other TSEs has not been completely characterized; however, the theory supported by most scientists is that TSE diseases are caused by proteins called prions. The exact mechanism of transmission is also unclear although the evidence suggests that, as an infectious and communicable disease, CWD is transmitted directly from one animal to another through saliva, feces and urine containing abnormal prions shed in those body fluids and excretions. There is also evidence to suggest that the landscape can become contaminated with prions excreted from infected animals -- this contamination can lead to infection through an environmental route.

The species known to be susceptible to CWD are, inter alia, Rocky Mountain Elk (*Cervus Canadensis*), red deer (*Cervus elaphus*), mule deer (*Odocoileus hemionus*), black-tailed deer (*Odocoileus hemionus*), white-tailed deer (*Odocoileus virginianus*), sika deer (*Cervus nippon*), and Moose (*Alces alces*).

CWD is a slow and progressive disease. Due to the long incubation period of 1 to 5 years, cervids infected with CWD may not manifest clinical signs yet still shed prions for a number of years after exposure and infection. As the disease progresses animals with CWD show changes in both appearance and behavior including progressive weight loss, stumbling, tremors, lack of coordination, excessive salivation and drooling, loss of appetite, excessive thirst and urination, listlessness, teeth grinding, abnormal head posture, and drooping ears.

The United States Department of Agriculture ("USDA") has an established CWD eradication program that is administered through the states. Despite these efforts, CWD has been detected in cervids in a number of states, as well as in three Canadian provinces. During the last year, USDA identified ten new CWD-positive captive cervid herds in the United States, including one in Lancaster County, Pennsylvania.

The proposed rule will continue the prohibition upon the importation into the State of CWD-susceptible cervids, until August 1, 2023. The proposed rule is needed to protect the State's wild and captive cervid populations from CWD. Presently, the Department believes that the State's cervid population is free of CWD and that status is due, in great part, to the prohibition upon importation of CWD-susceptible cervids that has been in place since August 1, 2013.

The State's cervid farmers and those who hold cervids on their property ("cervid farmers") will benefit from adoption of the proposed rule. Currently, there are approximately 311 cervid farmers in the State; approximately 240 of whom raise cervids defined as susceptible to CWD. The proposed rule will benefit such cervid farmers by helping to ensure that their cervids do not contract CWD which, if that were to happen, could result in depopulation of their herds and a substantial loss of income.

The State's hunters will also benefit by adoption of the proposed rule. During the 2016 hunting season, approximately 213,000 cervids were harvested; the proposed rule, if adopted, will help to ensure that cervid hunting remains a vital component of the State's agricultural economy.

4. Costs:

(a) Costs to regulated parties:

The proposed rule will most directly affect the State's cervid farmers. At this time it is unknown whether such farmers will incur a cost associated with the extension of the prohibition upon the importation of CWD-susceptible cervids.

As set forth above, there are approximately 311 cervid farmers located in the State; prior to the imposition of the prohibition upon importation, referred to above, only approximately 25 such cervid farmers actually imported susceptible cervids. Those cervid farmers who would want to import such cervids would not incur a cost to stock or replenish his/her herd if he/she, simply put, allows bucks to have access to does. If, however, that is not a preferred option, one measure of costs would be the difference between the cost of artificial insemination compared to the cost of importing a CWD-susceptible cervid; because the cost of each option is variable, it is impossible to determine that one option is necessarily more expensive than the other.

Another measure of cost is the difference in cost between a CWD-susceptible cervid raised in the State and such a cervid, of the same age, gender, and genetic background, raised out-of-state. Prices for captive bred cervids vary tremendously by species, age, sex, and the physical attributes of the cervids in question. Whitetail deer does for breeding may sell for \$4,000 to \$25,000. Prices for good quality breeding males range more widely, from \$25,000 to well over \$100,000 per head. Animals purchased for the purpose of stocking a shooting operation generally command lower prices. It is the Department's understanding that one of the main concerns of some New York captive deer operations is that they have no access to inexpensive "shooter bucks" from neighboring states, especially Pennsylvania. In talking with a prominent New York cervid farmer we learned that there may be more concern about the reduced selection of animals available for purchase, due to the importation ban, than the price difference of in-state versus out-of-state animals. This concern may be addressed at least in part by the fact that embryos for embryo transfer and semen for artificial insemination may still be imported and these are both viable ways to introduce new genetics into a cervid herd. From January 1, 2011 to March 29, 2013 (the years before the prohibition upon the importation of CWD-susceptible cervids was instituted), approximately 25 cervid owners purchased approximately 400 cervids from out-of-state; it is anticipated that approximately the same number of cervid farmers would, presently, purchase no more than approximately the same number of cervids, in the absence of a prohibition upon importation.

(b) Costs to the agency, the state, and local governments:

None.

5. Local Government Mandates:

None.

6. Paperwork:

None.

7. Duplication:

Title 9 of the Code of Federal Regulations ("9 CFR") Part 81 prohibits a farmed or captive cervid from being moved in interstate commerce unless it is from a herd certified as CWD-free and unless it does not show clinical signs associated with CWD.

8. Alternatives:

The Department considered four options relevant to the importation of CWD-susceptible cervids into the State; that is:

- 1) to discontinue the prohibition upon the importation of such cervids; or
- 2) to make the prohibition permanent; or
- 3) to modify the presently-existing prohibition to allow limited importations with conditions in addition to the animals' being qualified under the federal herd certification program; or
- 4) to extend the prohibition for another five-year period (that is, until August 1, 2023).

The first alternative was to allow the prohibition upon the importation of CWD susceptible cervids to lapse. This alternative was rejected because such prohibition has proven effective in preventing CWD from noticeably infecting the State's wild and captive cervid populations. Furthermore, allowing the ban to lapse, especially at this time, would be irresponsible in light of the continued spread of CWD throughout the United States, including in an adjacent state, and in several Canadian provinces.

The second alternative was to make the prohibition upon importation permanent. However, that alternative was rejected in light of the possibility that an effective ante-mortem test for CWD may be developed that would allow for importation, albeit only after such a test is administered. As such, the Department believes that a prohibition upon importation, without an end date, would be inappropriate.

A third alternative involves live animal testing for CWD. Tonsillar and rectal mucosa biopsy and histologic techniques have advanced greatly in the past year and their increasing reliability make them worthy of consideration as possible adjuncts to the federal CWD program's certifica-

tions when live animals are prospects for importation. We need to learn more about these tests and we look forward to having such discussions with industry, other stakeholders, and laboratories.

The fourth alternative, and the one ultimately chosen, was to extend the prohibition upon importation, until August 1, 2023. This alternative meets the current biosecurity needs of the State and allows for flexibility with the potential advancement of science. This alternative is supported by a number of cervid farmers, wildlife biologists, and other governmental agencies.

9. Federal Standards:

9 CFR Part 81 regulates the interstate movement of cervids but, in section 81.6, allows the states to adopt regulations that are more restrictive than the requirements set forth in that Part.

10. Compliance Schedule:

The rule will be effective upon filing with the Department of State.

Regulatory Flexibility Analysis

1. Effect of rule:

There are approximately 311 small businesses raising a total of approximately 10,146 captive cervids in New York State.

The proposed rule will have no impact on local governments and, as such, this Regulatory Flexibility Analysis will not refer to those political subdivisions.

2. Compliance requirements:

Presently, 1 NYCRR section 68.3(b) provides that CWD-susceptible cervids may not be imported from outside the State into New York during the period August 1, 2013 to August 1, 2018; the proposed rule will continue that prohibition, until August 1, 2023.

3. Professional services:

It is not anticipated that regulated parties will have to secure any professional services in order to comply with the proposed rule.

4. Compliance costs:

The proposed rule will not impose a direct cost upon persons wishing to import CWD-susceptible cervids into New York. A small business that farms or otherwise holds cervids ("a cervid farmer") will not incur a cost to stock or replenish his/her herd if he/she, simply put, allows bucks to have access to does. If, however, that is not a preferred option, one measure of costs would be the difference between the cost of artificial insemination compared to the cost of importing a CWD-susceptible cervid; because the cost of each option is variable, it is impossible to determine that one operation is necessarily more expensive than the other.

Another measure of cost is the difference in cost between a CWD-susceptible cervid raised in the State and such a cervid, of the same age, gender, and genetic background, raised out-of-State. Prices for captive bred cervids vary tremendously by species, age, sex, and the physical attributes of the cervids in question. Whitetail deer does for breeding may sell for \$4,000 to \$25,000. Prices for good quality breeding males range more widely, from \$25,000 to well over \$100,000 per head. Animals purchased for the purpose of stocking a shooting operation generally command lower prices. It is the Department's understanding that one of the main concerns of some New York captive deer operations is that they have no access to inexpensive "shooter bucks" from neighboring states, especially Pennsylvania. In talking with a prominent New York cervid farmer we learned that there may be more concern about the reduced selection of animals available for purchase, due to the importation ban, than the price difference of in-state versus out-of-state animals. This concern may be addressed at least in part by the fact that embryos for embryo transfer and semen for artificial insemination may still be imported and these are both viable ways to introduce new genetics into a cervid herd. From January 1, 2011 to March 29, 2013 (the years before the prohibition upon the importation of CWD-susceptible cervids was instituted), approximately 25 cervid owners purchased approximately 400 cervids from out-of-state; it is anticipated that approximately the same number of cervid farmers would, presently, purchase no more than approximately the same number of cervids, in the absence of a prohibition upon importation.

5. Economic and technological feasibility:

The proposed rule is economically feasible. Although there are now approximately 120 fewer cervid farmers in the State than there were in 2013, nevertheless approximately 550 more cervids are being held in captivity. Although it is possible that certain cervid farmers may pay more to stock or replenish their herds if the proposed rule were adopted, nevertheless the economic consequences associated with an outbreak of CWD in the State's wild and captive cervid populations would be far greater.

The proposed rule is, also, technologically feasible; cervid farmers will still be able to purchase cervids located within the State and/or have their female cervids artificially inseminated. They may also take advantage of embryo transfer to improve their herd genetics.

6. Minimizing adverse impact:

In conformance with State Administrative Procedure Act section 202-b(1), the proposed rule was drafted to minimize economic impact and reporting requirements upon cervid farmers. While the proposed rule

prohibits cervid farmers from importing CWD-susceptible cervids from out of State, they would still be able to purchase such cervids from cervid farmers within the State and/or to have female cervids located in the State artificially inseminated. Market forces may result in higher prices for these purchasers; however, the economic consequences associated with the State's wild or captive cervid populations contracting CWD would be far greater absent the prohibition on importation, set forth in the proposed rule.

Another way to minimize impact would be to allow the importation of live cervids which in addition to being eligible for movement under the USDA CWD program, have also undergone live-animal CWD testing. Live animal tests have advanced quickly in the past year and the Department is open to considering this as a way to lessen the adverse impacts on the captive cervid industry. More discussion with industry, other stakeholders, and laboratories is necessary to explore this option.

7. Small business and local government participation:

In developing this rule, the Department has consulted with representatives of the Northeast Deer and Elk Farmers as well as the Department of Environmental Conservation (DEC). A hearing was held on March 28th, 2017 to acquire insights from industry and others on the issue. DEC supports the rule.

Outreach efforts will continue.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The approximately 311 entities raising captive cervids in New York State ("cervid farmers") are all located in rural areas, as defined by section 481(7) of the Executive Law.

2. Reporting, recordkeeping and other compliance requirements; and professional services:

Presently, 1 NYCRR section 68.3(b) provides that CWD-susceptible cervids may not be imported from outside the State into New York during the period August 1, 2013 to August 1, 2018; the proposed rule will continue that prohibition, until August 1, 2023.

The proposed rule imposes no reporting or recordkeeping requirements upon cervid farmers nor will they have to secure any professional services in order to comply with the proposed rule.

3. Costs:

The proposed rule will not impose a direct cost upon persons wishing to import CWD-susceptible cervids into New York. A business that farms or otherwise holds cervids ("a cervid farmer") will not incur a cost to stock or replenish his/her herd if he/she, simply put, allows bucks to have access to does. If, however, that is not a preferred option, one measure of costs would be the difference between the cost of artificial insemination compared to the cost of importing a CWD-susceptible cervid; because the cost of each option is variable, it is impossible to determine that one option is necessarily more expensive than the other.

Another measure of cost is the difference in cost between a CWD-susceptible cervid raised in the State and such a cervid, of the same age, gender, and genetic background, raised out-of-State. Prices for captive bred cervids vary tremendously by species, age, sex, and the physical attributes of the cervids in question. Whitetail deer does for breeding may sell for \$4,000 to \$25,000. Prices for good quality breeding males range more widely, from \$25,000 to well over \$100,000 per head. Animals purchased for the purpose of stocking a shooting operation generally command much lower prices. It is the Department's understanding that one of the main concerns of some New York captive deer operations is that they have no access to inexpensive "shooter bucks" from neighboring states, especially Pennsylvania. From January 1, 2011 to March 29, 2013 (the years before the prohibition upon the importation of CWD-susceptible cervids was instituted), approximately 25 cervid owners purchased approximately 400 cervids from out-of-state; it is anticipated that approximately the same number of cervid farmers would, presently, purchase no more than approximately the same number of cervids, in the absence of a prohibition upon importation.

4. Minimizing adverse impact:

In conformance with State Administrative Procedure Act section 202-b(1), the rule was drafted to minimize economic impact and reporting requirements for regulated parties located in rural areas. While the proposed rule prohibits cervid farmers from importing CWD-susceptible cervids from out of state, they would still be able to purchase such cervids from cervid farmers within the State and/or to have female cervids located in the State artificially inseminated. They may also avail themselves of embryo transfer, since both semen and embryo importation are unaffected by the prohibition on importation of live CWD susceptible species. Market forces may result in higher prices for these purchasers; however, the economic consequences associated with the State's wild or captive cervid populations contracting CWD would be far greater absent the ban on importation set forth in the proposed rule.

Several people have proposed that the concern of protecting wild deer populations could be addressed with stricter fencing requirements for New

York cervid farms to prevent nose-to-nose contact between captive and wild cervid. This is commonly referred to as “double fencing” and typically involves a secondary fence around the primary enclosure. Double fencing may help reduce risk of nose-to-nose contact, but our experience in New York has been that captive deer escaping their enclosures is a significant risk for wild deer to be exposed to captive cervids. This happens most frequently through gates being left open accidentally, poor fence maintenance, damage done by storms, and sometimes due to intentional acts such as vandalism. Also, there are recent concerns about CWD prions being carried by plant material, so direct exposure due to live animal contact and contact with excreta from CWD affected animals may not be the only risks. While double fencing may help reduce risk, it would come at a significant cost for our producers and for the reasons just described, we would not envision relying on it instead of the importation ban.

Another way to reduce risk and possibly allow importation again may be to use live animal testing in conjunction with the requirements of the federal herd certification program. Live animal testing has rapidly progressed over the past year and this idea is worthy of consideration; however, we need to learn more about its strengths and limitations and, in this connection, we look forward to having conversations on live animal testing with the industry and other stakeholders.

We believe that taking every reasonable precaution to avoid importing CWD into the state is a wise precaution. It may well be inevitable that the disease will be reintroduced to New York through the natural movements of wild animals or by some other mechanism. Nonetheless reducing the risk through the avenues we can control and delaying new cases of CWD for as long as can will protect both the captive and wild cervid industries.

5. Rural area participation:

In developing this rule, the Department has consulted with representatives of the Northeast Deer and Elk Farmers as well as the Department of Environmental Conservation (DEC). DEC strongly supports the rule. In addition, a public hearing on the importation ban and whether it should be renewed was held on March 28, 2017.

Outreach efforts will continue.

Job Impact Statement

1. Nature of Impact:

It is not anticipated that the proposed rule will have an impact on presently-existing jobs or upon employment opportunities.

2. Categories and Numbers Affected:

The number of persons employed by the 311 entities engaged in raising captive deer in New York State is unknown.

3. Regions of Adverse Impact:

The 311 entities in New York State engaged in raising captive deer are located throughout the State.

4. Minimizing Adverse Impact:

By helping to protect the approximately 10,146 captive deer currently raised by approximately 311 New York entities from the further introduction of CWD, this rule will help to preserve the jobs of those currently employed in this agricultural industry.

Assessment of Public Comment

A hearing was held on October 25, 2018 to consider whether 1 NYCRR section 68.3(b) should be amended to extend the ban upon the importation into New York of cervids that are susceptible to contracting Chronic Wasting Disease (“CWD susceptible cervids”), until August 1, 2023 (“the proposed rule”). At the hearing, five people commented and, thereafter, three people submitted written comments, regarding the proposed rule.

One commentator stated that the ban upon the importation of captive cervids should not include reindeer; however, 1 NYCRR 68.3(b), as amended, will cover only cervids of the genus *Alces*, *Odocoileus*, and *Cervus* and not cervids of the genus *Rangifer* (i.e., reindeer).

One commentator supported the proposed rule as written. Another commentator advocated that the proposed rule should be amended so that the ban upon the importation of CWD susceptible cervids would last for ten years, until August 1, 2028, and three commentators advocated that such ban should be made permanent. The Department of Agriculture and Markets (“Department”) declines to amend the proposed rule to extend the ban upon the importation of CWD susceptible cervids beyond August 1, 2023; the Department believes that an extension of the ban until August 1, 2023 strikes the proper balance between an unduly long ban that could be made unnecessary if an effective ante-mortem test is developed to determine if a CWD susceptible cervid has contracted that disease, and a ban that is of insufficient duration to adequately promote the objective that the State’s cervid population remain, apparently, CWD-free.

Two commentators were opposed to the proposed rule. One commentator stated that the proposed ban would not prevent wild cervids, located outside the State, that had contracted CWD from coming into the State and infecting its wild and/or captive cervids with that disease. The Department acknowledges that the proposed rule will not ensure that the State’s cervid population remains, apparently, CWD-free but believes that an

extension of the ban upon the importation of CWD susceptible cervids, until August 1, 2023, will greatly contribute to that objective.

Another commentator also stated that the proposed rule will not be effective, for the reason set forth by the other commentator who opposed the proposed rule, and also stated that cervid farmers should be able to import CWD susceptible cervids if those animals have been examined by a veterinarian and found to be free of CWD. The Department, however, declines to withdraw the proposed rule to “lift” the ban on importation, for the reason set forth above, and further declines to amend it to allow for importation as suggested by this commentator because, as set forth above, there is, presently, no satisfactory test to determine, ante-mortem, if a cervid has or has not contracted CWD.

EMERGENCY RULE MAKING

Spotted Lanternfly (“SL”)

I.D. No. AAM-41-18-00001-E

Filing No. 1131

Filing Date: 2018-12-06

Effective Date: 2018-12-10

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of Part 142 to Title 1 NYCRR.

Statutory authority: Agriculture and Markets Law, sections 18, 164 and 167

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: The Spotted Lanternfly (*Lycorma delicatula*) is an insect nonindigenous to the United States. It was first detected in Berks County, Pennsylvania, in September, 2014, and since then has spread to the Commonwealth of Virginia and the States of Delaware and New Jersey. The proposed rule will require each person who wants to import, into New York, an article that is capable of being infested by or with Spotted Lanternfly, and that has originated from or passed through certain counties in Delaware, New Jersey, Pennsylvania, or Virginia, to obtain a “certificate of inspection” from an appropriate state official, before importation into New York.

The proposed rule has been adopted, as an emergency rule, to protect the public welfare. The Spotted Lanternfly infests different types of trees, including fruit trees, as well as plants, including grape plants and hops plants. Once infested, a tree or plant is deprived of nutrients, is incapable of producing fruit to the extent it had prior to infestation, and is not useful as a source of wood. The proposed rule is designed to prevent the Spotted Lanternfly from entering the State and thereby jeopardizing its forest-based industries and its fruit-based industries which, in sum, contribute approximately \$7 billion to the State’s economy, annually.

Based on the facts and circumstances set forth above, the Department has determined that the immediate adoption of this rule is necessary for the preservation of the general welfare and that compliance with 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: Spotted Lanternfly.

Purpose: To prevent spotted lanternfly-infested articles originating in or moving through areas in other states where spotted lanternfly is present from entering NYS.

Text of emergency rule: 1 NYCRR is amended by adding thereto a new Part 142, to read as follows:

PART 142. EXTERIOR QUARANTINE OF SPOTTED LANTERNFLY (*LYCORMA DELICATULA*)

§ 142.1 Definitions.

For this Part, the following words, names and terms shall be construed respectively, to mean:

(a) *AML*. The Agriculture and Markets Law.

(b) *Certificate of inspection*. A valid form issued by the certifying authority of a state, certifying that a regulated article may be moved into the State of New York, pursuant to the provisions of this Part.

(c) *Certifying Authority*. A State Plant Regulatory Official (SPRO) or an individual authorized by a SPRO to issue a certificate of inspection.

(d) *Commissioner*. The Commissioner of the Department of Agriculture and Markets of the State of New York, or his or her duly authorized representative.

(e) *DEC*. The Department of Environmental Conservation of the State of New York.

(f) *Department*. The Department of Agriculture and Markets of the State of New York.

(g) Firewood. Wood, cut or not cut, split or not split, regardless of length, which is either in a form and size appropriate for use as fuel, or intended for use as fuel. Firewood does not include: (1) kiln dried dimensional lumber; (2) wood that has been chipped; and (3) logs or wood being transported to or possessed by the following operations and facilities for use in their primary manufacturing process:

- (i) sawmills for dimensional lumber;
- (ii) pulp and/or paper mills;
- (iii) wood pellet manufacturing facilities;
- (iv) plywood manufacturing facilities;
- (v) wood biomass-using refineries or power plants;
- (vi) re-constituted wood or wood composite product manufacturing plants; and
- (vii) facilities treating firewood in accordance with Department regulations.

(h) Inspector. An inspector of the Department, or cooperator from DEC or the United States Department of Agriculture (USDA), when authorized by the Department to act in that capacity.

(i) Move; movement. Shipped, offered or received for shipment, carried, transported, or relocated into or through any area of the State of New York.

(j) Nursery stock. All trees, shrubs, plants and vines and parts thereof.

(k) Person. An individual, organization, corporation or partnership, public authority, county, town, village, city, municipal agency or public corporation, or any other legal entity other than the DEC or the Department and its respective authorized agents.

(l) Spotted lanternfly or SLF. The insect known as Spotted lanternfly, *Lycorma delicatula*, in any life stage.

(m) State. One of the fifty constituent political entities of the United States.

(n) Regulated Article. An article listed in Section 142.3 of the Part.

§ 142.2 Quarantine area.

The quarantine area consists of the following counties:

(a) In the Commonwealth of Pennsylvania, the counties of Berks, Bucks, Carbon, Chester, Delaware, Lancaster, Lebanon, Lehigh, Monroe, Montgomery, Northampton, Philadelphia, and Schuylkill.

(b) In the Commonwealth of Virginia, the county of Frederick.

(c) In the State of New Jersey, the counties of Hunterdon, Mercer, and Warren.

(d) In the State of Delaware, the county of New Castle.

§ 142.3 Regulated articles.

The following articles are regulated when originating from, located within, or moved through the area as described in Section 142.2 of this Part:

- (a) Any living life stage of the Spotted lanternfly.
- (b) Brush, debris, bark, or yard waste.
- (c) Landscaping, remodeling, or construction waste.
- (d) Logs, stumps, or any tree parts.
- (e) Firewood of any species.
- (f) Packing materials, such as wood crates or boxes.
- (g) All plants and plant parts including but not limited to nursery stock, green lumber, fruit and produce and other material living, dead, cut, fallen (including stumps), roots, branches, mulch, and composted and uncomposited chips.

(h) Outdoor household articles, including, but not limited to, recreational vehicles, lawn tractors and mowers, mower decks, grills, grill and furniture covers, tarps, mobile homes, tile, stone, deck boards, mobile fire pits, and any equipment associated therewith, and trucks or vehicles not stored indoors.

(i) Any other article, commodity, item, or product that has or that is reasonably believed to be infested with or harboring Spotted lanternfly.

§ 142.4 Restrictions on movement of regulated articles originating from or moved through a quarantine area, into the State of New York.

(a) No person shall move a regulated article that has originated from a quarantine area into the State of New York unless:

(1) such regulated article is accompanied by a certificate of inspection or will be moved into the State of New York for experimental or scientific purposes, on such conditions and under such safeguards as may be prescribed in writing by the Department; and

(2) such regulated article has been loaded, handled, or shipped in a manner reasonably designed to prevent it from becoming infested with or harboring Spotted lanternfly; and

(3) the regulated article is accompanied by a waybill that sets forth its point of origin and intended destination.

(b) No person shall move a regulated article that has not originated from a quarantine area but has moved through a quarantine area, into the State of New York unless:

(1) such regulated article is accompanied by a waybill that sets forth its point of origin and intended destination; and

(2) such regulated article has moved directly through a quarantine area without stopping except for refueling and traffic conditions.

§ 142.5 Conditions governing the issuance of a certificate of inspection.

(a) The Department will not accept or recognize a certificate of inspection, nor a substantially revised certificate of inspection, unless a copy thereof is furnished to the Department for its approval, prior to use.

(b) The Department will not accept or recognize a certificate of inspection unless the certificate of inspection provides, and clearly and convincingly indicates, that:

(1)(i) The regulated article has been inspected and found to be free of Spotted lanternfly; or (ii) the regulated article has been treated, fumigated, or processed by an approved method; or (iii) the regulated article has been grown, produced, manufactured, stored, or handled in such a manner that it would be free of Spotted lanternfly; and

(2) The regulated article is eligible for unrestricted movement under all other state plant quarantines and regulations.

§ 142.6 Inspection and disposition of shipments.

(a) The Department may inspect any container, conveyance, package, or vehicle reasonably believed to contain a regulated article.

(b) When a regulated article has been moved into the State of New York in violation of the provisions of this Part, an inspector may take such action as deemed necessary to eliminate the danger of introduction and/or spread of the Spotted lanternfly.

(c) If a regulated article is found to be infested with or harboring Spotted lanternfly, such regulated article must be rendered free of infestation without cost to the State of New York.

§ 142.7 Other laws and regulations.

No provision of this Part relieves any person from the obligation to comply with any other applicable federal, state, county, regional, or local law or regulation.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. AAM-41-18-00001-EP, Issue of October 10, 2018. The emergency rule will expire February 3, 2019.

Text of rule and any required statements and analyses may be obtained from: Christopher Logue, Director, Division of Plant Industry, Agriculture and Markets, 10B Airline Drive, Albany, NY 12235, (518) 457-2087, email: christopher.logue@agriculture.ny.gov

Regulatory Impact Statement

1. Statutory authority:

Section 18 of the Agriculture and Markets Law provides, in part, that the Commissioner of Agriculture and Markets ("Commissioner") may enact, amend, and repeal necessary rules which shall provide generally for the exercise of the powers and performance of the duties of the Department of Agriculture and Markets ("Department") as prescribed in the Agriculture and Markets Law ("AML") and the laws of the State and for the enforcement of their provisions and the provisions of the rules that have been enacted.

Section 164 of the AML provides, in part, that the Commissioner shall take such action as he or she may deem necessary to control or eradicate any injurious insects, noxious weeds, or plant diseases existing within the State.

Section 167 of the AML provides, in part, that the Commissioner is authorized to make, issue, promulgate and enforce such order, by way of quarantines or otherwise, as he or she may deem necessary or fitting to carry out the purposes of AML Article 14. AML Section 167 also provides that the Commissioner may adopt and promulgate such rules and regulations to supplement and give full effect to the provisions of AML Article 14.

2. Legislative objectives:

The proposed rule will amend 1 NYCRR by adding a new Part 142, entitled "Exterior Quarantine of Spotted Lanternfly". The proposed rule, will, generally require each person who wants to move a "regulated article" that originated from, is located in, or has moved through certain counties in Delaware, New Jersey, Pennsylvania or Virginia into the State to obtain a certificate of inspection before doing so that indicates that such article is free of Spotted Lanternfly ("SLF") before moving the regulated article into the State.

The proposed rule will further the legislature's objective to help ensure that injurious insects, such as SLF, are not allowed to enter the State.

3. Needs and benefits:

The proposed rule regulates the movement of articles capable of transporting SLF which is an insect not currently found in the State that can cause serious damage to healthy trees and plants by feeding on the sap of over seventy different plants. This SLF activity results in loss of nutrients, and ultimately results in the low to no yield in fruiting plants and can possibly lead to death. The average adult SLF is an inch long and ½ an inch wide. Its forewings are grayish with black spots. The early instar nymphs are black with white spots with the final instar being red with black and white spots. Adult insects are visible late July into the fall.

Gravid females will lay egg masses of up to 30 eggs per mass. The female will lay her eggs on any object. This activity makes the spread of the insect easy if left unchecked. The nymphs emerge once temperatures become warm enough, and the life cycle begins anew. Evidence of the presence of the SLF includes weeping from feeding sites, the presence of honeydew (an excretion from the insects feeding), and sooty mold.

Preferred materials at risk of attack and infestation by the SLF include the Grape (both wild and cultivated), Walnut, Porcelain Berry, and Tree of Heaven. In addition, spotted lanternfly will feed on over seventy different plants including many important hardwoods and important fruit trees and vines.

SLF was first discovered in Berks County, Pennsylvania in September 2014, and has since spread to the Commonwealth of Virginia and the States of Delaware and New Jersey. Although the State of New York has not had any infestations, one dead SLF was reported by a pharmaceutical company in Delaware County. It is believed the insect was moved to the facility inadvertently with a shipment of bottles from an area in Pennsylvania that the Commonwealth has placed under quarantine.

The proposed rule is needed to better ensure that the SLF does not enter the State and cause the damage referred to above.

4. Costs:

(a) Costs to regulated parties for the implementation of and continuing compliance with the rule: A person who wants to import a "regulated article" into the State of New York that originates from, is located in, or has been moved through certain counties in Delaware, New Jersey, Pennsylvania or Virginia will be required to obtain a certificate of inspection from an appropriate State authority, attesting that the article is free of SLF; presently, no State authority imposes a fee for the issuance of such a certificate. The proposed rule provides that the Department of Agriculture and Markets will recognize a certificate if it indicates, *inter alia*, that a regulated article has been "treated, fumigated, or processed by an approved method" so as to be free of SLF; the cost of such treatment, fumigation, or processing is dependent upon the nature of the article being so treated, fumigated, or processed; the extent of infestation, if any; and the treatment, fumigation, or processing procedure actually used.

(b) Costs to the agency, the state and local governments for the implementation and continuation of the rule: Local governments, the Department of Agriculture and Markets, and the State will not incur any additional expenses due to the proposed rule.

(c) The information, including the sources of such information and the methodology upon which the cost analysis is based: The costs analysis set forth above is based upon observations of the industry and state regulatory agencies.

5. Local government mandates:

This rule imposes no mandates upon any county, city, town, village, school district, fire district, or other special district.

6. Paperwork:

Regulated articles inspected and certified to be free of SLF moving from the quarantine area established by the rule would have to be accompanied by a certificate of inspection.

7. Duplication:

There are no relevant rules or other legal requirements of the Federal or State governments that duplicate, overlap, or conflict with this rule.

8. Alternatives:

The alternative of no action was considered. However, this option is not feasible, given the threat SLF poses to the State's forests, agriculture, and tourism industries. Additionally, certain states with infestations have not implemented rules designed to eradicate or control SLF; this lack of regulatory oversight leaves New York State vulnerable to spread and serious economic losses in the industries described above. Considering these factors, there does not appear to be any viable alternative to the adoption of the proposed rule.

9. Federal standards:

There are no federal standards regulating the movement of articles infested, or capable of being infested with SLF.

10. Compliance schedule:

It is anticipated that regulated parties would be able to comply with the proposed rule immediately.

Regulatory Flexibility Analysis

1. Effect of rule:

The proposed rule requires a person who wants to move a "regulated article" (that is, an item that is capable of harboring the invasive insect, Spotted Lanternfly) that originates from or has moved through a designated county in Delaware, New Jersey, Pennsylvania or Virginia ("a designated county") to obtain a certificate from an appropriate state regulatory agency, attesting that such article is free of Spotted Lanternfly.

It is impossible to determine if, and the number of, small businesses that will want to move "regulated articles" from a designated county into the State.

It is anticipated that no local government would be involved in moving

a regulated article from a designated county into the State; as such, this analysis addresses the impact of the proposed rule only upon small businesses.

2. Compliance requirements:

Each small business that wants to move a regulated article from a designated county ("a regulated party") will be required to obtain a certificate of inspection to ship a regulated article into the State from a state agency authorized to issue such a certificate or by a person duly-designated by such an agency.

3. Professional services:

The proposed rule provides that the Department of Agriculture and Markets will not recognize a certificate of inspection unless the regulated article to be moved into the State has been found to be free of Spotted Lanternfly or rendered free of that pest by having been properly treated, fumigated, or processed by an approved method – those procedures could require utilization of a professional service in the event the party still desires to move the regulated article into the State.

4. Compliance costs:

A regulated party will need to ensure that the article to be moved is free of Spotted Lanternfly or has been treated, fumigated, or processed by an approved method to render it free of such pest; the cost of such treatment, fumigation, or processing would be dependent upon the nature of the article being so treated, fumigated, or processed; the extent of the infestation, if any; and the treatment, fumigation, or processing procedure actually used.

In order to move a regulated article into the State, a regulated party will need to obtain a certificate of inspection from an appropriate state agency; this service is available from the state in which the shipment has originated from or has passed through. Presently, each state that issues such a certificate does not charge a fee therefor.

5. Economic and technological feasibility:

Small businesses will be economically and technically able to comply with the proposed rule. The technology exists to render an infested article free of Spotted Lanternfly. Furthermore, a small business that wants to move a regulated article into the State from a designated county will be able to obtain a certificate of inspection from the State in which such county is located, attesting that the article is free of Spotted Lanternfly, at no charge.

6. Minimizing adverse impact:

The Department has designed the proposed rule to minimize adverse economic impact on small businesses. The rule is aimed at protecting the State of New York's agriculture and tourism industries; those industries consist, in large part, of small businesses. Each small business engaged in agriculture or tourism would be adversely affected by the movement of the Spotted Lanternfly into the State.

7. Small business and local government participation:

The Department informed a number of organizations, consisting in part of small businesses, of its intent to promulgate the proposed rule; such organizations consist of the Empire State Forest Products Association, the Invasive Species Advisory Committee, the New York State Turfgrass Association, the New York Farm Bureau, the New York State Trucking Association, and the Catskill Regional Invasive Species Partnership. The Department received input from those organizations and took into account their concerns while drafting the proposed rule.

Rural Area Flexibility Analysis

1. Type and estimated numbers of rural areas:

The proposed rule requires a person who wants to move a "regulated article" (that is, an item that is capable of harboring the invasive insect, Spotted Lanternfly) that originates from or has moved through a designated county in Delaware, New Jersey, Pennsylvania or Virginia ("a designated county") to obtain a certificate from an appropriate state regulatory agency, attesting that such article is free of Spotted Lanternfly.

It is impossible to determine if residents of out-of-State rural areas will want to move "regulated articles" from a designated county into the State and, if so, the number of residents of such areas who will want to do so.

2. Reporting, recordkeeping and other compliance requirements; and professional services:

Each resident of a rural area who wants to move a regulated article from a designated county into the State will be required to obtain a certificate of inspection from a state agency authorized to issue such a certificate or by a person duly-designated by such an agency.

3. Costs:

The proposed rule requires that a regulated article may not be moved into the State unless it has been inspected and a certificate of inspection has been issued that indicates the article is free of Spotted Lanternfly; this service is available from the state in which the shipment has originated from or has passed through and, presently, each state that issues such a certificate does not charge a fee therefor.

The proposed rule will require that the Department of Agriculture and Markets ("Department") recognize a certificate of inspection only if the

regulated article has been found to be free of Spotted Lanternfly. If a regulated article has come into contact with Spotted Lanternfly, this certification can be made only if the article has been properly treated, fumigated, or processed by an approved method – the cost of these procedures would depend upon the nature of the article being so treated, fumigated, or processed; the extent of infestation, if any; and the treatment, fumigation, or processing procedure actually used.

4. Minimizing adverse impact:

In conformance with State Administrative Procedure Act section 202-bb(2), the Department has designed the rule to minimize adverse economic impact on persons and businesses located in rural areas. If Spotted Lanternfly were to become endemic in the State, residents of, and businesses in, rural areas would suffer disproportionately, both economically and otherwise.

5. Rural area participation:

The Department informed a number of organizations, consisting in large measure of businesses located in, and residents of, rural areas, of its intent to promulgate the proposed rule; such organizations consist of the Empire State Forest Products Association, the Invasive Species Advisory Committee, the New York State Turfgrass Association, the New York Farm Bureau, the New York State Trucking Association, and the Catskill Regional Invasive Species Partnership. The Department received input from these organizations and took into account their concerns while drafting the proposed rule.

Job Impact Statement

The proposed rule will provide for the addition of a new Part 142 to 1 NYCRR, requiring that a person who wants to move a designed article from or through certain counties of Delaware, New Jersey, Pennsylvania or Virginia, into New York, will be required to obtain a “certificate of inspection” that indicates that the article is free of “Spotted Lanternfly”, before doing so. Spotted Lanternfly is an invasive insect that can cause serious damage to grapes, hops, and various types of trees including fruit trees and deciduous trees.

The proposed rule will not have an adverse impact on jobs or employment opportunities and, in fact, will likely aid in protecting jobs and employment opportunities now and in the future. Forest related activities in New York State provide employment for approximately 70,000 people. Of that number, 55,000 jobs are associated with the wood-based forest economy, including manufacturing. The forest-based economy generates payrolls of more than \$2 billion. New York State’s fruit industry is the largest on the east coast excluding citrus. New York State’s fruit crop is valued at over \$400 million annually. The two largest components of that are apples and grapes. New York State ranks 2nd nationally in production of apples and ranks 3rd nationally in the production of grapes. New York State’s apple industry has 694 commercial apple orchards that directly employ 10,000 people and indirectly employ 7,500 people. New York State produces 29.5 million bushels of apples per year. The New York State grape and wine industry has 1,631 vineyards and over 400 wineries. New York State produces over 175 million bottles of wine annually. The grape, wine, and juice industry generates over \$4.8 billion annually. The New York State tourism industry employs over 780,000 people generating \$64 billion in direct sales and \$34.6 billion in salary.

Implementation of the proposed rule will aid in preventing the further spread of this pest into the State. A spread of the infestation would have very adverse economic consequences. Additionally, a spread of the infestation could result in the imposition of more restrictive quarantines by the federal government, other states and foreign countries, which would have a detrimental impact upon the financial well-being of these industries.

By helping to prevent the spread of Spotted Lanternfly, the proposed rule helps prevent such adverse economic consequences, which protects the jobs and employment opportunities associated with the State’s nursery, fruit growing, craft beverage, tourism, and forestry industries.

Assessment of Public Comment

The agency received no public comment.

Education Department

EMERGENCY RULE MAKING

School Breakfast Programs

I.D. No. EDU-40-18-00011-E

Filing No. 1142

Filing Date: 2018-12-11

Effective Date: 2018-12-11

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 114.1 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1), (2); L. 1976, ch. 537, sections 4 and 5, as amended by L. 2018, ch. 56

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: This proposed emergency amendment to Section 114.1 of the Regulations of the Commissioner of Education is necessary to make technical amendments to the current definitions, terms and meal pattern requirements contained in the Department’s current School Breakfast Program Regulations, 8 NYCRR 114.1, to conform with recent changes to federal regulations (7 CFR Part 220) governing School Breakfast Programs administered by the Department.

In addition, the proposed emergency amendment to Section 114.1 of the Regulations of the Commissioner of Education is necessary to implement the 2018 Enacted State Budget (Section 2 of Part B of Chapter 56 of the Laws of 2018) which requires all public elementary or secondary schools with at least 70% or more of its students eligible for free or reduced-price meals under the National School Lunch Program to offer all students a school breakfast after the instructional day has begun beginning in the 2018-2019 school year, and continuing every school year thereafter.

The proposed amendment was presented at the September 2018 Regents meeting, as an emergency adoption effective September 18, 2018, for the preservation of the general welfare in order to immediately conform the Regulations of the Commissioner of Education to the requirements of Section 2 of Part B of Chapter 56 of the Laws of 2018, which requires the Breakfast After the Bell program to commence in the 2018-2019 school year and to make technical amendments to the current definitions, terms and meal pattern requirements contained in the Department’s current School Breakfast Program Regulations, 8 NYCRR 114.1, to conform with recent changes to federal regulations (7 CFR Part 220). A Notice of Emergency Action and Proposed Rule Making was published in the State Register on October 3, 2018 for a 60 day public comment period. To date, the Department has not received any comments. No change to the proposed rule is recommended at this time. Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for adoption, after expiration of the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the January 2019 Regents meeting.

Subject: School Breakfast Programs.

Purpose: To initiate, maintain, or expand school breakfast programs and make technical amendments to conform to Federal requirements.

Text of emergency rule: Section 114.1 of the Regulations of the Commissioner of Education is amended, effective, September 18, 2018, as follows:

Section 114.1. School breakfast program.

(a) Definitions. As used in this section:

(1)...

(2) Severe need school shall mean a school where 40 percent or more of the lunches served to students at the school in the second preceding school year were served free or at a reduced price[, and in which the reimbursement rate per meal established by the United States Secretary of Agriculture is insufficient to cover the costs of a school breakfast program].

(3)...

(4)...

(5)...

(6) Breakfast after the Bell shall mean providing students access to school breakfast after the instructional school day begins.

(b) Nutritional standards. A breakfast shall [contain, as a minimum, each of the following food components in the amounts indicated:

(1) One-half pint of fluid milk served as a beverage or on cereal, or used in part for each purpose.

(2) A one-half cup serving of fruit or full-strength fruit or vegetable juice.

(3) Two servings from one of the following components or one serving from each:

(i) Bread/bread alternate—one slice of whole grain or enriched bread; one serving of a biscuit, roll, muffin, etc., made of whole grain or enriched flour, or a 3/4 cup or one ounce serving of whole grain or enriched or fortified cereal.

(ii) Meat/meat alternate—one ounce of meat/poultry, fish or cheese, 1/2 large egg, two tbsp. of peanut, nut or seed butter, four tbsp. of cooked dry beans, or one ounce or more of the following: peanuts, soybeans, tree nuts, or seeds.

(4) Offer versus serve. Each school shall offer its students all four required food items as set forth under subdivision (b) of this section. Each school may allow students to refuse one food item from any component that the student does not intend to consume. The refused food item may be any of the four items offered to the student. A student's decision to accept all four food items or to decline one of the four food items shall not affect the charge for breakfast.] *meet the minimum meal pattern requirements contained in 7 CFR 220.8 and 7 CFR 220.23 (Code of Federal Regulations, 2018 edition, Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-0001: 2018—available at Office for Counsel, New York State Education Building, Room 148, 89 Washington Avenue, Albany, NY 12234 and such breakfast shall be served in conformance with the offer versus serve requirements contained in 7 CFR 220.8 (e) (Code of Federal Regulations, 2018 edition, Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-0001: 2018—available at Office for Counsel, New York State Education Building, Room 148, 89 Washington Avenue, Albany, NY 12234).*

(c) [Eligible participants. Any public school district, private nonprofit school or residential child care institution, as defined in 7 CFR 220.2 (Code of Federal Regulations, 1993 edition, Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402: 1993—available at Office for Regional Field Services, Room 775, Education Building Annex, Albany, NY 12234), may apply. In the case of a public school district, approval may be granted for selected schools rather than an entire district.

(d) [Free and/or reduced-price breakfasts. Children to whom free and/or reduced price breakfasts will be served are to be determined by local [sponsoring] agencies in conformity with their existing written policy statements on file in the official records of every sponsoring agency in conformance with [7 CFR 220.7(e) (Code of Federal Regulations, 1993 edition, Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402: 1993—available at Office for Regional Field Services, Room 775, Education Building Annex, Albany, NY 12234).] 7 CFR Part 245 (Code of Federal Regulations, 2018 edition, Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-0001: 2018—available at Office for Counsel, New York State Education Building, Room 148, 89 Washington Avenue, Albany, NY 12231).

[(e) Application. Application will be made on forms required by the commissioner.

(f) Reporting requirements. Monthly reports shall be filed no later than the 10th day of each month. Severe need schools shall report financial data to support the need for the additional reimbursement on the December claim for the period July through December and the June claim for the period January through June.]

[(g)] (d). . .

[(h)] (e). . .

[(i)] (f). . .

[(j)] (g). . .

(h) Breakfast after the Bell program.

(1) All participating public elementary or secondary schools in this state, not including a charter school authorized by article 56 of the education law, with at least seventy percent or more of its students eligible for free or reduced-price meals under the federal National School Lunch Program as determined by the Commissioner based upon data submitted by schools through the basic educational data system (BEDS) for the prior school year, shall be required to offer all students a school breakfast after the instructional day has begun.

(2) Each public school may determine the breakfast service delivery model that best suits its students. Service delivery models may include, but are not limited to, breakfast in the classroom, grab and go breakfast, and breakfast served in the cafeteria. Time spent by students consuming breakfast may be considered instructional time when students consume breakfast in the students' classrooms and instruction is being provided while students are consuming breakfast. In determining a service delivery model, schools shall consult with teachers, parents, students and members of the community.

(3) Schools subject to this requirement shall provide annual notice to

students' parents and guardians that the school will be offering breakfast to all students after the instructional day has begun.

(4) Any school identified pursuant to this section may apply to the Commissioner for a waiver from establishing a school breakfast program after the instructional day has begun. Such waivers shall be annually submitted to the Commissioner in a format and manner prescribed by the Commissioner prior to July 1st of each school year. Such waiver may be granted by the Commissioner upon the school demonstrating:

(i) a lack of need for a School Breakfast Program after the instructional day has begun because of a successful existing breakfast program; or

(ii) that providing a school breakfast program after the instructional day has begun would cause economic hardship for the school.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-40-18-00011-EP, Issue of October 3, 2018. The emergency rule will expire February 8, 2019.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, New York State Education Department, Office of Counsel, 89 Washington Avenue, Room 112, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Ed.L. § 101 charges SED with the general management and supervision of public schools and the educational work of the State.

Ed.L. § 207 empowers the Board of Regents (Regents) and the Commissioner to adopt rules and regulations to carry out the laws of the State regarding education and the functions and duties conferred on the Department by law.

Ed.L. § 305(1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Regents, shall have general supervision over all schools and institutions subject to the provisions of the Education Law, or of any statute relating to education.

Ed.L. § 308 authorizes the Commissioner to enforce and give effect to any provision in the Education Law or in any other general or special law pertaining to the school system of the State or any rule or direction of the Regents.

Chapter 56 of the Laws of 2018 requires all public elementary or secondary schools with at least 70 percent or more of its students eligible for free or reduced-price meals under the National School Lunch Program to offer all students a school breakfast after the instructional day has begun, referred to as Breakfast After the Bell, beginning in the 2018-2019 school year, and each school year thereafter.

The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

2. LEGISLATIVE OBJECTIVES:

The proposed rule is necessary to implement and otherwise conform Commissioner's regulations to Section 2 of Part B of Chapter 56 of the Laws of 2018. In addition, technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department ("Department"). Such federal regulations were promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

3. NEEDS AND BENEFITS:

Technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department). Such federal regulations were promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

In addition, the Enacted 2018 State Budget (Section 2 of Part B of Chapter 56 of the Laws of 2018), requires all public elementary or secondary schools with at least 70 percent or more of its students eligible for free or reduced-price meals under the National School Lunch Program to offer all students a school breakfast after the instructional day has begun, referred to as Breakfast After the Bell, beginning in the 2018-2019 school year, and each school year thereafter. The schools meeting the 70 percent free and reduced-price meals criteria are determined by the Department based upon data submitted by each school through the basic educational data system (BEDS) from the prior school year.

Each public school required to implement the Breakfast After the Bell program shall consult with teachers, parents, students and members of the community to determine the breakfast service delivery model(s) that best suits its students. Service delivery models may include, but are not limited to, breakfast in the classroom, grab and go breakfast, and second chance breakfast, which would include breakfast served in the cafeteria. Time spent by students consuming breakfast in the classroom may be considered instructional time when instruction is being provided.

Schools subject to this requirement shall provide notice to students' parents and guardians that the school will be offering breakfast to all students after the instructional day has begun.

Any school identified pursuant to this section may annually apply to the Commissioner for a waiver from establishing a school breakfast program after the instructional day has begun. Such waiver may be granted by the Commissioner upon a demonstration of the following by the school:

- a lack of need for a school breakfast program after the instructional day has begun because of a successful existing breakfast program; or
- providing a school breakfast program after the instructional day has begun would cause economic hardship for the school.

4. COSTS:

(a) Costs to State government: None.

(b) Costs to local government: In general, the proposed rule does not impose any costs beyond those required by Section 2 of Part B of Chapter 56 of the Laws of 2018. The 2018 Enacted State Budget provided the Department funding in the amount of \$7 million to be distributed to any eligible public school required to implement Breakfast After the Bell through a non-competitive grant. Each eligible public school will receive a one-time incentive of \$5,000 that will allow schools to purchase food service equipment, including equipment used for the storage, preservation or distribution of food, that will assist in the implementation and success of a Breakfast After the Bell program.

(c) Costs to private regulated parties: None.

(d) Costs to the regulating agency for implementation and administration of this rule: None.

5. LOCAL GOVERNMENT MANDATES:

The proposed rule does not impose any new costs on the State, local governments, private regulated parties or the State Education Department, but merely implements and otherwise conforms Commissioner's regulations to Section 2 of Part B of Chapter 56 of the Laws of 2018. The 2018 Enacted State Budget provided the Department funding in the amount of \$7 million to be distributed to any eligible public school required to implement Breakfast After the Bell through a non-competitive grant. Each eligible public school will receive a one-time incentive of \$5,000 that will allow schools to purchase food service equipment, including equipment used for the storage, preservation or distribution of food, that will assist in the implementation and success of a Breakfast After the Bell program.

6. PAPERWORK:

The proposed rule does not impose any additional paperwork requirements.

7. DUPLICATION:

The proposed rule does not duplicate existing State or federal regulations.

8. ALTERNATIVES:

The proposed rule is necessary to implement and otherwise conform Commissioner's regulations to Section 2 of Part B of Chapter 56 of the Laws of 2018. In addition, technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department). Such federal regulations were promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools. Therefore, no alternatives were considered.

9. FEDERAL STANDARDS:

There are no related federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated that regulated parties will be able to achieve compliance by the effective date of the rule.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed amendment will not impose any additional compliance requirements and is necessary to implement and otherwise conform Commissioner's Regulations to Section 2 of Part B of Chapter 56 of the Laws of 2018. In addition, technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department). Such federal regulations were

promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

The proposed amendment does not impose any adverse economic impact, reporting, record keeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local government:

1. EFFECT OF RULE:

The proposed amendment applies to each of the 695 public school districts in the State.

2. COMPLIANCE REQUIREMENTS:

The proposed amendment is consistent with the authority conferred by the above statutes and is necessary to implement the provisions of Section 2 of Part B of Chapter 56 of the Laws of 2018, 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department) and the amendments to those federal regulations as promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966.

3. NEEDS AND BENEFITS:

Technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department). Such federal regulations were promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

In addition, the Enacted 2018 State Budget (Section 2 of Part B of Chapter 56 of the Laws of 2018), requires all public elementary or secondary schools with at least 70 percent or more of its students eligible for free or reduced-price meals under the National School Lunch Program to offer all students a school breakfast after the instructional day has begun, referred to as Breakfast After the Bell, beginning in the 2018-2019 school year, and each school year thereafter. The schools meeting the 70 percent free and reduced-price meals criteria are determined by the Department based upon data submitted by each school through the basic educational data system (BEDS) from the prior school year.

Each public school required to implement the Breakfast After the Bell program shall consult with teachers, parents, students and members of the community to determine the breakfast service delivery model(s) that best suits its students. Service delivery models may include, but are not limited to, breakfast in the classroom, grab and go breakfast, and second chance breakfast, which would include breakfast served in the cafeteria. Time spent by students consuming breakfast in the classroom may be considered instructional time when instruction is being provided.

Schools subject to this requirement shall provide notice to students' parents and guardians that the school will be offering breakfast to all students after the instructional day has begun.

Any school identified pursuant to this section may annually apply to the Commissioner for a waiver from establishing a school breakfast program after the instructional day has begun. Such waiver may be granted by the Commissioner upon a demonstration of the following by the school:

- a lack of need for a school breakfast program after the instructional day has begun because of a successful existing breakfast program; or
- providing a school breakfast program after the instructional day has begun would cause economic hardship for the school.

4. PROFESSIONAL SERVICES:

The proposed amendment imposes no additional professional service requirements on school districts.

5. COMPLIANCE COSTS:

In general, the proposed rule does not impose any costs beyond those required by Section 2 of Part B of Chapter 56 of the Laws of 2018. The 2018 Enacted State Budget provided the Department funding in the amount of \$7 million to be distributed to any eligible public school required to implement Breakfast After the Bell through a non-competitive grant. Each eligible public school will receive a one-time incentive of \$5,000 that will allow schools to purchase food service equipment, including equipment used for the storage, preservation or distribution of food, that will assist in the implementation and success of a Breakfast After the Bell program.

6. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule does not impose any additional costs or technological requirements on local governments.

7. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to implement the provisions of Section 2 of Part B of Chapter 56 of the Laws of 2018, 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department) and the amendments to those federal regulations as promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966. Accordingly, no alternatives were considered.

8. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule have been solicited from school districts through the offices of the district superintendents of each supervisory district in the State, and from the chief school officers of the five big city school districts.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed rule applies to all school districts in the State, including those located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less.

2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

Technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department). Such federal regulations were promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

In addition, the Enacted 2018 State Budget (Section 2 of Part B of Chapter 56 of the Laws of 2018), requires all public elementary or secondary schools with at least 70 percent or more of its students eligible for free or reduced-price meals under the National School Lunch Program to offer all students a school breakfast after the instructional day has begun, referred to as Breakfast After the Bell, beginning in the 2018-2019 school year, and each school year thereafter. The schools meeting the 70 percent free and reduced-price meals criteria are determined by the Department based upon data submitted by each school through the basic educational data system (BEDS) from the prior school year.

Each public school required to implement the Breakfast After the Bell program shall consult with teachers, parents, students and members of the community to determine the breakfast service delivery model(s) that best suits its students. Service delivery models may include, but are not limited to, breakfast in the classroom, grab and go breakfast, and second chance breakfast, which would include breakfast served in the cafeteria. Time spent by students consuming breakfast in the classroom may be considered instructional time when instruction is being provided.

Schools subject to this requirement shall provide notice to students' parents and guardians that the school will be offering breakfast to all students after the instructional day has begun.

Any school identified pursuant to this section may annually apply to the Commissioner for a waiver from establishing a school breakfast program after the instructional day has begun. Such waiver may be granted by the Commissioner upon a demonstration of the following by the school:

- a lack of need for a school breakfast program after the instructional day has begun because of a successful existing breakfast program; or
- providing a school breakfast program after the instructional day has begun would cause economic hardship for the school.

3. COMPLIANCE COSTS:

In general, the proposed rule does not impose any costs beyond those required by Section 2 of Part B of Chapter 56 of the Laws of 2018. The 2018 Enacted State Budget provided the Department funding in the amount of \$7 million to be distributed to any eligible public school required to implement Breakfast After the Bell through a non-competitive grant. Each eligible public school will receive a one-time incentive of \$5,000 that will allow schools to purchase food service equipment, including equipment used for the storage, preservation or distribution of food, that will assist in the implementation and success of a Breakfast After the Bell program.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment implements Section 2 of Part B of Chapter 56 of the Laws of 2018. Therefore, no alternatives were considered.

5. RURAL AREA PARTICIPATION:

Comments on the proposed amendment will be solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

Job Impact Statement

The proposed rule is necessary to implement and otherwise conform Commissioner's Regulations to Section 2 of Part B of Chapter 56 of the

Laws of 2018. In addition, technical amendments to the definitions, terms and meal pattern requirements set forth in Section 114.1 are necessary to conform with recent changes to 7 CFR Part 220, the federal regulations governing School Breakfast Programs administered by the State Education Department (Department). Such federal regulations were promulgated pursuant to The Healthy Hunger Free Kids Act ("HHFKA") of 2010, Public Law 111-296, which amended section 4 of the Child Nutrition Act of 1966 which authorizes payments to States to assist them to initiate, maintain, or expand nonprofit breakfast programs in schools.

Because it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York state, no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Assessment of Public Comment

The agency received no public comment.

EMERGENCY
RULE MAKING

Prohibition Against Meal Shaming

I.D. No. EDU-40-18-00012-E

Filing No. 1143

Filing Date: 2018-12-11

Effective Date: 2018-12-11

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 114.5 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1), (2) and 908 (as added by L. 2018, ch. 56, part B, section 1)

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: The proposed amendment to add section 114.5 to the Commissioner's regulations is necessary to timely implement Section 1 of Part B of Chapter 56 of the Laws of 2018 which requires all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in which there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq., to develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees by July 1, 2018.

The proposed amendment was presented at the September 2018 Regents meeting, as an emergency adoption effective September 18, 2018, for the preservation of the general welfare in order to immediately conform the Commissioner's regulations to the requirements of Section 1 of Part B of Chapter 56 of the Laws of 2018, which requires all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in which there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq., to develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees by July 1, 2018. A Notice of Emergency Action and Proposed Rule Making was published in the State Register on October 3, 2018 for a 60 day public comment period. As of November 21, 2018, the Department has received comments from approximately twenty-five individuals; however, no change to the proposed rule is recommended at this time. Supporting materials are available upon request from the Secretary to the Board of Regents.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for adoption, after expiration of the required 60-day comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the January 2019 Regents meeting.

Subject: Prohibition against meal shaming.

Purpose: Requires certain schools to develop a plan to prohibit against meal shaming or treating pupils with unpaid meal fees differently.

Text of emergency rule: A new section 114.5 is added to the Regulations of the Commissioner of Education, effective September 18, 2018, as follows:

§ 114.5 Prohibition against meal shaming.

(a) All public school districts, charter schools and non-public schools in the state that participate in the National School Lunch Program or School Breakfast Program in which there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq., shall develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees. The plan shall be submitted to the Commissioner by July 1, 2018 in conformance with this section. After submission of such plan, the school or school district shall adopt and post the plan on its website.

(b) The plan shall include, but not be limited to, the following elements:

(1) a statement that the school or school district shall provide the student with the student's meal of choice for that school day of the available reimbursable meal choices for such school day, if the student requests one, unless the student's parent or guardian has specifically provided written permission to the school to withhold a meal, provided that the school or school district shall only be required to provide access to reimbursable meals, not a la carte items, adult meals, or other similar items;

(2) an explanation of how staff will be trained to ensure that the school or school district's procedures are carried out correctly and how the affected parents and guardians will be provided with assistance in establishing eligibility for free or reduced-price meals for their children;

(3) procedures requiring the school or school district to notify the student's parent or guardian that the student's meal card or account balance is exhausted and unpaid meal charges are due. The notification procedures may include a repayment schedule, but the school or school district may not charge any interest or fees in connection with any meals charged;

(4) a communication procedure designed to support eligible families enrolling in the National Free and Reduced Price Meal Program. Such communication procedures shall also include a process for determining eligibility when a student owes money for five or more meals, wherein the school or school district shall:

(i) make every attempt to determine if a student is directly certified to be eligible for free meals;

(ii) make at least two attempts, not including the application or instructions included in a school enrollment packet, to reach the student's parent or guardian and have the parent or guardian fill out a meal application; and

(iii) require a school or school district to contact the parent or guardian to offer assistance with a meal application, determine if there are other issues within the household that have caused the child to have insufficient funds to purchase a school meal and offer any other assistance that is appropriate;

(5) a clear explanation of procedures designed to decrease student distress or embarrassment, provided that, no school or school district shall:

(i) publicly identify or stigmatize a student who cannot pay for a meal or who owes a meal debt by any means including, but not limited to, requiring that a student wear a wristband or hand stamp;

(ii) require a student who cannot pay for a meal or who owes a meal debt to do chores or other work to pay for meals;

(iii) require that a student throw away a meal after it has been served because of the student's inability to pay for the meal or because money is owed for earlier meals;

(iv) take any action directed at a pupil to collect unpaid school meal fees. A school or school district may attempt to collect unpaid school meal fees from a parent or guardian, but shall not use a debt collector, as defined in Section 803 of the Federal Consumer Credit Protection Act, 15 U.S.C. Sec. 1692a; or

(v) discuss any outstanding meal debt in the presence of other students;

(6) a clear explanation of the procedure to handle unpaid meal charges, provided that nothing in this section is intended to allow for the unlimited accrual of debt;

(7) procedures to enroll in the free and reduced price lunch program, provided that such procedures shall include that, at the beginning of each school year, a school or school district shall provide a free, printed meal application in every school enrollment packet, or if the school or school district chooses to use an electronic meal application, provide in school enrollment packets an explanation of the electronic meal application process and instructions for how parents or guardians may request a paper application at no cost;

(c) if a school or school district becomes aware that a student who has not submitted a meal application is eligible for free or reduced-fee meals, the school or school district shall complete and file an application for the

student pursuant to title 7 CFR 245.6(d) (Code of Federal Regulations, 2018 edition, Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-0001: 2018—available at Office for Counsel, New York State Education Building, Room 148, 89 Washington Avenue, Albany, NY 12231); and

(d) school liaisons required for homeless, foster, and migrant students shall coordinate with the nutrition department to make sure such students receive free school meals, in accordance with federal law.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. EDU-40-18-00012-EP, Issue of October 3, 2018. The emergency rule will expire February 8, 2019.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, Education Department, Office of Counsel, 89 Washington Avenue, Room 112, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Ed.L. § 101 charges SED with the general management and supervision of public schools and the educational work of the State.

Ed.L. § 207 empowers the Board of Regents (Regents) and the Commissioner to adopt rules and regulations to carry out the laws of the State regarding education and the functions and duties conferred on the Department by law.

Ed.L. § 305(1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Regents, shall have general supervision over all schools and institutions subject to the provisions of the Education Law, or of any statute relating to education.

Ed.L. § 308 authorizes the Commissioner to enforce and give effect to any provision in the Education Law or in any other general or special law pertaining to the school system of the State or any rule or direction of the Regents.

Ed.L. § 908 sets forth the requirements for the prohibition against meal shaming.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment is necessary to implement and otherwise conform Commissioner's Regulations to the requirements of Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018.

3. NEEDS AND BENEFITS:

In the enacted 2018 State Budget, a new Education Law § 908 was added which requires all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in which there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the Federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq., to develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees.

• In accordance with Education Law § 908, the proposed amendment requires plans to include the following elements: a statement that the school or school district shall provide the student with the student's meal of choice for that school day of the available reimbursable meal choices for such school day, if the student requests one, unless the student's parent or guardian has specifically provided written permission to the school to withhold a meal, provided that the school or school district shall only be required to provide access to reimbursable meals, not a la carte items, adult meals, or other similar items;

• an explanation of how staff will be trained to ensure that the school or school district's procedures are carried out correctly and how the affected parents and guardians will be provided with assistance in establishing eligibility for free or reduced-price meals for their children;

• procedures requiring the school or school district to notify the student's parent or guardian that the student's meal card or account balance is exhausted and unpaid meal charges are due. The notification procedures may include a repayment schedule, but the school or school district may not charge any interest or fees in connection with any meals charged;

• a communication procedure designed to support eligible families enrolling in the National Free and Reduced Price Meal Program. Such communication procedures shall also include a process for determining eligibility when a student owes money for five or more meals, wherein the school or school district shall: (i) make every attempt to determine if a student is directly certified to be eligible for free meals; (ii) make at least two attempts, not including the application or instructions included in a school enrollment packet, to reach the student's parent or guardian and have the parent or guardian fill out a meal application; and (iii) require a school or school district to contact the parent or guardian to offer assis-

tance with a meal application, determine if there are other issues within the household that have caused the child to have insufficient funds to purchase a school meal and offer any other assistance that is appropriate;

- a clear explanation of procedures designed to decrease student distress or embarrassment, provided that, no school or school district shall: (i) publicly identify or stigmatize a student who cannot pay for a meal or who owes a meal debt by any means including, but not limited to, requiring that a student wear a wristband or hand stamp; (ii) require a student who cannot pay for a meal or who owes a meal debt to do chores or other work to pay for meals; (iii) require that a student throw away a meal after it has been served because of the student's inability to pay for the meal or because money is owed for earlier meals; (iv) take any action directed at a pupil to collect unpaid school meal fees. A school or school district may attempt to collect unpaid school meal fees from a parent or guardian, but shall not use a debt collector, as defined in Section 803 of the Federal Consumer Credit Protection Act, 15 U.S.C. Sec. 1692a; or (v) discuss any outstanding meal debt in the presence of other students;

- a clear explanation of the procedure to handle unpaid meal charges, provided that nothing in this section is intended to allow for the unlimited accrual of debt; and

- procedures to enroll in the Free and Reduced Price Lunch Program, provided that such procedures shall include that, at the beginning of each school year, a school or school district shall provide a free, printed meal application in every school enrollment packet, or if the school or school district chooses to use an electronic meal application, provide in school enrollment packets an explanation of the electronic meal application process and instructions for how parents or guardians may request a paper application at no cost;

4. COSTS:

(a) Costs to State government: None.

(b) Costs to local government: The proposed rule does not impose any costs beyond those required by Education Law § 908 and Section 1 of Part B of Chapter 56 of the Laws of 2018.

(c) Costs to private regulated parties: None.

(d) Costs to the regulating agency for implementation and administration of this rule: None.

5. LOCAL GOVERNMENT MANDATES:

The proposed rule does not impose any new costs on the State, local governments, private regulated parties or the State Education Department, but merely implements and otherwise conforms Commissioner's Regulations Education Law § 908 and Section 1 of Part B of Chapter 56 of the Laws of 2018.

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements on regulated parties.

7. DUPLICATION:

The proposed rule does not duplicate existing State or federal regulations.

8. ALTERNATIVES:

The proposed rule is necessary to implement the provisions Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018. Therefore, no alternatives were considered.

9. FEDERAL STANDARDS:

The proposed rulemaking has several of the same or similar requirements as the Federal National School Lunch Program (NSLP) Unpaid Meal Charge policy that took effect July 1, 2017. The federal standards are incorporated in United States Department of Agriculture's (USDA) policy memos SP 23-2017, SP 47-2016, SP 46 2016. For a comprehensive overview of federal unpaid meal charge policy and guidance, please visit <http://www.cn.nysed.gov/content/revised-prohibition-against-meal-shaming>.

10. COMPLIANCE SCHEDULE:

It is anticipated regulated parties will be able to achieve compliance with the proposed rule by its effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed rule is necessary to implement the provisions of Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018. The proposed rule does not impose any adverse economic impact, reporting, record keeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed rule that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local government:

1. EFFECT OF RULE:

The proposed rule applies to all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in this State when there is a school at which all pupils are not

eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the Federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq..

2. COMPLIANCE REQUIREMENTS:

The proposed rule is consistent with the authority conferred by the above statutes and is necessary to implement the requirements of Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018.

3. NEEDS AND BENEFITS:

In the enacted 2018 State Budget, a new Education Law § 908 was added which requires all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in which there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the Federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq., to develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees.

- In accordance with Education Law § 908, the proposed amendment requires plans to include the following elements: a statement that the school or school district shall provide the student with the student's meal of choice for that school day of the available reimbursable meal choices for such school day, if the student requests one, unless the student's parent or guardian has specifically provided written permission to the school to withhold a meal, provided that the school or school district shall only be required to provide access to reimbursable meals, not a la carte items, adult meals, or other similar items;

- an explanation of how staff will be trained to ensure that the school or school district's procedures are carried out correctly and how the affected parents and guardians will be provided with assistance in establishing eligibility for free or reduced-price meals for their children;

- procedures requiring the school or school district to notify the student's parent or guardian that the student's meal card or account balance is exhausted and unpaid meal charges are due. The notification procedures may include a repayment schedule, but the school or school district may not charge any interest or fees in connection with any meals charged;

- a communication procedure designed to support eligible families enrolling in the National Free and Reduced Price Meal Program. Such communication procedures shall also include a process for determining eligibility when a student owes money for five or more meals, wherein the school or school district shall: (i) make every attempt to determine if a student is directly certified to be eligible for free meals; (ii) make at least two attempts, not including the application or instructions included in a school enrollment packet, to reach the student's parent or guardian and have the parent or guardian fill out a meal application; and (iii) require a school or school district to contact the parent or guardian to offer assistance with a meal application, determine if there are other issues within the household that have caused the child to have insufficient funds to purchase a school meal and offer any other assistance that is appropriate;

- a clear explanation of procedures designed to decrease student distress or embarrassment, provided that, no school or school district shall: (i) publicly identify or stigmatize a student who cannot pay for a meal or who owes a meal debt by any means including, but not limited to, requiring that a student wear a wristband or hand stamp; (ii) require a student who cannot pay for a meal or who owes a meal debt to do chores or other work to pay for meals; (iii) require that a student throw away a meal after it has been served because of the student's inability to pay for the meal or because money is owed for earlier meals; (iv) take any action directed at a pupil to collect unpaid school meal fees. A school or school district may attempt to collect unpaid school meal fees from a parent or guardian, but shall not use a debt collector, as defined in Section 803 of the Federal Consumer Credit Protection Act, 15 U.S.C. Sec. 1692a; or (v) discuss any outstanding meal debt in the presence of other students;

- a clear explanation of the procedure to handle unpaid meal charges, provided that nothing in this section is intended to allow for the unlimited accrual of debt; and

- procedures to enroll in the Free and Reduced Price Lunch Program, provided that such procedures shall include that, at the beginning of each school year, a school or school district shall provide a free, printed meal application in every school enrollment packet, or if the school or school district chooses to use an electronic meal application, provide in school enrollment packets an explanation of the electronic meal application process and instructions for how parents or guardians may request a paper application at no cost;

4. PROFESSIONAL SERVICES:

The proposed rule imposes no additional professional service requirements on school districts.

5. COMPLIANCE COSTS:

In general, the proposed rule does not impose any costs beyond those

required by Education Law § 908 and Section 1 of Part B of Chapter 56 of the Laws of 2018.

6. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed rule does not impose any additional costs or technological requirements on local governments.

7. MINIMIZING ADVERSE IMPACT:

The proposed rule is necessary to implement the provisions of Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018.

8. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule have been solicited from school districts through the offices of the district superintendents of each supervisory district in the State, and from the chief school officers of the five big city school districts.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

The proposed rule applies to all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in this State when there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the Federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq., including those located in the 44 rural counties with less than 200,000 inhabitants and the 71 towns in urban counties with a population density of 150 per square mile or less.

2. REPORTING, RECORDKEEPING AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

The proposed rule is necessary to implement and otherwise conform Commissioner's Regulations to the requirements of Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018 which prohibits meal shaming in all public, charter and non-public schools that participate in the National School Lunch Program or School Breakfast Program in this State when there is a school at which all pupils are not eligible to be served breakfast and lunch under the Community Eligibility Provision or Provision Two of the Federal National School Lunch Act, 42 U.S.C. Sec. 1751 et seq. The proposed rule adds a new section 114.5 to Commissioner's regulations relating to the prohibition against meal shaming. Specifically, the proposed rule requires these schools to develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees.

Such plans shall include the following elements:

- a statement that the school or school district shall provide the student with the student's meal of choice for that school day of the available reimbursable meal choices for such school day, if the student requests one, unless the student's parent or guardian has specifically provided written permission to the school to withhold a meal, provided that the school or school district shall only be required to provide access to reimbursable meals, not a la carte items, adult meals, or other similar items;
- an explanation of how staff will be trained to ensure that the school or school district's procedures are carried out correctly and how the affected parents and guardians will be provided with assistance in establishing eligibility for free or reduced-price meals for their children;
- procedures requiring the school or school district to notify the student's parent or guardian that the student's meal card or account balance is exhausted and unpaid meal charges are due. The notification procedures may include a repayment schedule, but the school or school district may not charge any interest or fees in connection with any meals charged;
- a communication procedure designed to support eligible families enrolling in the National Free and Reduced Price Meal Program. Such communication procedures shall also include a process for determining eligibility when a student owes money for five or more meals, wherein the school or school district shall: (i) make every attempt to determine if a student is directly certified to be eligible for free meals; (ii) make at least two attempts, not including the application or instructions included in a school enrollment packet, to reach the student's parent or guardian and have the parent or guardian fill out a meal application; and (iii) require a school or school district to contact the parent or guardian to offer assistance with a meal application, determine if there are other issues within the household that have caused the child to have insufficient funds to purchase a school meal and offer any other assistance that is appropriate;
- a clear explanation of procedures designed to decrease student distress or embarrassment, provided that, no school or school district shall: (i) publicly identify or stigmatize a student who cannot pay for a meal or who owes a meal debt by any means including, but not limited to, requiring that a student wear a wristband or hand stamp; (ii) require a student who cannot pay for a meal or who owes a meal debt to do chores or other work to pay for meals; (iii) require that a student throw away a meal after it has been served because of the student's inability to pay for the meal or because money is owed for earlier meals; (iv) take any action directed at a

pupil to collect unpaid school meal fees. A school or school district may attempt to collect unpaid school meal fees from a parent or guardian, but shall not use a debt collector, as defined in Section 803 of the Federal Consumer Credit Protection Act, 15 U.S.C. Sec. 1692a; or (v) discuss any outstanding meal debt in the presence of other students;

- a clear explanation of the procedure to handle unpaid meal charges, provided that nothing in this section is intended to allow for the unlimited accrual of debt; and

- procedures to enroll in the Free and Reduced Price Lunch Program, provided that such procedures shall include that, at the beginning of each school year, a school or school district shall provide a free, printed meal application in every school enrollment packet, or if the school or school district chooses to use an electronic meal application, provide in school enrollment packets an explanation of the electronic meal application process and instructions for how parents or guardians may request a paper application at no cost;

3. COMPLIANCE COSTS:

The proposed rule does not impose any new costs on the State, local governments, private regulated parties or the State Education Department, but merely implements and otherwise conforms Commissioner's Regulations to the requirements of Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018.

4. MINIMIZING ADVERSE IMPACT:

The proposed rule does not impose any additional compliance requirements or costs and is necessary to implement the provisions of the requirements of Education Law § 908 and Section 1 of Part B of Chapter 56 of the Laws of 2018. Therefore, no alternatives were considered.

5. RURAL AREA PARTICIPATION:

Comments on the proposed amendment have been solicited from the Department's Rural Advisory Committee, whose membership includes school districts located in rural areas.

Job Impact Statement

The proposed rule relates to the prohibition against meal shaming as required by Education Law § 908 as added by Section 1 of Part B of Chapter 56 of the Laws of 2018. The proposed rule does not impose any adverse economic impact, reporting, record keeping or any other compliance requirements on small businesses. Because it is evident from the nature of the proposed rule that it will have no impact on the number of jobs or employment opportunities in New York state, no further steps were needed to ascertain that fact and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

Assessment of Public Comment

As of November 21, 2018, the Department has received the following comments:

1. COMMENT:

Several commenters expressed the position that the regulation restricts food service staff from communicating with students or informing them of their school food balances. According to a few commenters "until this law we were able to talk to students about their accounts by reminding them they are getting low on funds or that would you please tell your parent you need to bring in money. It was handled in a delicate and meaningful way. You should be able to take into consideration the age of the child and gauge your discussion with the student accordingly. Now that we cannot say anything to the student they think there is money on their account because we are not asking them for money when they purchase a meal." Many commenters expressed concern that they are expressly prohibited from having any communication with a child relative to school meals.

DEPARTMENT RESPONSE:

It appears that these commenters misunderstood the intent of Education Law § 908, as added by Section 1 of Part B of Chapter 56 of the Laws of 2018, and this rulemaking. The statute and rulemaking do not expressly prohibit school food staff from communicating with the child regarding school meals; however, the statute and regulation require the school to develop a plan to ensure that a pupil whose parent or guardian has unpaid school meal fees is not shamed or treated differently than a pupil whose parent or guardian does not have unpaid school meal fees. The language in the statute and regulation specifically states that such plans must include a clear explanation of procedures designed to decrease student distress or embarrassment, provided that, no school or school district shall: publicly identify or stigmatize a student who cannot pay for a meal or who owes a meal debt by any means including, but not limited to, requiring that a student wear a wristband or hand stamp; require a student who cannot pay for a meal or who owes a meal debt to do chores or other work to pay for meals; require that a student throw away a meal after it has been served because of the student's inability to pay for the meal or because money is owed for earlier meals; take any action directed at a pupil to collect unpaid school meal fees; or discuss any outstanding meal debt in the presence of other students. This is not an all-inclusive ban on communication with the student; however, school staff must be mindful of their language and man-

ner, understanding of the child and the presence of other pupils when discussing food service account balances. The Department has issued guidance and best practices for this initiative and anticipates updating such guidance and best practices in the future, as necessary. The rulemaking is consistent with the statute and necessary to conform the regulations to Education Law § 908. Thus, no revisions are necessary at this time.

2. COMMENT:

Some commenters expressed concern that the rulemaking will place additional responsibilities on school food staff to collect outstanding unpaid meal charges. A few commenters requested additional funding to compensate for school food service employees' time, effort, materials and postage relative to collecting outstanding meal charges.

DEPARTMENT RESPONSE:

While the Department is sympathetic to the commenters' concerns, the rulemaking implements the requirements of the statute. Therefore, no revisions are necessary.

3. COMMENT:

Commenter requested additional funding in the event that the school initiates litigation in small claims court to collect unpaid meal charges.

DEPARTMENT RESPONSE:

The rulemaking implements the requirements of the statute. This comment is also outside the scope of the rulemaking and as such, no revisions are necessary.

4. COMMENT:

Several commenters expressed frustration and concerns that the regulation will result in unlimited meal charges and an increase in unpaid meal account balances. Many commenters stated that unpaid meal charges have significantly increased since the statute and regulation became effective.

DEPARTMENT RESPONSE:

While the Department is sympathetic to the commenters' concerns, the rulemaking implements the statutory requirements and expressly requires a school to develop a plan that includes a clear explanation of the procedure to handle unpaid meal charges and specifically states that nothing is intended to allow for the unlimited accrual of debt. The Department has issued guidance and best practices for this initiative and anticipates updating such guidance and best practices in the future, as necessary. The rulemaking implements the requirements of the statute and is necessary to conform the Regulations of the Commissioner to Education Law § 908. Thus, no revisions are necessary at this time.

5. COMMENT:

One commenter inquired whether the school may withhold transcripts and diplomas until unpaid meal account balances have been collected.

DEPARTMENT RESPONSE:

The rulemaking requires the school to develop a plan that includes a clear explanation of the procedure to handle unpaid meal charges. Moreover, this comment is outside the scope of the regulation. Accordingly, no change to the regulation is warranted.

6. COMMENT:

Several commenters expressed frustration and concern that this rulemaking allows a child to charge all school meals including a la carte items and second meals which may result in an escalation of unpaid meal account balances. Some commenters also expressed frustration and concern that school food staff must provide a student access to a second meal or a la carte items when the student has money to pay for such items but has outstanding unpaid meal charges.

DEPARTMENT RESPONSE:

While the rulemaking specifically requires the school or school district to provide access to a reimbursable meal, it does not require that a la carte items, adult meals, or other similar items, which would include second meals, be provided. It is in within the school's discretion as to how to address a la carte food items and second meals.

Nevertheless, the rulemaking specifically states that a school must not take any action directed at a pupil to collect unpaid school meal fees. Schools may not use a child's money to repay previously unpaid charges if the child intended to use the money to purchase a second meal or a la carte item.

The Department has issued guidance and best practices on this initiative and anticipates updating such guidance and best practices in the future, as necessary. The rulemaking is consistent with the statute and necessary to conform the Regulations of the Commissioner to Education Law § 908. Therefore, the Department does not believe any change to the rulemaking is warranted.

7. COMMENT:

One commenter requested clarification on whether a school may utilize an "administrative prerogative application" in the event that a parent or guardian cannot be successfully contacted regarding a student's unpaid meal balance.

DEPARTMENT RESPONSE:

This comment is outside the scope of the proposed rulemaking. However, 7 CFR 245.6(d) provides local school officials the discretion to

complete an application for a child known to be eligible for meal benefits if, after household applications have been disseminated, the household has not applied. This option is intended for limited use upon individual situations and must not be used to make eligibility determinations for categories or groups of children. This option must be used judiciously and may not be used when family income is above the eligibility guidelines, even though the children are coming to school without a meal or money. Family economic status must remain the criterion for administratively making the decision to provide the student access to free or reduced price meals. Schools are encouraged to review Department guidance on this issue.

8. COMMENT:

A few commenters expressed concern that this rulemaking requires a school to provide a reimbursable meal when the child's parent expressly requested that the child not be allowed to charge a reimbursable meal.

DEPARTMENT RESPONSE:

The rulemaking specifically states that the school's plan must include a statement that the school or school district shall provide the student with the student's meal of choice for that school day of the available reimbursable meal choices for such school day, if the student requests one, unless the student's parent or guardian has specifically provided written permission to the school to withhold a meal. If a school has documentation from a parent requesting that their child not receive a reimbursable meal, a reimbursable meal is not required to be provided. The implementation of this provision is at the discretion of a local school food authority. The Department has issued guidance and best practices on the initiative and anticipates updating such guidance and best practices in the future, as necessary. The rulemaking is consistent with the statute and necessary to conform the Regulations of the Commissioner to Education Law § 908. Thus, no revisions are necessary at this time.

NOTICE OF ADOPTION

Administration of Certain Vaccines by Pharmacists

I.D. No. EDU-26-18-00009-A

Filing No. 1139

Filing Date: 2018-12-11

Effective Date: 2018-12-26

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 63.9 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207(not subdivided), 6504(not subdivided), 6507(2), 6527(7), 6801(2), (4), 6802(22), 6902(1), 6909(7); L. 2018, ch. 57, part DD

Subject: Administration of certain vaccines by pharmacists.

Purpose: To implement the provisions of part DD of chapter 57 of the Laws of 2018.

Text or summary was published in the June 27, 2018 issue of the Register, I.D. No. EDU-26-18-00009-EP.

Final rule as compared with last published rule: No changes.

Revised rule making(s) were previously published in the State Register on November 21, 2018.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, New York State Education Department, 89 Washington Avenue, Room 148, Albany, NY 12204, (518) 474-6400, email: legal@nysed.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The agency received no public comment.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Student Teaching Requirements for Teacher Certification and the Registration of Teacher Preparation Programs

I.D. No. EDU-52-18-00004-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of sections 52.21 and 80-3.7 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 305, 3001 and 3004

Subject: Student teaching requirements for teacher certification and the registration of teacher preparation programs.

Purpose: To revise the student teaching requirements for teacher certification and the registration of teacher preparation programs.

Substance of proposed rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rules/full-text-indices>): Proposed amendments to section 52.21.

The proposed changes to teacher preparation programs include:

- Strengthening the Department's expectations for collaboration between teacher preparation programs and their partner schools and districts by requiring them to establish, maintain, and review Memoranda of Understanding or similar collaborative agreements to systematically improve teacher preparation and the teaching and learning for all involved in collaborative clinical experiences;
- Requiring the student teaching experience to be at least a full semester (at least 14 weeks), full time, and in alignment with the daily schedule and annual school calendar. Candidates pursuing more than one certificate title, may complete two placements each of at least 7 weeks. The student teaching experience must be designed to provide candidates with opportunities to hone their practices in alignment with the New York State Teaching Standards and shall carry the number of semester hours required to obtain full-time status at the institution to ensure qualification for financial aid.
- Exempting certain experienced teachers from the 100 clock hour field experience requirement and the full-semester student teaching experience, and requiring that they instead complete at least 50 clock hours of student teaching. This exemption would apply to candidates who have previously completed an approved New York State teacher preparation program, those who hold a National Board certificate, and those with at least one year of effective teaching experience under a valid New York State or out-of-state teaching certificate. This change streamlines the regulations for already-certified teachers, which currently require different amounts of hours for field experiences and student teaching, depending on the certificate title.
- Strengthening the Department's expectations for both school-based educators (cooperating teachers) and university-based teacher educators (supervisors) who work with teacher candidates during clinical experiences.

Proposed Amendments to Section 80-3.7

Section 80-3.7 of the Commissioner's Regulations outlines the requirements for certification through the individual evaluation pathway. Currently, the coursework requirements for the individual evaluation pathway for certification are based on the educational study requirements for New York State approved teacher preparation programs, including student teaching. As a result, the student teaching requirement for the individual evaluation pathway for certification in Section 80-3.7 needs to change to align with the student teaching experience requirement proposed in Section 52.21.

The proposed changes to Section 80-3.7 would require candidates who apply for a certificate through the individual evaluation pathway to satisfactorily complete a 14-week, full-time, college-supervised student teaching experience. They could satisfactorily complete 70 full-time school days or 140 half-time school days as an employed teacher, provided that the employment must include at least one continuous period of no fewer than 35 days.

Text of proposed rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Higher Education, 89 Washington Avenue, Room 138, Albany, NY 12234, (518) 474-2138, email: legal@nysed.gov

Data, views or arguments may be submitted to: Allison Armour-Garb, NYS Education Department, Office of Higher Education, 89 Washington Avenue, Room 975 EBA, Albany, NY 12234, (518) 474-1385, email: regcomments@nysed.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law 207 (not subdivided) grants general rule-making authority to the Regents to carry into effect State educational laws and policies.

Education Law 305(1) and (3) authorizes the Commissioner to enforce the educational policies of this State and execute all educational policies determined by the Regents and shall prescribe the licensing of teachers employed in this State.

Education Law 3001 establishes the qualifications of teachers in the classroom.

Education Law 3004(1) authorizes the Commissioner to promulgate regulations governing the certification requirements for teachers employed in public schools.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendments to Sections 52.21 and 80-3.7 of the Regulations of the Commissioner of Education relating to student teaching requirements for teacher certification and the registration of teacher preparation programs is to create greater coherence with other statutory and Department initiatives related to ensuring that all educators have the knowledge and skills necessary to meet the needs of all students. Specifically, the amendments further align the Commissioner's Regulations with requirements related to the Department's federally approved Every Student Succeeds Act (ESSA) plan.

3. NEEDS AND BENEFITS:

The quality of the preparatory experience of aspiring teachers in New York State can vary significantly. In developing our plan under the Every Student Succeeds Act (ESSA) to ensure that all students have equitable access to effective instruction, the Department relied on recent research which shows that the quality of the preparation that aspiring teachers receive is a key factor in determining whether those educators enter and remain in the profession¹. There is also an important relationship between educator preparation and positive effects on student outcomes².

New York's current field experience and student teaching requirements have been in effect since January 2000. (Currently, each candidate must do, at a minimum, two 20-day placements or a single 40-day placement.) Since then, there has been a national trend to increase clinical practice in teacher preparation programs. In 2010, the National Council for Accreditation of Teacher Education Blue Ribbon Panel report placed clinical practice at the center of teacher preparation, providing teacher candidates with the opportunity to connect theory with practice³. The U.S. Department of Education, Council of Chief State School Officers, and American Federation of Teachers joined the call for high quality clinical practice in teacher preparation programs⁴. The American Association of Colleges for Teacher Education Clinical Practice Commission recently released a report to help the field develop a common understanding of clinical practice and stated that, "clinical practice serves as the central framework through which all teacher preparation programming is conceptualized and designed."⁵

As a result, states are following the guiding principle that more clinical experiences—intentionally constructed in partnership between P-12 and higher education, and with a focus on quality in addition to quantity—are better in teacher preparation programs. For example, as of July 2018, Louisiana requires a one-year residency, with 180 hours of clinical experiences prior to it. Effective September 2018, New Jersey is requiring 50 hours of clinical experiences and 175 hours of clinical practice (225 hours total) prior to the full-time semester of student teaching. By 2015, 34 states had moved to require a clinical practice placement of 10 weeks or longer, including all of New York's neighboring states⁶.

Accordingly, building on the recommendations of the TeachNY Advisory Council and the edTPA Task Force, the Department convened a Clinical Practice Work Group in June 2017 to explore current practice and make recommendations for changes if deemed appropriate. The Work Group was composed of members from the P-12 and higher education communities from across the state (Attachment A) and met eight times from June 2017 through March 2018 to develop recommendations for updating the regulations.

The Work Group developed recommendations, which were presented to the Higher Education Committee of the Board of Regents in May of 2018 (Attachment B). The proposed regulation amendments are based, in part, on those recommendations.

The proposed changes to teacher preparation programs include:

- Strengthening the Department's expectations for collaboration between teacher preparation programs and their partner schools and districts by requiring them to establish, maintain, and review Memoranda of Understanding or similar collaborative agreements to systematically improve teacher preparation and the teaching and learning for all involved in collaborative clinical experiences;
- Requiring the student teaching experience to be at least a full semester (at least 14 weeks), full time, and in alignment with the daily schedule and annual school calendar. Candidates pursuing more than one certificate title, may complete two placements each of at least 7 weeks. The student teaching experience must be designed to provide candidates with opportunities to hone their practices in alignment with the New York State Teaching Standards and shall carry the number of semester hours required to obtain full-time status at the institution to ensure qualification for financial aid.
- Exempting certain experienced teachers from the 100 clock hour field experience requirement and the full-semester student teaching experience, and requiring that they instead complete at least 50 clock hours of student teaching. This exemption would apply to candidates who have previously completed an approved New York State teacher preparation program, those who hold a National Board certificate, and those with at least one year of effective teaching experience under a valid New York State or out-of-state

teaching certificate. This change streamlines the regulations for already-certified teachers, which currently require different amounts of hours for field experiences and student teaching, depending on the certificate title.

- Strengthening the Department's expectations for both school-based educators (cooperating teachers) and university-based teacher educators (supervisors) who work with teacher candidates during clinical experiences.

Section 80-3.7 of the Commissioner's Regulations outlines the requirements for certification through the individual evaluation pathway. Currently, the coursework requirements for the individual evaluation pathway for certification are based on the educational study requirements for New York State approved teacher preparation programs, including student teaching. As a result, the student teaching requirement for the individual evaluation pathway for certification in Section 80-3.7 needs to change to align with the student teaching experience requirement proposed in Section 52.21.

The proposed changes to Section 80-3.7 would require candidates who apply for a certificate through the individual evaluation pathway to satisfactorily complete a 14- week, full-time, college-supervised student teaching experience. They could satisfactorily complete 70 full-time school days or 140 at least half-time school days as an employed teacher, provided that the employment must include at least one continuous period of no fewer than 35 days.

4. COSTS:

a. Costs to State government: The amendments impose minimal additional costs on State government, including the State Education Department.

b. Costs to local government: The amendments impose minimal additional costs on local government, including New York State school districts and BOCES. Participation by school districts and BOCES in the clinical preparation of teacher candidates is voluntary.

c. Costs to private regulated parties: The amendment impose minimal additional costs on private regulated parties. Since 2002, State University of New York teacher preparation programs have required the student teaching experience to be at least 75 days in length, which is equivalent to the full-semester student teaching experience in the proposed regulation. The Department expects the additional clinical experience days to be embedded within the EPP's revised program, without necessarily increasing the number of course credits, which means that tuition would not increase as a result of the additional days. Increases to program administration costs for institutions that do not already require a full semester of student teaching may include, e.g., salary and travel costs for university supervisors to spend more days in the field and additional stipends/honoraria for cooperating teachers.

d. Costs to regulating agency for implementation and continued administration: See above.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any additional program, service, duty or responsibility upon any local government.

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements.

7. DUPLICATION:

The proposed amendment does not duplicate existing State or Federal requirements.

8. ALTERNATIVES:

Because the State believes that uniform certification standards are required across the State, no alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated that the proposed amendment will be permanently adopted by the Board of Regents at its April 2019 meeting. If adopted at the April 2019 meeting, the proposed amendment will become effective on April 24, 2019.

ter of student teaching, can improve the chances of teachers of color feeling successful in the classroom and continuing to teach long term) https://learningpolicyinstitute.org/sites/default/files/product-files/Diversifying_Teaching_Profession_REPORT_0.pdf.

² Boyd, D., Grossman, P.L., Lankford, H., Loeb, S., & Wyckoff, J., "Teacher Preparation and Student Achievement," *Educational Evaluation and Policy Analysis* 31(4), 416-440 (2009) (teacher candidates who complete programs that emphasize clinical practice are more effective during their first year of teaching) <http://journals.sagepub.com/doi/abs/10.3102/0162373709353129>. See also Fraser, James W. and Audra M. Watson, "Why Clinical Experience and Mentoring are Replacing Student Teaching on the Best Campuses" (Princeton: Woodrow Wilson National Fellowship Foundation, 2014) (positing "short stays in classrooms intensify the unacknowledged stereotypes and biases that many student teachers bring to their work with students of color" and "provide superficial, rather than deep, understandings of students' lives, communities, and cultures"), retrieved from <https://eric.ed.gov/?id=ED562067>.

³ National Council for Accreditation of Teacher Education, *Transforming teacher education through clinical practice: A national strategy to prepare effective teachers* (2010), retrieved from <https://eric.ed.gov/?id=ED512807>.

⁴ United States Department of Education, *Our future, our teachers* (2011), retrieved from <http://www.ed.gov/sites/default/files/our-future-our-teachers.pdf>; Council of Chief State School Officers, *Our responsibility, our promise: Transforming educator preparation and entry into the profession* (2012), retrieved from https://www.ccsso.org/sites/default/files/2017-10/Our%20Responsibility%20Our%20Promise_2012.pdf; American Federation of Teachers, "Raising the bar: Aligning and elevating teacher preparation and the teaching profession" (2013) (survey reveals top problem experienced by teachers in their own training program is a failure to prepare them for the challenges of teaching in the "real world"; quality, depth, and duration of clinical experience is key) <http://www.highered.nysed.gov/pdf/raisingthebar2012.pdf>.

⁵ American Association of Colleges for Teacher Education, *A pivot toward clinical practice, its lexicon, and the renewal of educator preparation* (2018), p. 14. Retrieved from <https://aacte.org/professional-development-and-events/clinical-practice-commission-press-conference>.

⁶ National Council for Teacher Quality, *Student Teaching national results, State Teacher Policy Database. [Data set]* (2015), retrieved from <https://www.nctq.org/yearbook/national/Student-Teaching-69>.

Regulatory Flexibility Analysis

The purpose of the proposed amendments to Sections 52.21 and 80-3.7 of the Regulations of the Commissioner of Education relating to student teaching requirements for teacher certification and the registration of teacher preparation programs is to create greater coherence with other statutory and Department initiatives related to ensuring that all educators have the knowledge and skills necessary to meet the needs of all students. Specifically, the amendments further align the Commissioner's Regulations with requirements related to the Department's federally approved Every Student Succeeds Act (ESSA) plan.

The proposed changes to teacher preparation programs include:

- Strengthening the Department's expectations for collaboration between teacher preparation programs and their partner schools and districts by requiring them to establish, maintain, and review Memoranda of Understanding or similar collaborative agreements to systematically improve teacher preparation and the teaching and learning for all involved in collaborative clinical experiences;

- Requiring the student teaching experience to be at least a full semester (at least 14 weeks), full time, and in alignment with the daily schedule and annual school calendar. Candidates pursuing more than one certificate title, may complete two placements each of at least 7 weeks. The student teaching experience must be designed to provide candidates with opportunities to hone their practices in alignment with the New York State Teaching Standards and shall carry the number of semester hours required to obtain full-time status at the institution to ensure qualification for financial aid.

- Exempting certain experienced teachers from the 100 clock hour field experience requirement and the full-semester student teaching experience, and requiring that they instead complete at least 50 clock hours of student teaching. This exemption would apply to candidates who have previously completed an approved New York State teacher preparation program, those who hold a National Board certificate, and those with at least one year of effective teaching experience under a valid New York State or out-of-state teaching certificate. This change streamlines the regulations for already-certified teachers, which currently require different amounts of hours for field experiences and student teaching, depending on the certificate title.

¹ See, e.g., Ingersoll, R., Merrill, L., and May, H., "What are the effects of teacher education and preparation on beginning teacher attrition?" Research Report (#RR-82) (Philadelphia: Consortium for Policy Research in Education, University of Pennsylvania, 2014) (teacher candidates who complete programs that emphasize clinical practice are less likely to leave the profession after their first year in the classroom) <http://www.cpre.org/prep-effects>; Guha, R., Hyler, M.E., and Darling-Hammond, L., "The Teacher Residency: An Innovative Model for Preparing Teachers" (Palo Alto, CA: Learning Policy Institute, 2016) <https://learningpolicyinstitute.org/product/teacher-residency>; Carver-Thomas, D., *Diversifying the teaching profession: How to recruit and retain teachers of color* (Palo Alto, CA: Learning Policy Institute, 2018) (Increased access to high-quality preparation, including at least a semes-

- Strengthening the Department's expectations for both school-based educators (cooperating teachers) and university-based teacher educators (supervisors) who work with teacher candidates during clinical experiences.

Section 80-3.7 of the Commissioner's Regulations outlines the requirements for certification through the individual evaluation pathway. Currently, the coursework requirements for the individual evaluation pathway for certification are based on the educational study requirements for New York State approved teacher preparation programs, including student teaching. As a result, the student teaching requirement for the individual evaluation pathway for certification in Section 80-3.7 needs to change to align with the student teaching experience requirement proposed in Section 52.21.

The proposed changes to Section 80-3.7 would require candidates who apply for a certificate through the individual evaluation pathway to satisfactorily complete a 14- week, full-time, college-supervised student teaching experience. They could satisfactorily complete 70 full-time school days or 140 half-time school days as an employed teacher, provided that the employment must include at least one continuous period of no fewer than 35 days.

The amendments do not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact on small businesses or local governments. Participation by school districts and BOCES in the clinical preparation of teacher candidates is voluntary. Because it is evident from the nature of the proposed amendments that they do not affect small businesses or local governments, no further steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

This proposed amendment applies to educator preparation providers (EPPs) and certain candidates for teacher certification in New York State, including those located in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

2. REPORTING, RECORDKEEPING, AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

The purpose of the proposed amendments to Sections 52.21 and 80-3.7 of the Regulations of the Commissioner of Education relating to student teaching requirements for teacher certification and the registration of teacher preparation programs is to create greater coherence with other statutory and Department initiatives related to ensuring that all educators have the knowledge and skills necessary to meet the needs of all students. Specifically, the amendments further align the Commissioner's Regulations with requirements related to the Department's federally approved Every Student Succeeds Act (ESSA) plan.

The proposed changes to teacher preparation programs include:

- Strengthening the Department's expectations for collaboration between teacher preparation programs and their partner schools and districts by requiring them to establish, maintain, and review Memoranda of Understanding or similar collaborative agreements to systematically improve teacher preparation and the teaching and learning for all involved in collaborative clinical experiences;

- Requiring the student teaching experience to be at least a full semester (at least 14 weeks), full time, and in alignment with the daily schedule and annual school calendar. Candidates pursuing more than one certificate title, may complete two placements each of at least 7 weeks. The student teaching experience must be designed to provide candidates with opportunities to hone their practices in alignment with the New York State Teaching Standards and shall carry the number of semester hours required to obtain full-time status at the institution to ensure qualification for financial aid.

- Exempting certain experienced teachers from the 100 clock hour field experience requirement and the full-semester student teaching experience, and requiring that they instead complete at least 50 clock hours of student teaching. This exemption would apply to candidates who have previously completed an approved New York State teacher preparation program, those who hold a National Board certificate, and those with at least one year of effective teaching experience under a valid New York State or out-of-state teaching certificate. This change streamlines the regulations for already-certified teachers, which currently require different amounts of hours for field experiences and student teaching, depending on the certificate title.

- Strengthening the Department's expectations for both school-based educators (cooperating teachers) and university-based teacher educators (supervisors) who work with teacher candidates during clinical experiences.

Section 80-3.7 of the Commissioner's Regulations outlines the requirements for certification through the individual evaluation pathway. Currently, the coursework requirements for the individual evaluation pathway

for certification are based on the educational study requirements for New York State approved teacher preparation programs, including student teaching. As a result, the student teaching requirement for the individual evaluation pathway for certification in Section 80-3.7 needs to change to align with the student teaching experience requirement proposed in Section 52.21.

The proposed changes to Section 80-3.7 would require candidates who apply for a certificate through the individual evaluation pathway to satisfactorily complete a 14- week, full-time, college-supervised student teaching experience. They could satisfactorily complete 70 full-time school days or 140 at least half-time school days as an employed teacher, provided that the employment must include at least one continuous period of no fewer than 35 days.

3. COSTS:

The proposed amendment imposes minimal additional costs on educator preparation providers, teacher certification candidates, and/or the New York State school districts/BOCES who wish to hire them. Since 2002, State University of New York teacher preparation programs have required the student teaching experience to be at least 75 days in length, which is equivalent to the full-semester student teaching experience in the proposed regulation. The Department expects the additional clinical experience days to be embedded within the EPP's revised program, without necessarily increasing the number of course credits, which means that tuition would not increase as a result of the additional days. Increases to program administration costs for institutions that do not already require a full semester of student teaching may include, e.g., salary and travel costs for university supervisors to spend more days in the field and additional stipends/honoraria for cooperating teachers. Participation by school districts and BOCES in the clinical preparation of teacher candidates is voluntary.

4. MINIMIZING ADVERSE IMPACT:

The Department believes that uniform standards for certification must be established across the State. Therefore, no alternatives were considered for those located in rural areas of the State.

5. RURAL AREA PARTICIPATION:

Copies of the proposed amendments have been provided to Rural Advisory Committee for review and comment.

Job Impact Statement

The purpose of the proposed amendments to Sections 52.21 and 80-3.7 of the Regulations of the Commissioner of Education relating to student teaching requirements for teacher certification and the registration of teacher preparation programs is to create greater coherence with other statutory and Department initiatives related to ensuring that all educators have the knowledge and skills necessary to meet the needs of all students. Specifically, the amendments further align the Commissioner's Regulations with requirements related to the Department's federally approved Every Student Succeeds Act (ESSA) plan.

The proposed changes to teacher preparation programs include:

- Strengthening the Department's expectations for collaboration between teacher preparation programs and their partner schools and districts by requiring them to establish, maintain, and review Memoranda of Understanding or similar collaborative agreements to systematically improve teacher preparation and the teaching and learning for all involved in collaborative clinical experiences.

- Requiring the student teaching experience to be at least a full semester (at least 14 weeks), full time, and in alignment with the daily schedule and annual school calendar. Candidates pursuing more than one certificate title, may complete two placements each of at least 7 weeks. The student teaching experience must be designed to provide candidates with opportunities to hone their practices in alignment with the New York State Teaching Standards and shall carry the number of semester hours required to obtain full-time status at the institution to ensure qualification for financial aid.

- Exempting certain experienced teachers from the 100 clock hour field experience requirement and the full-semester student teaching experience, and requiring that they instead complete at least 50 clock hours of student teaching. This exemption would apply to candidates who have previously completed an approved New York State teacher preparation program, those who hold a National Board certificate, and those with at least one year of effective teaching experience under a valid New York State or out-of-state teaching certificate. This change streamlines the regulations for already-certified teachers, which currently require different amounts of hours for field experiences and student teaching, depending on the certificate title.

- Strengthening the Department's expectations for both school-based educators (cooperating teachers) and university-based teacher educators (supervisors) who work with teacher candidates during clinical experiences.

Section 80-3.7 of the Commissioner's Regulations outlines the requirements for certification through the individual evaluation pathway. Currently, the coursework requirements for the individual evaluation pathway

for certification are based on the educational study requirements for New York State approved teacher preparation programs, including student teaching. As a result, the student teaching requirement for the individual evaluation pathway for certification in Section 80-3.7 needs to change to align with the student teaching experience requirement proposed in Section 52.21.

The proposed changes to Section 80-3.7 would require candidates who apply for a certificate through the individual evaluation pathway to satisfactorily complete a 14-week, full-time, college-supervised student teaching experience. They could satisfactorily complete 70 full-time school days or 140 half-time school days as an employed teacher, provided that the employment must include at least one continuous period of no fewer than 35 days.

Because it is evident from the nature of the proposed amendment that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Annual Professional Performance Reviews

I.D. No. EDU-52-18-00005-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: Amendment of section 30-3.17 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305 and 3012-d

Subject: Annual professional performance reviews.

Purpose: To extend the transition period for an additional year (until 2019-2020).

Text of proposed rule: Section 30-3.17 of the Rules of the Board of Regents shall be amended to read as follows:

§ 30-3.17. Annual Professional Performance Review Ratings for the 2015-2016 through the [2018-2019] 2019-2020 school years for Annual Professional Performance Reviews Conducted Pursuant to Education Law § 3012-d and this Subpart, During a Transition to Higher Learning Standards.

(a) ...

(b) Notwithstanding any other provision of this Subpart to the contrary, the Commissioner shall establish procedures in guidance for determining transition scores and ratings for teachers and principals whose annual professional performance reviews conducted pursuant to Education Law § 3012-d and this Subpart for the 2015-2016 through the [2018-2019] 2019-2020 school years are based, in whole or in part, on State assessments and/or State-provided growth scores on Regents examinations, while the State completes the transition to higher learning standards through new State assessments aligned to higher learning standards, and a revised State-provided growth model.

(1) ...

(2) ...

(3) ..

(i) ...

(ii) ...

(b) ...

(c) ...

Text of proposed rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 138, Albany, NY 12234, (518) 473-2183, email: kgoswami@nysed.gov

Data, views or arguments may be submitted to: Alexander Trikalinos, NYS Education Department, Office of Higher Education, 89 Washington Avenue, Room 1071 EBA, Albany, New York 12234, (518) 486-2855, email: regcomments@nysed.gov

Public comment will be received until: 60 days after publication of this notice.

This rule was not under consideration at the time this agency submitted its Regulatory Agenda for publication in the Register.

Regulatory Impact Statement

1. STATUTORY AUTHORITY:

Education Law 101 (not subdivided) charges the Department with the general management and supervision of all public schools and all of the educational work of the state.

Education Law 207 (not subdivided) grants general rule-making authority to the Regents to carry into effect State educational laws and policies.

Education Law 305(1) authorizes the Commissioner to enforce laws re-

lating to the State educational system and execute Regents educational policies. Section 305(2) provides the Commissioner with general supervision over schools and authority to advise and guide school district officers in their duties and the general management of their schools.

Education Law 3012-d establishes uniform standards for teacher and principal annual professional performance reviews (APPR) across New York State.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment is to extend the APPR transition period for an additional year to provide the Department with adequate time to fully implement the Governor's Common Core Task Force's recommendations while the Department works with stakeholders to develop recommendations to revise the current evaluation system in order to create an evaluation system that better supports teaching and learning.

3. NEEDS AND BENEFITS:

In September 2015, Governor Andrew Cuomo formed the Common Core Task Force to undertake a comprehensive review of the current status and use of the Common Core State Standards and assessments in New York and to recommend potential reforms to the system.

On December 10, 2015, the Task Force released their report, affirming that New York must have rigorous, high quality education standards to improve the education of all of our students and hold our schools and districts accountable for students' success but recommended that the Common Core standards be thoroughly reviewed and revised consistent as reflected in the report and that the State assessments be amended to reflect such revisions. In addition, the Task Force recommended that until the new system is fully phased in, the results from the grades 3-8 English language arts and mathematics State assessments and the use of any State-provided growth model based on these tests or other State assessments shall not have consequence for teachers or students. Specifically, Recommendation 21 from the Task Force's Final Report ("Report") provides as follows:

"...until the transition to a new system is complete, i.e. New York State-specific standards are fully developed along with corresponding curriculum and tests, State administered standardized ELA and Mathematics assessments for grades three through eight aligned to the Common Core or updated standards shall not have consequences for individual students or teachers. Further, any growth model based on these Common Core tests or other state assessments shall not have consequences and shall only be used on an advisory basis for teachers."

In an effort to implement the Task Force's recommendation, two new sections, 30-2.14¹ and 30-3.17, of the Rules of the Board of Regents were added in December of 2015 to provide for a four-year transition period for annual professional performance reviews (APPRs). During the transition period, the Commissioner will determine transition scores and ratings that will replace the original scores and HEDI ratings computed under the existing provisions of Subpart 30-2 and 30-3 of the Regents Rules for evaluation of teachers and principals whose APPRs are based, in whole or in part, on State assessments in grades 3-8 ELA and mathematics assessments and/or State-provided growth scores. Under the current regulations, the transition period will end with the 2018-2019 school year.

Pursuant to Section 30-3.17 of the Rules of the Board of Regents, transition scores and ratings for the student performance category and the overall transition rating are determined using the scores/ratings in the subcomponents of the student performance category that are not based on the grade 3-8 ELA or mathematics State assessments and/or a State-provided growth score.

- State provided growth scores will continue to be computed for advisory purposes only and overall HEDI ratings will continue to be provided to teachers and principals based on such growth scores. However, during the transition period, only the transition score and rating will be used for purposes of Education Law § 3012-d and Subparts 30-3, and for purposes of employment decisions, including tenure determinations and for purposes of proceedings under Education Law § § 3020-a and 3020-b and teacher and principal improvement plans.

- However, for purposes of public reporting of aggregate data, the original composite score and rating and the transition composite score and rating must be reported with an explanation of such transition composite score and rating.

Although the Department has undertaken a number of actions over the past three years to revise the State's ELA and math Learning Standards and assessment system, that work is not yet complete and the Department has not yet completed its review of the current evaluation system.

4. COSTS:

a. Costs to State government: The amendments do not impose any costs on State government, including the State Education Department.

b. Costs to local government: The amendments do not impose any costs on local government.

c. Costs to private regulated parties: The amendments do not impose any costs on private regulated parties.

d. Costs to regulating agency for implementation and continued administration: The amendments do not impose any costs on the regulating agency for implementation and continued administration.

5. LOCAL GOVERNMENT MANDATES:

See Needs and Benefits Section.

6. PAPERWORK:

The proposed amendment does not impose any additional paperwork requirements beyond what was currently required in regulation.

7. DUPLICATION:

The proposed amendment does not duplicate existing State or Federal requirements.

8. ALTERNATIVES:

No alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

Following the 60-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendments will be presented to the Board of Regents for adoption at its April 2019 meeting. If adopted at the April 2019 meeting, the proposed amendments will become effective on April 24, 2019.

¹ Section 30-2.14 of the Rules of the Board of Regents is applicable to APPRs conducted pursuant to Education Law § 3012-c. Since the 2016-17 school year, all school districts have implemented APPR plans pursuant to Education Law § 3012-d. Therefore, the proposed amendments relate only to Section 30-3.17 of the Rules of the Board of Regents.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed amendment relates to annual professional performance reviews (APPR) of teachers and principals, as further described below. Because it is evident from the nature of the proposed amendment that it does not affect small businesses, no further measures were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses is not required and one has not been prepared.

(b) Local governments:

1. EFFECT OF RULE:

The proposed amendment applies to all teachers and principals of public school districts and BOCES.

2. COMPLIANCE REQUIREMENTS:

The proposed amendments to Section 30-3.17 of the Rules of the Board of Regents would keep the APPR Transition Period for APPRs completed pursuant to Education Law § 3012-d in place for an additional school year (i.e., through the 2019-20 school year). This additional year is necessary for the Department to fully implement the Common Core Task Force's recommendations while the Department works with stakeholders to develop recommendations to revise the current evaluation system in order to create an evaluation system that better supports teaching and learning.

3. PROFESSIONAL SERVICES:

The proposed rule does not impose any additional professional services requirements on local governments.

4. COMPLIANCE COSTS:

The proposed amendment does not impose any additional costs on regulated parties beyond the current regulations.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment does not impose any new technological requirements on school districts or BOCES. Economic feasibility is addressed in the Costs section above.

6. MINIMIZING ADVERSE IMPACT:

Education Law § 3012-d requires that uniform standards for teachers and principals must be established across the State. Therefore, no alternatives were considered for those located in rural areas of the State.

7. LOCAL GOVERNMENT PARTICIPATION:

Comments on the proposed rule were solicited from school districts through the offices of the district superintendents of each supervisory district in the State, from the chief school officers of the five big city school districts.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBERS OF RURAL AREAS:

This proposed amendment applies to all school districts and BOCES in New York State, including those located in the 44 rural counties with fewer than 200,000 inhabitants and the 71 towns and urban counties with a population density of 150 square miles or less.

2. REPORTING, RECORDKEEPING, AND OTHER COMPLIANCE REQUIREMENTS; AND PROFESSIONAL SERVICES:

The proposed amendments to Section 30-3.17 of the Rules of the Board of Regents would keep the APPR Transition Period for APPRs completed pursuant to Education Law § 3012-d in place for an additional school year

(i.e., through the 2019-20 school year). This additional year is necessary for the Department to fully implement the Common Core Task Force's recommendations while the Department works with stakeholders to develop recommendations to revise the current evaluation system in order to create an evaluation system that better supports teaching and learning.

3. COSTS:

The proposed amendment imposes no additional costs on any regulated parties.

4. MINIMIZING ADVERSE IMPACT:

Education Law § 3012-d requires that uniform standards for teacher and principal evaluations must be established across the State. Therefore, no alternatives were considered for those located in rural areas of the State.

5. RURAL AREA PARTICIPATION:

Copies of the proposed amendments have been provided to Rural Advisory Committee for review and comment.

Job Impact Statement

The purpose of the proposed amendment is to extend the APPR transition period for school districts and BOCES through the 2019-20 school year. During the transition period, the Commissioner will determine transition scores and ratings that will replace the original scores and HEDI ratings computed under the existing provisions of Subpart 30-2 and 30-3 of the Regents Rules for evaluation of teachers and principals whose APPRs are based, in whole or in part, on State assessments in grades 3-8 ELA and mathematics assessments and/or State-provided growth scores.

Because it is evident from the nature of the proposed amendment that it will have no impact on the number of jobs or employment opportunities in New York State, no further steps were needed to ascertain that fact and none were taken.

**REVISED RULE MAKING
NO HEARING(S) SCHEDULED**

To Implement New York State's Every Student Succeeds Act (ESSA) Plan

I.D. No. EDU-19-18-00006-RP

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following revised rule:

Proposed Action: Amendment of sections 100.2(ff), (m), 100.18, 100.19 and Part 120 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 112(1), 207, 210, 215, 305(1), (2), (20), 309, 3713(1), (2); The Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act of 2015, 20 U.S.C. sections 6301 et seq. (Public Law 114-95, 129 STAT. 1802)

Subject: To implement New York State's Every Student Succeeds Act (ESSA) plan.

Purpose: To implement New York's approved ESSA plan and to comply with the provisions of the Every Student Succeeds Act.

Substance of revised rule (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rulesandregs>): The Commissioner of Education proposes to amend sections 100.2(ff), 100.2(m), 100.18, 100.19 and Part 120 of the Regulations of the Commissioner of Education relating to Relating to the implementation of the State's Approved Every Student Succeeds Act (ESSA) Plan. The following is a summary of the proposed rule:

The proposed amendment to subdivision 100.2(ff) relates to the enrollment of youth released or conditionally released from residential facilities. This amendment clarifies the existing requirement that districts designate an employee(s) to be the transition liaison(s) with residential facility personnel, parents, students, and State and other local agencies for the purpose of facilitating a student's effective educational transition into, between, and out of such facilities to ensure that each student receives appropriate educational and appropriate supports, services, and opportunities; and this amendment also provides an overview of the duties of the liaison(s).

The proposed amendment to subdivision 100.2(m) relates to requirements for the New York State report card for schools and districts. This amendment updates the information to be provided in report cards to align with the provisions of ESSA and requires local educational agencies (LEAs) to post the local report cards on their website, where one exists, to satisfy ESSA's local report card requirements. If an LEA does not operate a website, the LEA must provide the information to the public in another manner determined by the LEA.

The proposed amendments to 100.18 clarify that this section, which contains provisions relating to implementation of New York's approved ESEA flexibility waiver, only applies to accountability designations made prior to July 1, 2018, except as otherwise provided in the new section 100.21.

In order to implement the State's approved ESSA plan, the proposed amendments to section 100.19 clarify that Failing Schools means schools that have been identified as Priority Schools and/or Comprehensive Support and Improvement Schools (CSI) for at least three consecutive years. (See Attachment A for criteria for identification of a Comprehensive Support and Improvement School.) These amendments also clarify that beginning with the 2018-19 school year, removal from receivership will be based upon a school's status as a CSI rather than as a Priority School.

The proposed creation of section 100.21 implements the new accountability and support and interventions of the State's approved ESSA plan commencing with the 2018-2019 school year. Such provisions shall include, but not be limited to, the following:

- Subdivision (a) sets forth an applicability clause which says that section 100.21 supersedes paragraphs (p)(1) through (11) and (14) through (16) of section 100.2 and section 100.18, which are the provisions of Commissioner's Regulations that were in place under the No Child Left Behind Act (NCLB) and the Department's Elementary and Secondary Education Act (ESEA) flexibility waiver, and that the new section 100.21 shall apply in lieu of such provisions during the period of the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act, and any revisions and extensions thereof, except as otherwise provided in section 100.21. If a provision of section 100.2(p) or of section 100.18 conflicts with section 100.21, the provisions of section 100.21 shall prevail.

- Subdivision (b) defines various terms, which are divided into general definitions, definitions related to school and district accountability designations, and definitions related to interventions for designated schools and districts to implement the new accountability system in New York State's approved ESSA plan.

- Subdivision (c) outlines the procedures and requirements for registration of public schools, which remain the same as under the previous accountability regulations.

- Subdivision (d) relates to the requirements for the registration of public schools.

- Subdivision (e) provides that, commencing with the 2017-2018 school year results, the Commissioner will annually review the performance of all public schools, charter schools, and school districts in the State. The Commissioner shall determine whether such public school, charter school or school district shall be identified for Comprehensive Support and Improvement (CSI), Targeted Support and Improvement (TSI), or identified as a Target District in accordance with the criteria set forth in subdivision (f) of the regulation.

- Subdivision (f) specifies the differentiated accountability methodology by which schools will be identified as either CSI (which will be identified every three years beginning with the 2018-2019 school year using 2017-2018 school year results) or TSI (which will be identified annually beginning with the 2018-2019 school year), and the methodology for identifying Target Districts. This section describes how six indicators (composite performance, student growth, combined composite performance and growth, English language proficiency, academic progress, and chronic absenteeism) are used in the methodology for identification of elementary and middle schools. This section also details how seven indicators (composite performance; graduation rate; combined composite performance and graduation rate; English language proficiency; academic progress; chronic absenteeism; and college, career, and civic readiness) are used in the methodology for identifying high schools. This subdivision also explains how each of these indicators is computed, how these computations are converted into a Level 1-4 for each accountability group for which a school or district is accountable, and how these levels assigned to the accountability groups are used to determine whether a school will be identified as in Good Standing, TSI, or CSI, and whether a district will be identified as a District in Good Standing or a Target District. This subdivision also contains provisions regarding the identification of high schools for CSI based on graduation rates below 67% beginning with 2017-18 school year results. In addition, this subdivision contains provisions regarding the identification of TSI schools for additional support as required by ESSA if an accountability group for which a school is identified performs at a level that would have caused the school to be identified as CSI if this had been the performance of the "all students" group.

- Subdivision (g) provides that preliminarily identified CSI and TSI schools and Target Districts shall be given the opportunity to provide the Commissioner with any additional information concerning extenuating or extraordinary circumstances faced by the school or district that should be cause for the Commissioner to not identify the school as CSI or TSI or the district as a Target District.

- Subdivision (h) establishes the public notification requirements upon receipt of a designation of CSI or TSI school or a Target District.

- Subdivision (i) specifies the interventions that must occur in schools identified as CSI or TSI, as well as districts identified as Target Districts. This section describes the requirements for identified schools as they relate

to parental involvement, participatory budgeting, school comprehensive education plans, and school choice. This subdivision also describes the increased support and oversight that schools that fail to improve will receive. This subdivision also outlines the interventions for schools that, beginning with 2017-18 and 2018-19 school year results, has a Weighted Average Achievement Level of 1 or 2 and that fails for two consecutive years to meet the 95% participation rate requirement for annual state assessments for the same accountability group for the same accountability measure and are not showing improvement in the participation rate for that accountability group. This subdivision also specifies the support that districts must provide to a school that is not CSI or TSI but has performed at Level 1 for an accountability group for an accountability measure.

- Subdivision (j) establishes the criteria for a school's or a district's removal from an accountability designation.

- Subdivision (k) provides the criteria for the identification of schools for public school registration review. Under this subdivision, the Commissioner may place under preliminary registration review any school identified for receivership; any school that is identified as CSI for three consecutive years; and any school that has been identified as a poor learning environment. Also, under this subdivision, a school under registration review shall also be identified as a CSI school, and subject to all the requirements of that designation.

- Subdivision (l) specifies the process by which the Commissioner will place a school under registration review; and the required actions of the district and the school related to the designation. This subdivision also describes the requirements for receivership schools that have also been identified for registration review.

- Subdivision (m) specifies the criteria and process for removal of schools from registration review, school phase-out or closure.

The proposed amendments to Part 120 update provisions in the existing regulations pertaining to the sunset of No Child Left Behind requirements regarding highly qualified teachers and provide for the continuation under ESSA of provisions pertaining to persistently dangerous schools and unsafe school choice and updates to public school choice provisions.

Revised rule making(s) were previously published in the State Register on October 3, 2018.

Revised rule compared with proposed rule: Substantive revisions were made in sections 100.21(b)(2), (4), (f)(1), (2), (3), (i)(1) and (l)(5).

Text of revised proposed rule and any required statements and analyses may be obtained from Kirti Goswami, New York State Education Department, 89 Washington Avenue, Room 148, Albany, NY 12238, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 30 days after publication of this notice.

Summary of Revised Regulatory Impact Statement (Full text is posted at the following State website: <http://www.counsel.nysed.gov/rulesandregs>):

Since publication of a Notice of Emergency Adoption and Proposed Rule Making in the State Register on October 3, 2018, the following substantial revisions were made to the proposed rule:

Principal Support Report and Principal Needs Assessment (§ 100.21(b)(4)(xii) and (xiii))

- The name of the report and the needs assessment has been changed to "Leadership Team Support Report" and "Leadership Team Needs Assessment" to reflect that the focus of these documents should be the district and school leadership teams, not just the principal.

Basis for Districts to petition the Commissioner to revise MIPs. (§ 100.21(b)(2)(vi))

- Revised to allow districts to be able to petition the Commissioner to revise MIPs if the district seeks to correct an error in the data used to establish a MIP for a school or district. Would allow the Commissioner to revise MIPs to reflect the administration of new assessments or changes in state standards.

Computation of Combined Composite Performance and Growth Level (§ 100.21(f)(1)(i)(c))

- In a small percentage of cases, the current methodology results in a Combined Composite Performance and Growth Level that is lower than the unweighted average (rounded down) of the Composite Performance Level and Student Growth Level. For example, in a small percentage of cases, a subgroup with a Composite Performance Level of 2 and a Student Growth Level of 4 would be assigned a Combined Composite Performance and Growth Level of 2. This revision would result in the subgroup receiving a Combined Composite Performance and Growth Level of 3.

Computation of Academic Progress Level, ELP level and Student Growth Level (§ 100.21(f)(1)(i)(b), § 100.21(f)(1)(i)(d), § 100.21(f)(1)(i)(e), § 100.21(f)(2)(i)(d), § 100.21(f)(2)(i)(e))

- As the regulations currently allow the Commissioner to do for the graduation rate indicator; chronic absenteeism indicator; and college,

career, and civic readiness indicator, the Commissioner would be able to assign an Academic Progress Level 1 in ELA or math to a subgroup whose Performance Index is below a Performance Index established by the Commissioner and the Commissioner may assign an Academic Progress Level 2 in ELA or math to a subgroup whose Performance Index is at or above a Performance Index established by the Commissioner. Similar provisions would also be added for the ELP and Student Growth Indicators. These provisions would allow the Commissioner to take into account changes to the assessments and standards that have taken place.

Computation of Combined Composite Performance and Graduation Rate Level (§ 100.21(f)(2)(i)(c))

- In a small percentage of cases, the current methodology results in a Combined Composite Performance and Graduation Rate Level that is lower than the unweighted average of the Composite Performance Level and Graduation Rate Level. For example, in a small percentage of cases, a subgroup with Composite Performance Level of 2 and a Graduation Rate Level of 4 would be assigned a Combined Composite Performance and Graduation Rate Level of 2. This revision would result in the subgroup receiving a Combined Composite Performance and Graduation Rate Level of 3.

Identification of Target Districts (§ 100.21(f)(3)(iii))

- Clarifies that a school district must meet the criteria for identification for the all students group for two consecutive years in order to be identified as a Target District, except for Focus Districts, which may be identified based on 2017-18 school year data only.

Assignment of teachers to schools identified for Comprehensive Support and Improvement (§ 100.21(i)(1)(i)(c))

- When a school is identified for Comprehensive Support and Improvement, teacher transfers are limited to teachers rated effective or highly effective pursuant to Education Law § 3012-d by a school district in the previous school year, to the extent possible and subject to collective bargaining as required under article 14 of the Civil Service Law, and may require that any successor collective bargaining agreement authorize such transfers to the extent possible and unless otherwise prohibited by law.

Identification and appointment of leadership and staff of a new school that a district seeks to register to replace a SURR or receivership school that is phasing out or closing (§ 100.21(l)(5)(iv))

- District must establish a process for identifying and appointing the leadership and staff of the new school, which must result in the selection of school leaders with a track record of success as school leaders and a staff that consists primarily of experienced teachers (i.e., at least three years of teaching experience) who are certified in the subject area(s) they will teach, have been rated Effective or Highly Effective pursuant to Education Law § 3012-d in each of the past three years, and are not currently assigned to the school to be closed or phased out, unless approval has been granted by the Commissioner to waive any of these requirements, to the extent possible and subject to collective bargaining as required under article 14 of the Civil Service Law, and may require that any successor collective bargaining agreement authorize such appointments, to the extent possible, unless otherwise prohibited by law.

The above changes require that the NEEDS AND BENEFITS section of the previously published Regulatory Impact Statement be revised. For the complete Revised Regulatory Impact Statement please visit the following website: <http://www.counsel.nysed.gov/rulesandregs>

Revised Regulatory Flexibility Analysis

A Notice of Proposed Rulemaking was published in the State Register on May 9, 2018. A Notice of Emergency Adoption and Revised Rule Making was published in the State Register on July 18, 2018. A second Notice of Emergency Adoption and Revised Rule Making was published in the State Register on October 3, 2018. A Notice of Emergency Adoption was published in the State Register on November 21, 2018. However, no revisions are required to the previously published Regulatory Flexibility Analysis for Small Businesses and Local Governments published on October 3, 2018.

Revised Rural Area Flexibility Analysis

A Notice of Proposed Rulemaking was published in the State Register on May 9, 2018. A Notice of Emergency Adoption and Revised Rule Making was published in the State Register on July 18, 2018. A second Notice of Emergency Adoption and Revised Rule Making was published in the State Register on October 3, 2018. A Notice of Emergency Adoption was published in the State Register on November 21, 2018. However, no revisions are required to the previously published Rural Area Flexibility Analysis published on October 3, 2018.

Revised Job Impact Statement

A Notice of Proposed Rulemaking was published in the State Register on May 9, 2018. A Notice of Emergency Adoption and Revised Rule Making was published in the State Register on July 18, 2018. A second Notice of Emergency Adoption and Revised Rule Making was published in the State

Register on October 3, 2018. A Notice of Emergency Adoption was published in the State Register on November 21, 2018. However, no revisions are required to the previously published Job Impact Statement published on October 3, 2018.

Assessment of Public Comment

*Note: A Notice of Emergency Adoption and Revised Rulemaking was published in the State Register on October 3, 2018. A Notice of Emergency Adoption was also published in the State Register on November 21, 2018 and included an Assessment of Public Comment received until October 25, 2018. This Assessment of Public Comment includes comments received from October 3, 2018 through November 2, 2018 along with comments received after the end of the previous public comment period which concluded on August 17th.

1. COMMENT:

Commenter, an education software company, sought information related to the ability of school districts to use ESSA funds to purchase a particular product.

DEPARTMENT RESPONSE:

No response necessary as the comment is outside the scope of the proposed rulemaking.

2. COMMENT:

Commenter, a parent, wrote to express his frustration about the learning and environmental conditions of a particular school, which was designated as a priority school under the previous accountability system required for compliance with No Child Left Behind. Commenter noted that his older child received a transfer to a better performing school as a result of the school's designation as a priority school and is pleased with that child's current school placement.

DEPARTMENT RESPONSE:

As evidenced by New York's federally approved ESSA plan and this proposed rulemaking, the Department aims to implement an accountability system that will support the education of all students in New York. However, this particular comment is outside the scope of the proposed rulemaking and, as such, no changes are necessary.

3. COMMENT:

Several commenters echoed previously received comments and expressed concern relating to participation rate, parental rights, and the value of the assessments.

DEPARTMENT RESPONSE:

Please see response to Comment #8 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

4. COMMENT:

Several commenters expressed previously received concerns regarding the provisions that permit the Commissioner to impose a financial penalty by requiring districts to set aside Title I funds to implement the recommendations of a participation rate audit if a school has failed to improve the participation rate for an identified group in the subject for which the group was identified for three years following first implementation of a participation rate improvement plan.

DEPARTMENT RESPONSE:

Please see response to Comment #13 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

5. COMMENT:

Several commenters expressed frustration with the overall system of state assessments and the common core learning standards.

DEPARTMENT RESPONSE:

Please see response to Comment #39 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

6. COMMENT:

Several commenters noted that while the revisions were a step in the right direction, commenters expressed a desire to go farther to reduce or eliminate the need for certain schools to develop participation rate improvement plans. A number of commenters felt it was unfair that schools that had a Weighted Average Achievement average of Level 3 or 4 would not have to do a participation rate improvement plan, while lower performing schools, which might be educating higher need students, with similar participation rates would still be required to develop plans.

DEPARTMENT RESPONSE:

The Department appreciates the feedback received from stakeholders, and has attempted to balance the needs of New York State students and schools with the requirements of the federal law and the State's approved ESSA plan. While no revisions are necessary at this time, the Department will continue to work with stakeholders and issue further clarifying guidance in the future to the extent possible within the statutory requirements.

7. COMMENT:

Commenter commended the Department for previous revisions but

sought additional revisions including: changing the name of the Principal Support Report and Principal Needs Assessment to Leadership Team Report and Needs Assessment and including the superintendent in those covered by the report.

DEPARTMENT RESPONSE:

The proposed rulemaking has been revised to change the name of the report and the needs assessment to the "Leadership Team Support Report" and "Leadership Team Needs Assessment" to reflect that the focus of these documents should be the district and school leadership teams, not just the principal.

8. COMMENT:

Commenter recommends delaying the implementation of the chronic absenteeism indicator for one year and to include prekindergarten and kindergarten into the chronic absenteeism performance indicator.

DEPARTMENT RESPONSE:

As it relates to the grade levels of students to be included in the chronic absenteeism rate, please see response to Comment #85 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018. The Department does not believe any revisions are necessary for the timeline for the chronic absenteeism indicator at this time.

9. COMMENT:

Commenter also sought revision of the definition of continuous enrollment so that it is based on a student enrolled on BEDS day through the test administration period.

DEPARTMENT RESPONSE:

Please see the response to Comment #80 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

10. COMMENT:

Several commenters expressed their appreciation for revisions that the Regents made to the regulations which included stronger provisions to ensure parental involvement in the creation of school improvement plans; strengthening language on the importance of translation of parent notices; adopting an explicit timeline and methodology to incorporate the new indicator holding schools accountable for reducing out-of-school suspensions; requiring improvement on both the Core Subject Performance Index and Weighted Average Achievement Index as part of the annual achievement progression; and acknowledging that participatory budgeting is just one of several ways a school can increase parent and student engagement.

Commenters also noted that the Board and Department have worked hard to strike a reasonable balance regarding test participation and commended the Board and Department for improving teacher equity by limiting new teacher transfers into schools identified for Comprehensive Support & Improvement to teachers rated Effective or Highly Effective, subject to applicable collective bargaining agreements and for identifying "Target Districts" as part of the Department's school improvement strategy.

DEPARTMENT RESPONSE:

No response necessary as the comment is supportive. However, please note that revisions have been made to the rulemaking relative to the transfer of teachers.

11. COMMENT:

Commenter expressed several concerns with the proposed rulemaking and asserts that requiring a participation rate improvement plan is inconsistent with both NYS's approved plan and is not permitted under ESSA. Commenter argues that the statutory history which led to the inclusion of the 95% participation rate in the No Child Left Behind Act ("NCLB") prohibits requiring schools to develop participation rate plans when failure to meet the 95% is the result of parental choice, and not systemic or institutional exclusion of certain subgroups of students. The commenter therefore asserts that any consequences for failing to meet the participation rate because of parental choice are not permissible under ESSA.

Commenter further states that including such requirement in the proposed rulemaking amounts to a breach of fiduciary duty by requiring financially vulnerable school districts to expend resources to increase participation. Additionally, the commenter states that there is no research-based evidence relating to the validity of participation rate plans, and that using participation rate data from the 17-18 school year without having previously warned parents of their right to opt-out amounts to a retroactive penalty.

DEPARTMENT RESPONSE:

The Department does not believe that requiring certain schools to implement a participation rate improvement plan and/or expending funds to implement such a plan in order to assist schools in meeting the participation rates required by ESSA is outside the scope of the statute and no revisions are necessary at this time. Furthermore, the Department notes that the statutory requirement regarding participation in state assessments precludes this rulemaking and therefore disagrees that the rulemaking constitutes a "retroactive penalty."

Please see the responses to Comment #8 and Comment #32 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

12. COMMENT:

Commenter suggests that the Department and the Board of Regents changed course when the accountability calculations were amended to no longer compare the Core Subject Performance Index with the Weighted Average Achievement Index, and take the higher of the two.

DEPARTMENT RESPONSE:

Commenter is correct that changes were made to the ESSA plan initially submitted to the United States Department of Education in order to secure final approval of the State's plan. See also the response Comment #88 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

13. COMMENT:

Commenter adopted the various arguments put forth by New York State United Teachers in its letter to Commissioner Elia, dated July 19, 2018.

DEPARTMENT RESPONSE:

See the responses to Comments #7, #8, #9, #13, #14 and #15 in the previously published Assessment of Public Comment, published in the State Register on October 3, 2018.

14. COMMENT:

Commenter expressed concern that the accountability calculations in the proposed rulemaking will result in unintended consequences. Commenter also expressed that the Department can and should make additional changes to the approved ESSA plan and revise the rulemaking consistent with such amendments.

DEPARTMENT RESPONSE:

As the Department implements the ESSA plan and implementing regulations, if the Department believes that any additional changes to the plan or the regulations are necessary, the Department may propose any such changes.

15. COMMENT:

Some commenters expressed concern relating to the role of state assessments in teacher evaluations.

DEPARTMENT RESPONSE:

These comments are outside the scope of the regulations. Therefore, no response is necessary.

Department of Financial Services

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Principle-Based Reserving

I.D. No. DFS-52-18-00001-EP

Filing No. 1134

Filing Date: 2018-12-07

Effective Date: 2018-12-07

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Proposed Action: Addition of Part 103 (Regulation 213) to Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 102, 201, 202, 301, 302; Insurance Law, sections 301, 4217 and 4517

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: The Legislature added a new Insurance Law § 4217(g) to allow principle-based reserving ("PBR") for certain individual and group life insurance policies and annuity contracts beginning in 2019. This rule is necessary to make clear that the Superintendent of Financial Services ("Superintendent") may require a life insurance company or fraternal benefit society (collectively, "life insurer") to change an assumption or method that in the Superintendent's opinion is necessary to comply with the valuation manual adopted by the Superintendent and § 4217(g), and that the life insurer must adjust the reserves as the Superintendent requires.

Since the bill that enacted Insurance Law § 4217(g) took effect immediately, it is imperative that this rule be promulgated on an emergency basis for the public's general welfare.

Subject: Principle-Based Reserving.

Purpose: To allow principal-based reserving for certain individual and group life insurance policies and annuity contracts.

Text of emergency/proposed rule: § 103.1 Applicability.

This part shall apply to individual and group life insurance policies and annuity contracts issued on or after the operative date of the valuation manual as prescribed by the superintendent by regulation.

§ 103.2 Superintendent's authority to require reserve adjustments.

(a) The superintendent may require a life insurance company to change an assumption or method that in the superintendent's opinion is necessary to comply with the requirements of the valuation manual or Insurance Law section 4217(g), and the life insurance company shall adjust the reserves as required by the superintendent. The superintendent may take other disciplinary action as permitted by the Insurance Law, Financial Services Law, and any other applicable laws and regulations.

(b) For purposes of this Part, "valuation manual" shall have the meaning set forth in Insurance Law section 4217(g)(5).¹

¹ The 2018 Valuation Manual, published by the National Association of Insurance Commissioners, is hereby incorporated by reference in this Part. The 2018 Valuation Manual is readily available without charge at the following internet address: https://www.naic.org/documents/prod_serv_2018_valuation_manual.pdf. The 2018 Valuation Manual is also available for public inspection and copying at the New York State Department of Financial Services, One State Street, New York, NY 10004.

This notice is intended: to serve as both a notice of emergency adoption and a notice of proposed rule making. The emergency rule will expire March 6, 2019.

Text of rule and any required statements and analyses may be obtained from: Joanna Lucashuk, NYS Department of Financial Services, One State Street, New York, NY 10004, (212) 480-2125, email: Joanna.Lucashuk@dfs.ny.gov

Data, views or arguments may be submitted to: Same as above.

Public comment will be received until: 60 days after publication of this notice.

This rule was not under consideration at the time this agency submitted its Regulatory Agenda for publication in the Register.

Regulatory Impact Statement

1. Statutory authority: Financial Services Law §§ 102, 201, 202, 301 and 302 and Insurance Law §§ 301, 4217, and 4517.

Financial Services Law § 102 establishes the Department of Financial Services ("DFS") and sets forth goals for DFS to accomplish.

Financial Services Law § 201 sets forth a declaration of policy, Financial Services Law § 202 establishes the office of the Superintendent of Financial Services ("Superintendent"), and Financial Services Law § 301 sets forth the Superintendent's powers.

Financial Services Law § 302 and Insurance Law § 301, in material part, authorize the Superintendent to effectuate any power accorded to the Superintendent by the Financial Services Law, Insurance Law, or any other law, and to prescribe regulations interpreting the Insurance Law.

Insurance Law § 4217 sets forth rules for the valuation of insurance policies and contracts. Insurance Law § 4217(g) requires authorized life insurance companies and fraternal benefit societies (collectively, "life insurers") to use principle-based reserving ("PBR") for certain individual and group life insurance policies and annuity contracts upon the Superintendent's approval of the National Association of Insurance Commissioners' ("NAIC's") valuation manual (the "Manual"), subject to the Superintendent adopting any amendment to the Manual by regulation.

Insurance Law § 4517 makes Insurance Law § 4217 applicable to the valuation of life insurance and annuity certificates issued by fraternal benefit societies.

2. Legislative objectives: Insurance Law § 4217 sets forth rules for the valuation of insurance policies and contracts. In December 2018, Governor Andrew M. Cuomo signed into law a bill that added a new Insurance Law § 4217(g) to allow PBR for certain individual and group life insurance policies and annuity contracts beginning in 2019.

This rule accords with the public policy objectives that the Legislature sought to advance in Insurance Law § 4217(g) when it adopted PBR for life insurers, by making clear that the Superintendent may require a life insurer to change an assumption or method that in the Superintendent's opinion is necessary to comply with the valuation manual adopted by the Superintendent and § 4217(g), and that the life insurer must adjust the reserves as the Superintendent requires.

3. Needs and benefits: Life insurers set aside funds (called "reserves") to pay insurance claims when they become due. Insurance Law § 4217 and regulations promulgated thereunder set forth rules surrounding the setting aside of reserves. Insurance Law § 4517 makes Insurance Law § 4217 applicable to the valuation of life insurance and annuity certificates issued by fraternal benefit societies. The NAIC revised its model Standard

Valuation Law in 2009 to establish PBR. PBR is designed to allow life insurers to hold reserves based on credible experience that is more closely tailored to the insurers' particular products, within certain strict guidelines. According to the NAIC, as of October 31, 2017, 47 states representing 85.9% of premium have enacted legislation implementing PBR.

Beginning January 1, 2020, the 2009 revisions to the NAIC's Standard Valuation Law will become an accreditation standard. NAIC accreditation is a certification that a state receives once it demonstrates that it has met and continues to meet certain legal, financial, and organizational standards. The purpose of the NAIC accreditation program is to ensure effective insurer financial solvency regulation across the United States.

Insurance Law § 4217(g) authorizes the Superintendent to replace the existing formulaic rules for calculating life insurer reserves with the PBR paradigm established by the NAIC. Section 4217(g) was modeled, in part, on the NAIC's Standard Valuation Law. Although § 4217(g) does not contain every provision that appears in the Standard Valuation Law, the bill grants the Department and the Superintendent the same or greater authority than if it had included all of the provisions included in the Standard Valuation Law. Section 11(G) of the Standard Valuation Law is one of the provisions not included in § 4217(g). Newly enacted § 4217(g)(8)(B) – which authorizes the Superintendent to deviate "from the reserve standards, valuation methods, assumptions, and related requirements in the valuation manual, including for individual companies" – provides the same substantive authority as § 11(G).

Recognizing that a state's enactment of a satisfactory PBR law will become an NAIC accreditation standard starting January 1, 2020 and that new Insurance Law § 4217(g) does not reduce the Superintendent's authority to adjust reserves, both the Life Insurance Council of New York and the Superintendent believe that the language in § 11(G) of the Standard Valuation Law should be included in a stand-alone rule.

4. Costs: This rule may impose compliance costs on life insurers because an insurer must adjust its reserves as the Superintendent requires if necessary to comply with the Manual and Insurance Law § 4217(g). This is a consequence of new Insurance Law § 4217(g), which requires that the minimum standard for the valuation of certain life insurance policies and annuity contracts will be the standard prescribed in the Manual as adopted by the Superintendent. However, under the law, a domestic insurance company and a fraternal benefit society that only writes business in New York may, with the Superintendent's approval, obtain an exemption for specific product forms or product lines.

DFS also may incur costs for the implementation and continuation of this rule, because DFS will need to monitor reserves to ensure conformance with the Manual and Insurance Law § 4217(g). However, any additional costs incurred should be minimal and DFS should be able to absorb the costs in its ordinary budget.

This rule does not impose compliance costs on any local government.

5. Local government mandates: This rule does not impose any program, service, duty, or responsibility upon a county, city, town, village, school district, fire district, or other special district.

6. Paperwork: This rule does not impose any reporting requirements, including forms and other paperwork.

7. Duplication: This rule does not duplicate, overlap, or conflict with any existing state or federal rules or other legal requirements.

8. Alternatives: There were no significant alternative proposals to consider.

9. Federal standards: The rule does not exceed any minimum standards of the federal government for the same or similar subject areas.

10. Compliance schedule: A life insurer must comply with the rule upon publication of the Notice of Adoption in the State Register.

Regulatory Flexibility Analysis

The Department of Financial Services ("DFS") finds that this new part will not impose any adverse economic impact or compliance requirements on small businesses or local governments. The basis for this finding is that this rule is directed at life insurance companies and fraternal benefit societies (collectively, "life insurers"), none of which are local governments or come within the definition of "small business" as defined in State Administrative Procedure Act § 102(8). DFS reviewed filed reports on examination and annual statements of such life insurers and concluded that none of these life insurers come within the definition of "small business" because there are none that are both independently owned and have fewer than 100 employees.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: Life insurance companies and fraternal benefit societies (collectively, "life insurers") affected by this rule operate in every county in this state, including rural areas as defined by State Administrative Procedure Act § 102(10).

2. Reporting, recordkeeping and other compliance requirements; and professional services: The rule does not impose additional reporting, recordkeeping, or other compliance requirements. A life insurer in a rural

area may need to retain professional services, such as actuaries, to comply with this rule.

3. **Costs:** This rule may impose compliance costs on life insurers, including life insurers in rural areas, because a life insurer must adjust its reserves as the Superintendent of Financial Services ("Superintendent") requires if necessary to comply with the National Association of Insurance Commissioners' valuation manual (the "Manual") and Insurance Law § 4217(g). This is a consequence of new Insurance Law § 4217(g), which requires that the minimum standard for the valuation of certain life insurance policies and annuity contracts will be the standard prescribed in the Manual as adopted by the Superintendent. However, under the law, a domestic insurance company and a fraternal benefit society that only writes business in New York may, with the Superintendent's approval, obtain an exemption for specific product forms or product lines.

4. **Minimizing adverse impact:** This rule uniformly affects life insurers that are located in both rural and non-rural areas of New York State. The rule should not have an adverse impact on rural areas.

5. **Rural area participation:** Life insurers in rural areas will have an opportunity to participate in the rule-making process when the notice of proposed rule-making is published in the State Register and posted on the Department of Financial Services' website.

Job Impact Statement

This rule should not adversely impact jobs or employment opportunities in New York State. The rule merely implements Insurance Law § 4217(g) by making clear that the Superintendent of Financial Services ("Superintendent") may require a life insurance company or fraternal benefit society to change an assumption or method that in the Superintendent's opinion is necessary to comply with the valuation manual adopted by the Superintendent and § 4217(g), and that the life insurance company or fraternal benefit society must adjust the reserves as the Superintendent requires.

Department of Health

EMERGENCY RULE MAKING

Medical Use of Marihuana

I.D. No. HLT-31-18-00005-E

Filing No. 1133

Filing Date: 2018-12-07

Effective Date: 2018-12-07

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 1004.2 of Title 10 NYCRR.

Statutory authority: Public Health Law, section 3369-a

Finding of necessity for emergency rule: Preservation of public health and public safety.

Specific reasons underlying the finding of necessity: In New York State, the number of overdose deaths involving opioids has increased from over 1,000 deaths in 2010, to over 3,000 deaths in 2016. The opioid epidemic is an unprecedented crisis and practitioners should have as many treatment options available to them as possible.

Medical marihuana has been demonstrated to be an effective treatment option for pain, thereby reducing the chance of dependence and the risk of fatal overdose as compared to opioid-based medications. Studies of some states with medical marihuana programs have found notable associations of reductions in opioid deaths and opioid prescribing with the availability of cannabis products. States with medical marihuana programs have also been found to have less opioid overdose deaths than other states by as much as 25 percent. Studies of opioid prescribing in some states with medical marihuana programs have noted a 5.88 percent lower rate of opioid prescribing.

The regulations are necessary to immediately conform the regulations to recent amendments to Section 3360(7) of the PHL that added post-traumatic stress disorder, pain that degrades health and functional capability where the use of medical marihuana is an alternative to opioid use, and substance use disorder, as serious conditions for which patients may be certified to use medical marihuana. In doing so, the regulations will help prevent patients from relying on prescription opioids for severe pain that is not expected to last more than three months. In addition, adding opioid use disorder as a clinically associated condition will allow individuals

with substance use disorder, but who don't suffer from severe or chronic pain, to use medical marihuana as a part of their treatment program.

Subject: Medical Use of Marihuana.

Purpose: To add additional serious conditions for which patients may be certified to use medical marihuana.

Text of emergency rule: Pursuant to the authority vested in the Commissioner of Health by section 3369-a of the Public Health Law (PHL), Section 1004.2 of Title 10 (Health) of the Official Compilation of Codes, Rules and Regulations of the State of New York is hereby amended, to be effective upon filing with the Secretary of State, to read as follows:

Section 1004.2 Practitioner issuance of certification.

(a) Requirements for Patient Certification. A practitioner who is registered pursuant to 1004.1 of this part may issue a certification for the use of an approved medical marihuana product by a qualifying patient subject to completion of subdivision (e) of this section. Such certification shall contain:

* * *

(8) the patient's diagnosis, limited solely to the specific severe debilitating or life-threatening condition(s) listed below;

* * *

(xi) any severe debilitating pain that the practitioner determines degrades health and functional capability; where the patient has contraindications, has experienced intolerable side effects, or has experienced failure of one or more previously tried therapeutic options; and where there is documented medical evidence of such pain having lasted three months or more beyond onset, or the practitioner reasonably anticipates such pain to last three months or more beyond onset; [or]

(xii) post-traumatic stress disorder;

(xiii) pain that degrades health and functional capability where the use of medical marihuana is an alternative to opioid use, provided that the precise underlying condition is expressly stated on the patient's certification; or

(xiv) substance use disorder; or

(xii)xv) any other condition added by the commissioner.

(9) The condition or symptom that is clinically associated with, or is a complication of the severe debilitating or life-threatening condition listed in paragraph (8) of this subdivision. Clinically associated conditions, symptoms or complications, as defined in subdivision seven of section thirty-three hundred sixty of the public health law are limited solely to:

(i) Cachexia or wasting syndrome;

(ii) severe or chronic pain resulting in substantial limitation of function;

(iii) severe nausea;

(iv) seizures;

(v) severe or persistent muscle spasms; [or]

(vi) post-traumatic stress disorder;

(vii) opioid use disorder, but only if enrolled in a treatment program certified pursuant to Article 32 of the Mental Hygiene Law; or

(vi)viii) such other conditions, symptoms or complications as

added by the commissioner.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt the provisions of this emergency rule as a permanent rule, having previously submitted to the Department of State a notice of proposed rule making, I.D. No. HLT-31-18-00005-P, Issue of August 1, 2018. The emergency rule will expire February 4, 2019.

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of Program Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqa@health.ny.gov

Regulatory Impact Statement

Statutory Authority:

The Commissioner of Health is authorized pursuant to Section 3369-a of the Public Health Law (PHL) to promulgate rules and regulations necessary to effectuate the provisions of Title V-A of Article 33 of the PHL. The Commissioner of Health is also authorized pursuant to Section 3360(7) of the PHL to add serious conditions under which patients may qualify for the use of medical marihuana.

Legislative Objectives:

The legislative objective of Title V-A is to comprehensively regulate the manufacture, sale and use of medical marihuana, by striking a balance between potentially relieving the pain and suffering of those individuals with serious conditions, as defined in Section 3360(7) of the PHL, and protecting the public against risks to its health and safety.

Needs and Benefits:

The regulatory amendments are necessary to conform the regulations to recent amendments to Section 3360(7) of the PHL that added post-

traumatic stress disorder, pain that degrades health and functional capability where the use of medical marihuana is an alternative to opioid use, and substance use disorder, as serious conditions for which patients may be certified to use medical marihuana. This regulatory amendment will particularly benefit patients with these conditions as medical marihuana will now be an available treatment option. Requiring practitioners to expressly state the precise underlying condition will help the Department to better understand how medical marihuana can be used as an alternative or adjunctive therapy to prescription opioids. In addition, adding substance use disorder as a severe debilitating or life-threatening condition and opioid use disorder as a clinically associated condition will allow individuals who are addicted to opioids to use medical marihuana as part of their treatment.

Costs:

Costs to the Regulated Entity:

Patients certified by their practitioner for the medical use of marihuana will have to pay a \$50 non-refundable application fee to obtain a registry identification card to register with the Medical Marihuana Program. However, the Department may waive or reduce this fee in cases of financial hardship, and is currently waiving this fee for all patients and caregivers. Patients will also have a cost associated with the fees charged by registered organizations for the purchase of medical marihuana products.

Costs to Local Government:

This amendment to the regulation does not require local governments to perform any additional tasks; therefore, it is not anticipated to have an adverse fiscal impact.

Costs to the Department of Health:

With the inclusion of these new serious conditions, additional patient registrations will need to be processed by the Department. In addition, there may be an increase in the number of practitioners who register with the program to certify patients who may benefit from the use of medical marihuana for these new serious conditions. This regulatory amendment may result in an increased cost to the Department for additional staffing to provide registration support for patients and practitioners as well as certification support for registered practitioners. However, any resulting cost of additional staffing is greatly outweighed by the benefit of making another treatment option available to practitioners who are treating patients suffering from severe pain or opioid use disorder.

Local Government Mandates:

This amendment does not impose any new programs, services, duties or responsibilities on local government.

Paperwork:

Registered practitioners who certify patients for the program will be required to maintain a copy of the patient's certification in the patient's medical record.

Duplication:

No relevant rules or legal requirements of the Federal and State governments duplicate, overlap or conflict with this rule.

Alternatives:

An alternative would be to not amend the regulation to align with Section 3360(7) of the PHL. However, this was not considered a viable alternative, as it would create confusion for registered practitioners and patients seeking to be certified for the medical use of marihuana.

Federal Standards:

Federal requirements do not include provisions for a medical marihuana program.

Compliance Schedule:

There is no compliance schedule imposed by these amendments, which shall be effective upon filing with the Secretary of State.

Regulatory Flexibility Analysis

No regulatory flexibility analysis is required pursuant to section 202-b(3)(a) of the State Administrative Procedure Act. The amendment does not impose an adverse economic impact on small businesses or local governments, and it does not impose reporting, record keeping or other compliance requirements on small businesses or local governments.

Cure Period:

Chapter 524 of the Laws of 2011 requires agencies to include a "cure period" or other opportunity for ameliorative action to prevent the imposition of penalties on the party or parties subject to enforcement under the regulation. The regulatory amendment authorizing the addition of this serious condition does not mandate that a practitioner register with the program. This amendment does not mandate that a registered practitioner issue a certification to a patient who qualifies for this new serious condition. Hence, no cure period is necessary.

Rural Area Flexibility Analysis

A Rural Area Flexibility Analysis for these amendments is not being submitted because amendments will not impose any adverse impact or significant reporting, record keeping or other compliance requirements on

public or private entities in rural areas. There are no other compliance costs imposed on public or private entities in rural areas as a result of the amendments.

Job Impact Statement

No job impact statement is required pursuant to section 201-a(2)(a) of the State Administrative Procedure Act. It is apparent, from the nature of the amendment, that it will not have an adverse impact on jobs and employment opportunities.

Assessment of Public Comment

The agency received no public comment since publication of the last assessment of public comment.

Higher Education Services Corporation

EMERGENCY RULE MAKING

New York State Masters-in-Education Teacher Incentive Scholarship Program

I.D. No. ESC-52-18-00002-E

Filing No. 1136

Filing Date: 2018-12-10

Effective Date: 2018-12-10

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 2201.17 to Title 8 NYCRR.

Statutory authority: Education Law, sections 653, 655 and 669-f

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Emergency Rule Making seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the fall 2016 term, which generally starts in August. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants. The statute provides for tuition benefits to college-going students attending a New York State public institution of higher education who pursue a graduate program of study in an education program leading to a career as a teacher in public elementary or secondary education. Decisions on applications for this Program are made prior to the beginning of the term. Therefore, it is critical that the terms of the program as provided in the regulation be effective immediately so that students can make informed choices and in order for HESC to process scholarship applications in a timely manner. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: New York State Masters-in-Education Teacher Incentive Scholarship Program.

Purpose: To implement the New York State Masters-in-Education Teacher Incentive Scholarship Program.

Text of emergency rule: New section 2201.17 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

Section 2201.17 New York State Masters-in-Education Teacher Incentive Scholarship Program.

(a) *Definitions. As used in section 669-f of the Education Law and this section, the following terms shall have the following meanings:*

(1) *Academic excellence shall mean the attainment of a cumulative grade point average of 3.5 or higher upon completion of an undergraduate program of study from a college or university located within New York State.*

(2) *Approved master's degree in education program shall mean a program registered at a New York State public institution of higher education pursuant to Part 52 of the Regulations of the Commissioner of Education.*

(3) Award shall mean a New York State Masters-in-Education Teacher Incentive Scholarship Program award pursuant to section 669-f of the New York State education law.

(4) Classroom instruction shall mean elementary and secondary education instruction, as required by the New York State Education Department, including enrichment and supplemental instruction that may be offered to a subset of students. Classroom instruction shall not include support services, such as counseling, speech therapy or occupational therapy services.

(5) Elementary and secondary education shall mean pre-kindergarten through grade 12 in a public school recognized by the board of regents or the university of the state of New York, including charter schools authorized pursuant to article fifty-six of the education law.

(6) Full-time study shall mean the number of credits required by the institution in each term of the approved master's degree in education program. A recipient may complete fewer credits than required for full-time study if he or she is in their last term and fewer credit hours are necessary to complete their degree program. In this case, the award amount shall be based on the tuition reported by the institution.

(7) Initial certification shall mean any certification issued pursuant to part 80 of this title which allows the recipient to teach in a classroom setting on a full-time basis.

(8) Interruption in graduate study or employment shall mean an allowable temporary period of leave for a definitive length of time due to circumstances approved by the corporation, including, but not limited to, maternity/paternity leave, death of a family member, or military duty.

(9) Program shall mean the New York State Masters-in-Education Teacher Incentive Scholarship Program codified in section 669-f of the education law.

(10) Public institution of higher education shall mean the state university of New York, as defined in subdivision 3 of section 352 of the education law, or the city university of New York as defined in subdivision 2 of section 6202 of the education law.

(11) Rank shall mean an applicant's position, relative to all other applicants, based on cumulative grade point average upon completion of an undergraduate program of study from a college or university located within New York State.

(12) School year shall mean the period commencing on the first day of July in each year and ending on the thirtieth day of June next following.

(13) Successful completion of a term shall mean that at the end of any academic term, the recipient: (i) met the eligibility requirements for the award pursuant to sections 661 and 669-f of the Education Law; (ii) maintained full-time status as defined in this section; and (iii) possessed a cumulative grade point average of 3.5 or higher as of the date of the certification by the institution.

(14) Teach in a classroom setting on a full-time basis shall mean continuous employment providing classroom instruction in a public elementary or secondary school, including charter schools, Boards of Cooperative Educational Services (BOCES) and public pre-kindergarten programs, located within New York State, for at least 10 continuous months, each school year, for a number of hours to be determined by the labor contract between the teacher and employer, or if none of the above apply, the chief administrator of the school.

(b) Eligibility. An applicant must satisfy the eligibility requirements contained in both sections 669-f and 661 of the education law, provided however that an applicant for this Program must meet the good academic standing requirements contained in section 669-f of the education law.

(c) Priorities. If there are more applicants than available funds, the following provisions shall apply:

(1) First priority shall be given to applicants who have received payment of an award pursuant to section 669-f of the education law for the academic year immediately preceding the academic year for which payment is sought and have successfully completed the academic term for which payment is sought. First priority shall include applicants who received payment of an award pursuant to section 669-f of the education law, were subsequently granted an interruption in graduate study by the corporation for the academic year immediately preceding the academic year for which payment is sought and have successfully completed the academic term for which payment is sought. If there are more applicants than available funds, recipients shall be chosen by lottery.

(2) Second priority shall be given to up to five hundred new applicants, within the remaining funds available for the Program, if any. If there are more applicants than available funds, recipients shall be chosen by rank, starting at the applicant with the highest cumulative grade point average beginning in the 2016-17 academic year. In the event of a tie, distribution of any remaining funds shall be done by lottery.

(d) Administration.

(1) Applicants for an award shall apply for program eligibility at such times, on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility.

(2) Recipients of an award shall:

(i) execute a service contract prescribed by the corporation;

(ii) request payment at such times, on forms and in a manner specified by the corporation;

(iii) receive such awards for not more than four academic terms, or its equivalent, of full-time graduate study leading to certification as a public elementary or secondary classroom teacher, including charter schools, excluding any allowable interruption of study;

(iv) facilitate the submission of information from their employer attesting to the recipient's job title, the full-time work status of the recipient, and any other information necessary for the corporation to determine compliance with the program's employment requirements on forms and in a manner prescribed by the corporation; and

(v) provide any other information necessary for the corporation to determine compliance with the program's requirements.

(e) Amounts.

(1) The amount of the award shall be determined in accordance with section 669-f of the education law.

(2) Disbursements shall be made each term to institutions, on behalf of recipients, within a reasonable time upon successful completion of the term subject to the verification and certification by the institution of the recipient's grade point average and other eligibility requirements.

(3) Awards shall be reduced by the value of other educational grants and scholarships limited to tuition, as authorized by section 669-f of the education law.

(f) Failure to comply.

(1) All award monies received shall be converted to a 10-year student loan plus interest for recipients who fail to meet the statutory, regulatory, contractual, administrative or other requirement of this program.

(2) The interest rate for the life of the loan shall be fixed and equal to that published annually by the U.S. Department of Education for undergraduate unsubsidized Stafford loans at the time the recipient signed the service contract with the corporation.

(3) Interest shall begin to accrue on the day each award payment is disbursed to the institution.

(4) Interest shall be capitalized on the day the award recipient violates any term of the service contract or the date the corporation deems the recipient was no longer able or willing to perform the terms of the service contract. Interest on this capitalized amount shall continue to accrue and be calculated using simple interest until the amount is paid in full.

(5) Where a recipient has demonstrated extreme hardship as a result of a disability, labor market conditions, or other such circumstances, the corporation may, in its discretion, postpone converting the award to a student loan, temporarily suspend repayment of the amount owed, prorate the amount owed commensurate with service completed, discharge the amount owed, or take such other appropriate action.

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire March 9, 2019.

Text of rule and any required statements and analyses may be obtained from: Cheryl B. Fisher, NYS Higher Education Services Corporation, 99 Washington Avenue, Room 1325, Albany, New York 12255, (518) 474-5592, email: regcomments@hesc.ny.gov

Regulatory Impact Statement

Statutory authority:

The New York State Higher Education Services Corporation's ("HESC") statutory authority to promulgate regulations and administer the New York State Masters-in-Education Teacher Incentive Scholarship Program ("Program") is codified within Article 14 of the Education Law. In particular, Subpart A of Chapter 56 of the Laws of 2015 created the Program by adding a new section 669-f to the Education Law. Subdivision 6 of section 669-f of the Education Law authorizes HESC to promulgate emergency regulations for the purpose of administering this Program.

Pursuant to Education Law § 652(2), HESC was established for the purpose of improving the post-secondary educational opportunities of eligible students through the centralized administration of New York State financial aid programs and coordinating the State's administrative effort in student financial aid programs with those of other levels of government.

In addition, Education Law § 653(9) empowers HESC's Board of Trustees to perform such other acts as may be necessary or appropriate to carry out the objectives and purposes of the corporation including the promulgation of rules and regulations.

HESC's President is authorized, under Education Law § 655(4), to propose rules and regulations, subject to approval by the Board of Trustees, governing, among other things, the application for and the granting and administration of student aid and loan programs, the repayment of loans or the guarantee of loans made by HESC; and administrative functions in support of state student aid programs. Also, consistent with Educa-

tion Law § 655(9), HESC's President is authorized to receive assistance from any Division, Department or Agency of the State in order to properly carry out his or her powers, duties and functions. Finally, Education Law § 655(12) provides HESC's President with the authority to perform such other acts as may be necessary or appropriate to carry out effectively the general objects and purposes of HESC.

Legislative objectives:

The Education Law was amended to add a new section 669-f to create the "New York State Masters-in-Education Teacher Incentive Scholarship Program" (Program). The objective of this Program is to incent New York's highest-achieving undergraduate students to pursue teaching as a profession.

Needs and benefits:

According to a recent Wall Street Journal article, many experts call teacher quality the most important school-based factor affecting learning. Studies underscore the impact of highly effective teachers and the need to put them in classrooms with struggling students to help them catch up. To improve teacher quality, New York State has significantly raised the bar by modifying the three required exams and adding the Educative Teacher Performance Assessment, known as edTPA, as part of the licensing requirement for all teachers. To supplement this effort, this Program aims to incentivize top undergraduate students to pursue their master's degree in New York State and teach in public elementary and secondary schools (including charter schools) across the State.

The Program provides for annual tuition awards to students enrolled full-time, at a New York State public institution of higher education, in a master's degree in education program leading to a career as a classroom teacher in elementary or secondary education. Eligible recipients may receive annual awards for not more than two academic years of full-time graduate study. The maximum amount of the award is equal to the annual tuition charged to New York State resident students attending a graduate program full-time at the State University of New York (SUNY). Payments will be made directly to schools on behalf of students upon certification of their successful completion of the academic term.

Students receiving a New York State Masters-in-Education Teacher Incentive Scholarship Program award must sign a service agreement and agree to teach in the classroom at a New York State public elementary or secondary school, which includes charter schools, for five years following completion of their master's degree. Recipients who do not fulfill their service obligation will have the value of their awards converted to a student loan and be responsible for interest.

Costs:

a. There are no application fees, processing fees, or other costs to the applicants of this Program.

b. It is anticipated that there will be no costs to the agency for the implementation of, or continuing compliance with this rule.

c. The maximum cost of the Program to the State is \$1.5 million in the first year, based upon budget estimates.

d. It is anticipated that there will be no costs to Local Governments for the implementation of, or continuing compliance with, this rule.

e. The source of the cost data in (c) above is derived from the New York State Division of the Budget.

Local government mandates:

No program, service, duty or responsibility will be imposed by this rule upon any county, city, town, village, school district, fire district or other special district.

Paperwork:

This proposal will require applicants to file an electronic application, together with supporting documentation, for eligibility. Each year recipients will file an electronic request for payment together with supporting documentation for up to two years of award payments. Recipients are required to sign a contract for services in exchange for an award. Recipients must submit annual status reports until a final disposition is reached in accordance with the written contract.

Duplication:

No relevant rules or other relevant requirements duplicating, overlapping, or conflicting with this rule were identified.

Alternatives:

The proposed regulation is the result of HESC's outreach efforts to the State Education Department, the State University of New York and the City University of New York with regard to this Program. Several alternatives were considered in the drafting of this regulation. For example, several alternatives were considered in defining terms used in the regulation as well as the administration of the Program. Given the statutory language as set forth in section 679-g of the Education Law, a "no action" alternative was not an option.

Federal standards:

This proposal does not exceed any minimum standards of the Federal Government and efforts were made to align it with similar federal subject areas as evidenced by the adoption of the federal undergraduate unsubsi-

dized Stafford loan rate in the event that the award is converted to a student loan.

Compliance schedule:

The agency will be able to comply with the regulation immediately upon its adoption.

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's ("HESC") Emergency Rule Making, seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse economic impact on small businesses or local governments. HESC finds that this rule will not impose any compliance requirement or adverse economic impact on small businesses or local governments. Rather, it has potential positive economic impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to students attending a New York State public institution of higher education who pursue their master's degree in an education program leading to a career as a teacher in public elementary or secondary education. Students will be rewarded for remaining and working in New York, which will provide an economic benefit to the State's small businesses and local governments as well.

Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making, seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse impact on rural areas. Rather, it has potential positive impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to students attending a New York State public institution of higher education who pursue their master's degree in an education program leading to a career as a teacher in public elementary or secondary education. Students will be rewarded for remaining and working in New York, which benefits rural areas around the State as well.

This agency finds that this rule will not impose any reporting, record keeping or other compliance requirements on public or private entities in rural areas.

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's Emergency Rule Making seeking to add a new section 2201.17 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have any negative impact on jobs or employment opportunities. Rather, it has potential positive economic impacts inasmuch as it implements a statutory student financial aid program that provides tuition benefits to students attending a New York State public institution of higher education who pursue their master's degree in an education program leading to a career as a teacher in public elementary or secondary education. Students will be rewarded for remaining and working in New York, which will benefit the State as well.

EMERGENCY RULE MAKING

NYS Part-Time Scholarship (PTS) Award Program

I.D. No. ESC-52-18-00003-E

Filing No. 1137

Filing Date: 2018-12-10

Effective Date: 2018-12-10

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Addition of section 2201.20 to Title 8 NYCRR.

Statutory authority: Education Law, sections 653, 655 and 667-c-1

Finding of necessity for emergency rule: Preservation of general welfare.

Specific reasons underlying the finding of necessity: This statement is being submitted pursuant to subdivision (6) of section 202 of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation's (HESC) Emergency Rule Making seek-

ing to add a new section 2201.20 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This regulation implements a statutory student financial aid program providing for awards to be made to students beginning with the 2017-18 academic year, which generally starts in August. Emergency adoption is necessary to avoid an adverse impact on the processing of awards to eligible scholarship applicants. The statute provides for tuition benefits to college-going students pursuing their undergraduate studies at a community college at the State University of New York or the City University of New York. Decisions on applications for student financial aid programs are customarily made prior to the beginning of the term. Therefore, it is critical that the terms of the Program as provided in the regulation be effective immediately in order for HESC to begin processing scholarship applications. To accomplish this mandate, the statute further provides for HESC to promulgate emergency regulations to implement the Program. For these reasons, compliance with section 202(1) of the State Administrative Procedure Act would be contrary to the public interest.

Subject: NYS Part-time Scholarship (PTS) Award Program.

Purpose: To implement the NYS Part-time Scholarship (PTS) Award Program.

Text of emergency rule: New section 2201.20 is added to Title 8 of the New York Code, Rules and Regulations to read as follows:

Section 2201.20 New York State Part-time Scholarship (PTS) Award Program.

(a) *Definitions. As used in Education Law, section 667-c-1 and this section, the following terms shall have the following meanings:*

(1) *Good academic standing shall mean having a minimum cumulative grade point average of 2.0.*

(2) *Interruption of study shall mean a temporary period of leave for a definitive length of time due to circumstances as determined by the corporation, including, but not limited to, death of a family member, medical leave, military service, service in the Peace Corps or parental leave.*

(3) *Program shall mean the New York State Part-time Scholarship (PTS) Award Program codified in Education Law, section 667-c-1.*

(b) *Eligibility. An applicant must satisfy the requirements of Education Law, section 667-c-1 and the general eligibility requirements provided in Education Law, section 661.*

(c) *Administration.*

(1) *Applicants for an award shall apply for program eligibility at such times, on forms and in a manner prescribed by the corporation. The corporation may require applicants to provide additional documentation evidencing eligibility.*

(2) *For purposes of determining priority, financial need shall be established based on the federal expected family contribution reflected on the applicant's federal student aid report, with the lowest expected family contribution evidencing the greatest financial need.*

(3) *Recipients of an award shall:*

(i) *request payment annually at such times, on forms and in a manner specified by the corporation;*

(ii) *provide any information necessary for the corporation to determine compliance with the program's requirements.*

(4) *The corporation shall maintain data relating to the performance of award recipients including, but not limited to, degree completion rates. All such data shall be deemed confidential and the corporation shall only disclose aggregate data unless otherwise required by law.*

(d) *Awards.*

(1) *The amount of the award shall be determined in accordance with section 667-c-1 of the education law.*

(2) *A recipient of an award must remain in good academic standing, as defined in this section, and remain continuously enrolled (excluding summer and winter terms) to be eligible for payment of future awards, excluding any allowable interruption of study.*

(3) *Disbursements shall be made each term to institutions, on behalf of recipients, within a reasonable time after verification and certification by the institution of the recipient's grade point average and other eligibility requirements.*

This notice is intended to serve only as a notice of emergency adoption. This agency intends to adopt this emergency rule as a permanent rule and will publish a notice of proposed rule making in the *State Register* at some future date. The emergency rule will expire March 9, 2019.

Text of rule and any required statements and analyses may be obtained from: Cheryl B. Fisher, NYS Higher Education Services Corporation, 99 Washington Avenue, Room 1325, Albany, New York 12255, (518) 474-5592, email: regcomments@hesc.ny.gov

Regulatory Impact Statement

Statutory authority:

The New York State Higher Education Services Corporation's (HESC) statutory authority to promulgate regulations and administer the NYS Part-time Scholarship (PTS) Award Program (Program) is codified within

Article 14 of the Education Law. In particular, Part KKK of Chapter 59 of the Laws of 2017 created the Program by adding a new section 667-c-1 to the Education Law. Subdivision 6 of section 667-c-1 of the Education Law authorizes HESC to promulgate emergency regulations for the purpose of administering this Program.

Pursuant to Education Law § 652(2), HESC was established for the purpose of improving the post-secondary educational opportunities of eligible students through the centralized administration of New York State financial aid programs and coordinating the State's administrative effort in student financial aid programs with those of other levels of government.

In addition, Education Law § 653(9) empowers HESC's Board of Trustees to perform such other acts as may be necessary or appropriate to carry out the objects and purposes of the corporation including the promulgation of rules and regulations.

HESC's President is authorized, under Education Law § 655(4), to propose rules and regulations, subject to approval by the Board of Trustees, governing, among other things, the application for and the granting and administration of student aid and loan programs, the repayment of loans or the guarantee of loans made by HESC, and administrative functions in support of state student aid programs. Also, consistent with Education Law § 655(9), HESC's President is authorized to receive assistance from any Division, Department or Agency of the State in order to properly carry out his or her powers, duties and functions. Finally, Education Law § 655(12) provides HESC's President with the authority to perform such other acts as may be necessary or appropriate to carry out effectively the general objects and purposes of HESC.

Legislative objectives:

The Education Law was amended to add a new section 667-c-1 to create the Program, which is aimed at reducing tuition expenses for students who attend a State University of New York (SUNY) or City University of New York (CUNY) community college.

Needs and benefits:

Many studies have underscored the necessity of a college degree in today's global economy. The Center on Education and the Workforce (CEW) at Georgetown University found that by 2020, 65 percent of all jobs will require some form of postsecondary education or training, compared to 59 percent of jobs in 2010. The CEW report finds that having a skilled workforce is critical if the United States is to "remain competitive, attract the right type of industry, and engage the right type of talent in a knowledge-based and innovative economy." At the current pace, the United States will fall short of its skilled workforce needs by 5 million workers. Furthermore, the disparity in earning potential between high school graduates and college graduates has never been greater, nor has the student loan debt – which stands at \$1.3 trillion – being carried by those who have pursued a postsecondary education.

Recognizing the growing need for workers with postsecondary education and training, the wage earnings benefits for those with training beyond a high school diploma, the rapidly rising college costs and mounting student loan debt, this Program awards students attending a public community college up to \$1,500 per semester to offset their tuition costs. To be eligible for a Program award, students must be enrolled in at least six but less than 12 credits per semester at a SUNY or CUNY community college and maintain a grade point average of 2.0. Payments will be made directly to colleges on behalf of students upon certification of their eligibility at the end of the academic term.

Costs:

a. The estimated cost to the agency for the implementation of, or continuing compliance with this rule is \$719,344.

b. The maximum cost of the program to the State is \$3,129,000 in the first year based upon budget estimates.

d. It is anticipated that there will be no costs to Local Governments for the implementation of, or continuing compliance with, this rule.

e. The source of the cost data in (b) above is derived from the New York State Division of the Budget.

Local government mandates:

No program, service, duty or responsibility will be imposed by this rule upon any county, city, town, village, school district, fire district or other special district.

Paperwork:

This proposal will require applicants to file an electronic application together with supporting documentation for each year they wish to receive an award up to and including two consecutive years of eligibility.

Duplication:

No relevant rules or other relevant requirements duplicating, overlapping, or conflicting with this rule were identified.

Alternatives:

The proposed regulation is the result of HESC's outreach efforts to financial aid professionals at SUNY and CUNY with regard to this Program. Several alternatives were considered in the drafting of this regulation, such as the definition of financial need. Given the statutory

language as set forth in section 667-c-1 of the Education Law, a “no action” alternative was not an option.

Federal standards:

This proposal does not exceed any minimum standards of the Federal Government.

Compliance schedule:

The agency will be able to comply with the regulation immediately upon its adoption.

Regulatory Flexibility Analysis

This statement is being submitted pursuant to subdivision (3) of section 202-b of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation’s (HESC) Emergency Rule Making, seeking to add a new section 2201.20 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

This rule implements a statutory student financial aid program that provides tuition benefits to college students who pursue their undergraduate studies at a community college at the State University of New York or City University of the State of New York. HESC finds that this rule will not impose any compliance requirement or adverse economic impact on small businesses or local governments. Rather, it has potential positive impacts by providing community college students with additional tuition award benefits. Providing students with direct financial assistance will encourage them to attend college in New York State, which will provide an economic benefit to the State’s small businesses and local governments as well.

Rural Area Flexibility Analysis

This statement is being submitted pursuant to subdivision (4) of section 202-bb of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation’s Emergency Rule Making, seeking to add a new section 2201.20 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not impose an adverse impact on rural areas. Rather, it has potential positive impacts by providing community college students with additional tuition award benefits. Providing students with direct financial assistance will encourage them to attend college in New York State, which benefits rural areas around the State as well.

This agency finds that this rule will not impose any reporting, record keeping or other compliance requirements on public or private entities in rural areas.

Job Impact Statement

This statement is being submitted pursuant to subdivision (2) of section 201-a of the State Administrative Procedure Act and in support of the New York State Higher Education Services Corporation’s Emergency Rule Making seeking to add a new section 2201.20 to Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York.

It is apparent from the nature and purpose of this rule that it will not have any negative impact on jobs or employment opportunities. Rather, it has potential positive impacts by providing community college students with additional tuition award benefits. Providing students with direct financial assistance will encourage them to attend college in New York State and possibly seek employment opportunities in the State as well, which will benefit the State.

Niagara Frontier Transportation Authority

NOTICE OF ADOPTION

Transportation Network Operators (“TNCs”) Providing Commercial Ground Transportation Services at NFTA Airports

I.D. No. NFT-37-18-00020-A

Filing No. 1130

Filing Date: 2018-12-05

Effective Date: 2018-12-26

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of Part 1160 of Title 21 NYCRR.

Statutory authority: Public Authorities Law, section 1299-e(5), (14); Vehicle and Traffic Law, section 1700(4)

Subject: Transportation Network Operators (“TNCs”) providing commercial ground transportation services at NFTA airports.

Purpose: To provide cohesive operating procedures and practices for TNCs operating at NFTA airports.

Text or summary was published in the September 12, 2018 issue of the Register, I.D. No. NFT-37-18-00020-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Mary E. Perla, Esq., Niagara Frontier Transportation Authority, 4200 Genesee Street, Buffalo, New York 14225, (716) 630-6034, email: Mary_Perla@nfta.com

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

On October 23, 2018, Rasier-NY, LLC, an affiliate of Uber Technologies, Inc. (“Rasier”) submitted comments to the Niagara Frontier Transportation Authority (“NFTA”) concerning the proposed amendment to 21 NYCRR Part 1160 (“Regulations”) carried out through the rulemaking process. The proposed amendment relates to Transportation Network Company (“TNC”) operators who provide commercial ground transportation services at the NFTA airports (“Airports”). The Regulations as proposed have been promulgated by the NFTA and are contained in NFT-37-18-00020-P as published in the State Register. A summary of Rasier’s comments and the NFTA’s analysis of the same follow.

Section 1160.22(b) Operations

A. Section 1160.22(b)(5)

Summary of Comment: The proposed Regulations under Section 1160.22(b)(5) require that a “TNC Operator must provide the NFTA with the unique identifier for each TNC Driver that operates on the Airports.” Rasier notes that the proposed Regulations codify the existing framework as described in the amendment to an agreement between Rasier and the NFTA dated June 28, 2018 (“Agreement”) and Rasier supports that effort. Moreover, Rasier recognizes that by using the state-assigned numbers for TNC Drivers would satisfy the NFTA’s needs while also avoiding administrative burdens as well as potential confusion with new numbers.

Response: The NFTA recognizes that while Rasier appears to support this section of the Regulations generally, Rasier appears to not support the creation of an additional identifier for TNC Drivers and recommends the use of the state-assigned number or license plate. Nothing in the Regulations necessarily requires the assignment of a new identifying number. Rather, the Regulations require that each TNC Operator provide the NFTA with a unique identifier for each TNC Driver operating on the Airports. The use of the TNC Driver’s license plate, even just the four digits of the license plate, would not be sufficiently unique. Additionally, use of the license plate in any form would be problematic because another driver could use the same car with the same license plate. The point of the identifying number is to ensure that it is exclusive to a single TNC Driver. Doing so ensures compliance with the Regulations as well as the safety and security of those traveling to and from the Airport. While the NFTA does not want to create administrative burdens or confusion, relying on license plate numbers in any form would not be compliant with the Regulations. Since the unique identifier is to be used for the NFTA’s purposes, there is no genuine risk of confusion. Furthermore, there is no risk to privacy or proprietary information by using a unique identifier that is separate from a driver’s license plate number. This is all the more because the Regulations are consistent with the Agreement Rasier has been operating under since June 29, 2018 (“Agreement”). Having considered Rasier’s comments, the Regulations are not overly burdensome or unworkable. The NFTA determines that no revisions are necessary to this section of the Regulations.

B. Section 1160.22(b)(7)

Summary of Comment: The proposed Regulations under Section 1160.22(b)(7) require TNC vehicles’ drop-off and pick-up trips to be tracked. Rasier notes that NFTA’s interest in providing real-time data is not unusual and the technological solutions described in this section of the Regulations have existed for some time. Though, Rasier asks the NFTA to adopt broader “agreed upon field” language for the ultimate reporting Requirements in place of the tracking triggers that are described in this section of the Regulations. Rasier contends that the “agreed upon field” language as it proposes would allow for greater flexibility to establish and periodically adjust reporting requirements.

Response: As a preliminary matter, Rasier requests the NFTA use broader “agreed upon field” language, but fails to provide any proposed language. Moreover, Rasier does not explain why broader language would be necessary. All Rasier notes is that broader language would allow for greater flexibility, but Rasier does not articulate how or why greater flex-

ibility is beneficial. All Raiser notes is that broader language would allow for greater flexibility and simply suggests that future changes in technology merit such flexibility in the proposed Regulations.

Raiser acknowledges that the NFTA's tracking as provided for in this section of the Regulations is not unusual. Indeed, the purpose of the tracking is to ensure compliance with the Regulations. For instance, tracking is necessary to ensure a TNC Driver is not improperly seeking rides by circling the Airport or operating in "black out" zones. The tracking triggers provided for in this section of the Regulations are vital to safeguarding the Airport and carrying out the purposes of the Regulations, which allows for uniformity and fairness among all TNC Operators.

Concerning the comment about flexibility, any changes in technology, to the extent those changes would be relevant to this section of the Regulations, can be evaluated at such an appropriate time. The contention raised by Raiser is premature and is more appropriate to be addressed if and when any such technological changes occur. The NFTA finds no need to adjust the benchmarks for reporting and finds that more flexibility would hinder the purpose and intent of the Regulations. Requiring specific information and set points in time ensures compliance with the Regulations.

Having considered Raiser's comments, the Regulations are not overly burdensome or unworkable. This is all the more because the Regulations are consistent with the Agreement Raiser has been operating under since June 29, 2018. The NFTA determines that no revisions are necessary to this section of the Regulations.

Section 1160.22(c) Reporting and Recordkeeping

Summary of Comment: The proposed Regulations under Section 1160.22(c) require monthly reporting, detailed books and records, the TNC to allow the NFTA to audit and examine its books and records related to its operations at the Airport, and insurance. Raiser notes that the NFTA's record keeping requirements are robust and are workable with Raiser's systems. However, Raiser contends that the specifics of this section of the Regulations hinder the flexibility and therefore asks the NFTA to adopt broader "agreed upon field" language for this section.

Response: As a preliminary matter, Raiser requests the NFTA use broader "agreed upon field" language, but fails to provide any proposed language. Moreover, Raiser does not explain why broader language would be necessary. All Raiser notes is that broader language would allow for greater flexibility and simply suggests that future changes in technology merit such flexibility in the proposed Regulations.

The recordkeeping requirements of this section of the Regulation are necessary for carrying out the Regulations and ensuring compliance. Raiser admits that the requirements are workable. Any changes in technology, to the extent those changes would be relevant to this section of the Regulations, can be evaluated at such an appropriate time. The contention raised by Raiser is premature and is more appropriate to be addressed if and when any such technological changes occur.

Having considered Raiser's comments, the Regulations are not overly burdensome or unworkable. This is all the more because the Regulations are consistent with the Agreement Raiser has been operating under since June 29, 2018. The NFTA determines that no revisions are necessary to this section of the Regulations.

Public Service Commission

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Standby Service Rates and Buyback Service Rates

I.D. No. PSC-52-18-00006-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering the recommendations modifying and improving Standby Service Rates and Buyback Service Rates described in the December 12, 2018 Staff Whitepaper.

Statutory authority: Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2) and (5)

Subject: Standby Service Rates and Buyback Service Rates.

Purpose: To ensure just and reasonable rates, including compensation, for distributed energy resources.

Substance of proposed rule: The Public Service Commission is considering the recommendations in the Staff Whitepaper on Standby and Buyback Service Rate Design and Residential Voluntary Demand Rates (the

Whitepaper), filed by the Department of Public Service Staff (Staff) on December 12, 2018.

The Whitepaper recommends reforms to Standby and Buyback Rates including: (a) the development of voluntary, opt-in Standby Rates for small customers at all utilities; (b) expansion of eligibility for opt-in Standby Rates to customers without onsite generation; (c) utility performance of Allocated Embedded Cost of Service studies to update Standby Rate elements; (d) increased granularity of As-Used Demand Charges in Standby Rates; (e) modification of the Reliability Credit to avoid double compensation; (f) expansion of the campus multi-party offset tariff option; (g) addition of Customer and Contract Demand Charges to Buyback Rates at utilities that don't currently have them; (h) increased consistency of Buyback Rates across utilities; and (i) adoption of a proposed modification to ConEd's Buyback Contract Demand Charge.

The full text of the Whitepaper and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(15-E-0751SP18)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Transfer of Certain Street Lighting Facilities

I.D. No. PSC-52-18-00007-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Public Service Commission is considering a petition filed by Rochester Gas and Electric Corporation (RG&E) for authority to transfer its street lighting facilities located in the City of Canandaigua, to the City of Canandaigua.

Statutory authority: Public Service Law, section 70

Subject: Transfer of certain street lighting facilities.

Purpose: To consider the transfer of certain street lighting facilities located in the City of Canandaigua.

Substance of proposed rule: The Public Service Commission (Commission) is considering a petition filed on October 23, 2018 by Rochester Gas and Electric Corporation (RG&E), requesting authority to sell certain street lighting facilities located in the City of Canandaigua, New York to the City of Canandaigua.

The original total cost of the lighting facilities is approximately \$632,778 and the netbook value is \$95,359, based on plant records as of January 31, 2018. The total purchase price for the facilities is approximately \$196,134.

The full text of the petition and the full record of the proceeding may be viewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0668SP1)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Minor Rate Filing

I.D. No. PSC-52-18-00008-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering proposed tariff amendments filed by Hamilton Municipal Utilities Commission, to P.S.C. No. 1, to increase its annual electric revenues by approximately \$213,484 or 7.0%.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Minor rate filing.

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Substance of proposed rule: The Commission is considering a proposal, filed by Hamilton Municipal Utilities Commission (Hamilton) on November 20, 2018, to amend its electric tariff, P.S.C. No. 1 — Electricity, to increase its total annual electric revenues by approximately \$213,484, or 7.0%.

Under the proposal, the monthly bill of a residential customer using approximately 2,058 kWh of electricity per month during the winter would increase from \$102.59 to \$106.01 or 6.6%. For a small commercial customer with an annual average usage of 1,624 kWh per month the monthly bill would increase from \$87.19 to \$93.65 or 7.4%. Hamilton states the need for the increase is driven by increased labor costs, health insurance, and depreciation expense on new investments, since rates were last set in 2013.

In addition, Hamilton proposes a Revenue Decoupling Mechanism, which would reconcile actual billed delivery revenues to delivery revenue targets that are established by the Commission in this rate proceeding. The proposed amendments have an effective date of June 1, 2019.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0722SP1)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Compensation of Distributed Energy Resources

I.D. No. PSC-52-18-00009-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering the recommendations and options for Capacity Value Compensation under the Value Stack discussed in the December 14, 2018 Staff Whitepaper.

Statutory authority: Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2) and (5)

Subject: Compensation of distributed energy resources.

Purpose: To ensure just and reasonable rates, including compensation, for distributed energy resources.

Substance of proposed rule: The Public Service Commission is considering the recommendations in the Staff Whitepaper Regarding Capacity Value Compensation (the Whitepaper), filed by the Department of Public Service Staff (Staff) on December 14, 2018.

The Whitepaper recommends modifications to the calculation of the Capacity Value portion of Value Stack compensation. The Value Stack is used to calculate compensation to eligible distributed energy resources (DERs) and is based on the calculable benefits the DERs create. The Capacity Value compensates DERs for the benefit they create by offsetting the need for utility capacity purchases.

The full text of the Whitepaper and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(15-E-0751SP20)

**PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED**

Installed Reserve Margin

I.D. No. PSC-52-18-00010-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering an Installed Reserve Margin of 17.0% established by the New York State Reliability Council for the Capability Year beginning May 1, 2019, and ending April 30, 2020.

Statutory authority: Public Service Law, sections 4(1), 5(2), 65(1), 66(1), (2), (4) and (5)

Subject: Installed Reserve Margin.

Purpose: To ensure adequate levels of Installed Capacity.

Substance of proposed rule: The Public Service Commission (Commission) is considering an Installed Reserve Margin (IRM) of 17.0% established by the New York State Reliability Council's Executive Committee on December 7, 2018, for the Capability Year beginning May 1, 2019, and ending April 30, 2020.

The IRM is based on the Technical Study Report dated December 11, 2018 and entitled "New York Control Area Installed Capacity Requirement for the Period May 2019 to April 2020." (Report).

The full text of the report is available on the internet at: http://www.nysrc.org/NYSRC_NYCA_ICR_Reports.html and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the proposed action, and may resolve other related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(07-E-0088SP13)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

LED Street Lighting

I.D. No. PSC-52-18-00011-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering a proposal filed by Central Hudson Gas & Electric Corporation (Central Hudson) to modify its LED lighting options in its area lighting and street lighting service classifications in P.S.C. No. 15 — Electricity.

Statutory authority: Public Service Law, section 66(12)(b)

Subject: LED Street Lighting.

Purpose: To provide customers with more efficient, lower cost LED street lighting options.

Substance of proposed rule: The Public Service Commission (Commission) is considering a proposal filed by Central Hudson Gas & Electric Corporation (Central Hudson or the Company) to modify its electric tariff schedule, P.S.C. No. 15.

Central Hudson proposes to provide more comprehensive Light Emitting Diode (LED) options under Service Classification (SC) No. 5 – Area Lighting Service and under Rate A (Company owned and maintained) of SC No. 8 – Public Street and Highway Lighting.

The Company proposes that all SC No. 5 and SC No. 8 non-LED fixture offerings be supplemented with an LED equivalent fixture option where available including cobra head, specialty, post top, and decorative fixtures. The non-LED fixtures will be classified as non-standard and not replaced upon failure. The Company states the enhanced tariff options will satisfy municipal, residential and non-residential customer demand for higher efficiency, lower cost LED lighting. The proposed amendments have an effective date of April 1, 2019.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-E-0732SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Minor Rate Filing

I.D. No. PSC-52-18-00012-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering proposed tariff amendments, filed by Valley Energy, Inc., to P.S.C. No. 1 — Gas, to increase its total annual gas revenues by approximately \$300,000, or 18.9%.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Minor rate filing.

Purpose: To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.

Substance of proposed rule: The Commission is considering a proposal, filed by Valley Energy Inc. (Valley Energy) on November 28, 2018, to amend its gas tariff, P.S.C. No. 1 – Gas, to increase its total annual gas revenues by approximately \$300,000, or 18.9%.

Under the proposal, the monthly service charge for Service Classification (S.C.) No. 1 – Residential, Commercial and Industrial would increase from \$7.62 to \$10.18 per month. Valley Energy proposes provisions and rates designed to increase the monthly bill of a S.C. No. 1 customer using approximately 82 ccf of gas per month from \$26.72 to \$35.71 or approximately 33.6% for Distribution; and 21.1% on a total bill percentage basis. Valley Energy states the need for the increase is driven by the increased operating and maintenance costs, additional regulatory requirements, and increased staff needs since rates were last set in 2005. The proposed amendments have an effective date of April 1, 2019.

The full text of the proposal and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

(18-G-0730SP1)

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Compensation of Distributed Energy Resources

I.D. No. PSC-52-18-00013-P

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following proposed rule:

Proposed Action: The Commission is considering the recommendations and options for future Value Stack compensation discussed in the December 12, 2018 Staff Whitepaper.

Statutory authority: Public Service Law, sections 5(1)(b), (2), 65(1), (2), (3), 66(2) and (5)

Subject: Compensation of distributed energy resources.

Purpose: To ensure just and reasonable rates, including compensation, for distributed energy resources.

Substance of proposed rule: The Public Service Commission is considering the recommendations in the Staff Whitepaper Regarding Future Value Stack Compensation (the Whitepaper), filed by the Department of Public Service Staff (Staff) on December 12, 2018.

The Whitepaper recommends modifications to the calculation of the Demand Reduction Value portion of Value Stack compensation, as well as changes to the Market Transition Credit (MTC) portion of Value Stack compensation in several utility service territories. The Value Stack is used to calculate compensation to eligible distributed energy resources (DERs) and is based on the calculable benefits the DERs create, including distribution system values such as the Demand Reduction Value. The MTC is an adder to the Value Stack for eligible DERs to support the transition from net metering to the Value Stack and recognize that some benefits are not yet included in the Value Stack.

The full text of the Whitepaper and the full record of the proceeding may be reviewed online at the Department of Public Service web page: www.dps.ny.gov. The Commission may adopt, reject, or modify, in whole or in part, the action proposed and may resolve related matters.

Text of proposed rule and any required statements and analyses may be obtained by filing a Document Request Form (F-96) located on our website <http://www.dps.ny.gov/f96dir.htm>. For questions, contact: John Pitucci, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 486-2655, email: john.pitucci@dps.ny.gov

Data, views or arguments may be submitted to: Kathleen H. Burgess, Secretary, Public Service Commission, 3 Empire State Plaza, Albany, New York 12223-1350, (518) 474-6530, email: secretary@dps.ny.gov

Public comment will be received until: 60 days after publication of this notice.

Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

Statements and analyses are not submitted with this notice because the proposed rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.
(15-E-0751SP19)

Department of State

NOTICE OF ADOPTION

New York State Uniform Fire Prevention and Building Code (the Uniform Code)

I.D. No. DOS-36-18-00008-A

Filing No. 1138

Filing Date: 2018-12-11

Effective Date: 2019-01-01

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of section 1219.1; and addition of Part 1229 to Title 19 NYCRR.

Statutory authority: Executive Law, sections 377 and 378

Subject: New York State Uniform Fire Prevention and Building Code (the Uniform Code).

Purpose: To amend the existing Uniform Code to add provisions for diaper changing stations in certain buildings.

Text or summary was published in the September 5, 2018 issue of the Register, I.D. No. DOS-36-18-00008-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Gerard Hathaway, Department of State, 99 Washington Avenue, Suite 1160, Albany, NY 12231, (518) 474-4073, email: Gerard.Hathaway@dos.ny.gov

Additional matter required by statute: 1. EFFECTIVE DATE

Part LL of Chapter 58 of the Laws of 2018 adds subdivisions sixteen and seventeen to section 378 of the Executive Law, effective January 1, 2019. Part LL of Chapter 58 of the Laws of 2018 provides that the addition, amendment, and/or repeal of any rules or regulations by the Secretary of State and/or by the State Fire Prevention and Building Code Council (the Code Council) necessary for the implementation of said subdivisions sixteen and seventeen on the January 1, 2019 effective date are authorized and directed to be made and completed on or before such effective date.

This rule amends the New York State Uniform Fire Prevention and Building Code (the Uniform Code) to include provisions addressing subdivisions sixteen and seventeen of section 378 of the Executive Law.

Section 378 (15) of the Executive Law provides that, except as otherwise provided by statute, no change to the Uniform Code shall become effective until at least 90 days after the date on which notice of such change has been published in the State Register, unless the Code Council finds that an earlier effective date is necessary to protect health, safety, and security.

This Notice of Adoption will be published prior to January 1, 2019. However, January 1, 2019 will be less than 90 days after the date of publication of this Notice of Adoption.

When the Code Council adopted this rule, the Code Council found, pursuant to section 378 (15) of the Executive Law, that making the changes to the Uniform Code made by this rule effective on January 1, 2019, rather than 90 days after publication of the Notice of Adoption of this rule, is necessary to protect health, safety, and security. (Note: Effective January 1, 2019, section 378 [15] of the Executive Law will be renumbered as section 378 [18] of the Executive Law).

Therefore, this rule will become effective on January 1, 2019.

2. APPROVAL BY SECRETARY OF STATE

Pursuant to section 377 (1) of the Executive Law, the Secretary of State has reviewed the amendments to the New York State Uniform Fire Prevention and Building Code (the Uniform Code) made by this rule to insure that such amendments effectuate the purposes of Article 18 of the Executive Law; the Secretary of State is satisfied that the amendments to the Uniform Code made by this rule will effectuate such purposes; and the Secretary of State has approved the amendments to the Uniform Code made by this rule.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

This rule amends the New York State Uniform Fire Prevention and Building Code (the Uniform Code) by adding new provisions requiring the installation of diaper changing stations in (1) all newly constructed buildings that have one or more areas classified as Assembly Group A occupancies or Mercantile Group M occupancies and (2) all existing buildings that have one or more areas classified as Assembly Group A occupancies or Mercantile Group M occupancies and undergo a substantial renovation.

The Notice of Proposed Rule Making was published in the State Register on September 5, 2018. A public hearing was held on November 8, 2018. The public comment period ended on November 13, 2018. The Department of State (DOS) received the comments described below. The following assessment contains a summary of the comments submitted and an analysis of any issues raised by such comments.

No changes to the proposed rule have been made because of the public comments described below.

COMMENT 1: The commenter notes that this rule will (1) define the type of “substantial renovation” that will trigger the requirement to install changing stations in an existing building, and (2) require changing stations to comply with ICC A117.1-09. The commenter asks if the rule’s requirements will “correlate with the accessibility provisions and exceptions” in the International Existing Building Code (the IIBC).

The commenter suggests that the requirements for providing diaper changing stations in existing buildings should be “relative to the requirements for providing handicap accessible toilet and bathing facilities, in accordance with the IIBC. . . .”

The commenter also asks if the a “substantial renovation” as defined in the rule will be an Alteration – Level 3 under the IIBC, and “how will this work with the Prescriptive and Performance Compliance Methods?”

RESPONSE TO COMMENT 1: This rule will implement the provisions of subdivisions sixteen and seventeen of section 378 of the Executive Law, as added by Chapter 58 of the Laws of 2018. The requirements imposed by this rule are in addition to the requirements of the IIBC, and the requirements imposed by the IIBC are in addition to the requirements imposed by this rule. The requirements imposed by this rule are not required to “correlate with” the accessibility provisions and exceptions in the IIBC.

This rule defines “substantial renovation” as work to an existing building that falls in any one or more of the following five categories:

(1) construction or installation of a new public family or assisted-use toilet room or a new unisex public toilet room;

(2) construction or installation of a new male public toilet room and a new female public toilet room on the same floor level;

(3) a level 2 alteration of an existing public family or assisted-use toilet room, an existing unisex public toilet room, or an existing male public toilet room and an existing female public toilet room that are both on the same floor level;

(4) a level 3 alteration of an existing building where the work area includes an existing public family or assisted-use toilet room, an existing unisex public toilet room, or an existing male public toilet room and an existing female public toilet room that are both on the same floor level; and

(5) any other work that is a level 2 or level 3 alteration of an existing building and has a work area that includes at least 50 percent of the area of an Assembly Group A occupancy or Mercantile Group M occupancy.

This rule provides that an existing building that undergoes any such substantial renovation must be provided with safe, sanitary, and convenient diaper changing station(s). While this rule does provide that diaper changing stations installed pursuant to this rule must comply with the accessibility requirements specified in ICC A117.1, the fact that certain work may be subject to an exception to the IIBC’s accessibility requirements does not mean that the same work will be exempt from the requirements imposed by this rule. An existing building that undergoes a substantial renovation must be provided with diaper changing stations without regard to whether the substantial renovation is or is not subject to the IIBC’s provisions relating to the provision of handicap accessible toilet and bathing facilities, and without regard to whether the substantial renovation is or is not subject to any exception to the IIBC’s provisions relating to the provision of handicap accessible toilet and bathing facilities.

DOS does not agree that this rule’s requirements for providing diaper changing stations in existing buildings should be “relative to the requirements for providing handicap accessible toilet and bathing facilities, in accordance with the IIBC.”

However, this rule does have a feature that is similar to the “technically

feasible” provisions of IBC Section 705. Specifically, in the case of a substantial renovation that falls in work in category “(5)” above, diaper changing stations must be provided only where the Assembly Group A occupancy or Mercantile Group M occupancy is served by existing public toilet room(s), and a diaper changing station can be provided in such existing public toilet room(s) without having to reconfigure the space therein or increase the floor area thereof.

In response to the commenter’s final question, the term “substantial renovation” as defined in this rule includes the five categories of work described above, not all of which will be an “Alteration – Level 3” under the IBC.

COMMENT 2: The commenter expresses support of this rule. Specifically, the commenter states support of requiring the installation of diaper changing stations, requiring signage to indicate the location of the diaper changing station, and requiring equal availability for both male and female occupants. The commenter also suggests adding provisions regarding the frequency with which diaper changing station should be cleaned.

RESPONSE TO COMMENT 2: DOS appreciates the support expressed for this rule. Regarding the suggestion that the rule specify the frequency with which stations must be cleaned, DOS points out that this rule provides, in new Section 1229-2.7 (Maintenance), that diaper changing stations installed in any building must be “maintained in a safe, sanitary, and working condition.” DOS believes that this provision, which will require changing stations be maintained in a sanitary condition, is more practicable than a provision specifying the frequency with which the changing stations must be cleaned.

COMMENT 3: The commenter states that during an inspection of a previously installed diaper changing station, he observed that the changing station was left in the lowered position, which could cause an impediment to access to the rear grab rail. The commenter states that he understood that changing stations could be provided with “loaded hinges” to allow them to return to the wall, but that he was concerned that in the future there will be more and more situations in which the tables are left in the lowered position. The commenter asks if a building owner would be in violation of the “clear access” requirement if a changing station were left in the lowered position, or if the ability to move the table to the closed position would mean that there was no violation. The commenter also expresses concern that placing a changing station at the maximum height permitted by the applicable accessibility provisions (34 inches) may interfere with rear grab bars, which must be located at a height of 33 to 36 inches.

RESPONSE TO COMMENT 3: Regarding the commenter’s statement about the placement of the diaper changing station in conflict with other accessible features, DOS notes that building owners and local code enforcement officers work together to make buildings accessible. Nothing currently in the Uniform Code or this rule prohibits diaper changing stations from being in accessible locations if the clearances and areas required by the Uniform Code can be satisfied.

Regarding the commenter’s question about situations in which the tables are left in the lowered position, DOS points out that this rule provides, in new Section 1229-2.7 (Maintenance), that diaper changing stations installed in any building must be “maintained in a safe, sanitary, and working condition.” This includes the operable parts of a diaper changing station. Therefore, a diaper changing station that is designed to fold out of the clear access area would need to be fully operational at all times. As long as the diaper changing station is maintained in a correctly functioning condition, a building owner is not responsible if a user fails to return a diaper changing station to its closed position.

COMMENT 4: DOS received a written comment from a town code enforcement officer. The commenter points out that a new convenience store in a service station will be required by the 2015 IBC to have restrooms for employees and/or customers, and the commenter expresses concern that the extra space that will be required in the restrooms to accommodate diaper changing stations will decrease sales space and will have a negative impact on small businesses in New York State. The commenter also expresses concern that owners of existing buildings who wish to perform a “substantial renovation” may simply fail to apply for a permit to avoid the need to install the changing stations that would be required by this rule. The commenter suggests adding exceptions to this rule. The commenter argues that “at the very least” the rule should set a minimum floor area that a service station retail store must exceed before it would be required to install changing stations.

RESPONSE TO COMMENT 4: The legislation to be implemented by this rule provides that the Uniform Code must include provisions requiring diaper changing stations available for use by both male and female occupants in all newly constructed buildings in the state that have one or more areas classified as Assembly Group A occupancies or mercantile group M occupancies. DOS believes that providing exceptions for any newly constructed building would not satisfy this statutory mandate.

The legislation to be implemented by this rule also provides that the

Uniform Code must include provisions requiring diaper changing stations available for use by both male and female occupants in all existing buildings in the state that have one or more areas classified as Assembly Group A occupancies or Mercantile Group M occupancies and that undergo a substantial renovation. The legislation provides that the rule shall prescribe the type of renovation that constitutes a “substantial renovation” for the purpose of triggering the requirement in existing buildings. As discussed above in the Response to Comment 1, this rule does define the term “substantial renovation.” That definition includes five categories of work, the first four of which involve the construction or installation of new public toilet rooms or a “level 2” alteration of existing public toilet rooms. The fifth category does not involve the construction or installation of a new public toilet room or a level 2 alteration of an existing public toilet room, but does require a “level 3” alteration of the existing building and, even then, does not require installation of changing stations unless they can be installed in existing public toilet room(s) without having to reconfigure the space therein or increase the floor area thereof. DOS believes that the definition of “substantial renovation” in this rule will minimize the impact this rule will have on existing buildings, while still achieving the legislative purpose of providing diaper changing stations that can be used by both male and female occupants.

Workers’ Compensation Board

NOTICE OF ADOPTION

Fees for Medical Testimony

I.D. No. WCB-23-18-00004-A

Filing No. 1140

Filing Date: 2018-12-11

Effective Date: 2019-04-01

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of sections 301.1, 301.3; repeal of sections 301.2, 301.4, 301.5 and 301.6 of Title 12 NYCRR.

Statutory authority: Workers’ Compensation Law, sections 117 and 141

Subject: Fees for Medical Testimony.

Purpose: To increase fees for medical testimony and eliminate fee reductions for multiple appearances.

Text or summary was published in the June 6, 2018 issue of the Register, I.D. No. WCB-23-18-00004-P.

Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Heather MacMaster, Workers’ Compensation Board, 328 State Street, Office of General Counsel, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The Chair and Board received one written comment from a physician.

The comment suggested that the rules for the payment of testimony fees should be clarified in the regulation. It is the Board’s policy that “within ten days of the completion of a witness’s deposition, the party responsible for such witness’s fees...shall remit payment of the fee to the witness” (Matter of Kinray Inc., 2018 NY Wrk Comp G1625504). If the witness believes that a fee in excess of that set in Part 301 is warranted, they may submit a request, within ten days of the deposition, to the Workers’ Compensation Law Judge, who “will review such a request and issue a subsequent decision concerning whether an additional fee is warranted” (Id.). As the Board has a clear procedure for the payment of testimony fees, no change was made.

The comment also suggested that physicians receive half of the provider fee if a deposition is cancelled without at least forty-eight hours of notice. As there is no provision in the Workers’ Compensation Law allowing for payment for cancelled depositions, no change was made.

NOTICE OF ADOPTION

Medical Fee Schedules

I.D. No. WCB-23-18-00005-A

Filing No. 1141

Filing Date: 2018-12-11

Effective Date: 2019-04-01

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:

Action taken: Amendment of sections 329-1.3, 333.2, 343.2 and 348.2 of Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, sections 13, 117 and 141

Subject: Medical Fee Schedules.

Purpose: Update the fees paid for medical treatment in workers' compensation claims.

Text of final rule: Section 329-1.3 of Title 12 NYCRR is hereby amended to read as follows:

(a) The medical fee schedule for medical, physical therapy and occupational therapy services shall be the Official New York Workers' Compensation Medical Fee Schedule, updated [October] December [3]26, 201[2]8, prepared by the board and published by OptumInsight, which is herein incorporated by reference.

(b) The Official New York Workers' Compensation Medical Fee Schedule incorporated by reference herein may be examined at the office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the board. Copies may be purchased from OptumInsight, by writing to Official New York Workers' Compensation Fee Schedule, PO Box 88050, Chicago, IL 60680-9920; by telephone at 1-800-464-3649, option 1; or online at [www.optum360coding.com/keyword New York](http://www.optum360coding.com/keyword/New%20York) or <https://www.optum360coding.com/Product/40508/>.

Section 333.2 of Title 12 NYCRR is hereby amended to read as follows:

(a) The psychology fee schedule for psychology services shall be the Official New York Workers' Compensation Psychology Fee Schedule, updated [October] December [3]26, 201[2]8, prepared by the board and published by OptumInsight, which is herein incorporated by reference.

(b) The Official New York Workers' Compensation Psychology Fee Schedule incorporated by reference herein may be examined at the office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the board. Copies may be purchased from OptumInsight, by writing to Official New York Workers' Compensation Fee Schedule, PO Box 88050, Chicago, IL 60680-9920; by telephone at 1-800-464-3649, option 1; or online at [www.optum360coding.com/keyword New York](http://www.optum360coding.com/keyword/New%20York) or <https://www.optum360coding.com/Product/40508/>.

Section 343.2 of Title 12 NYCRR is hereby amended to read as follows:

(a) The podiatry fee schedule for podiatry services shall be the Official New York Workers' Compensation Podiatry Fee Schedule, updated [October] December [3]26, 201[2]8, prepared by the board and published by OptumInsight, which is herein incorporated by reference.

(b) The Official New York Workers' Compensation Podiatry Fee Schedule incorporated by reference herein may be examined at the office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the board. Copies may be purchased from OptumInsight, by writing to Official New York Workers' Compensation Fee Schedule, PO Box 88050, Chicago, IL 60680-9920; by telephone at 1-800-464-3649, option 1; or online at [www.optum360coding.com/keyword New York](http://www.optum360coding.com/keyword/New%20York) or <https://www.optum360coding.com/Product/40508/>.

Section 348.2 of Title 12 NYCRR is hereby amended to read as follows:

(a) The chiropractic fee schedule for chiropractic services shall be the Official New York Workers' Compensation Chiropractic Fee Schedule, updated [October] December [3]26, 201[2]8, prepared by the board and published by OptumInsight, which is herein incorporated by reference.

(b) The Official New York Workers' Compensation Chiropractic Fee Schedule incorporated by reference herein may be examined at the office of the Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the board. Copies may be purchased from OptumInsight, by writing to Official New York Workers' Compensation Fee Schedule, PO Box 88050, Chicago, IL 60680-9920; by

telephone at 1-800-464-3649, option 1; or online at [www.optum360coding.com/keyword New York](http://www.optum360coding.com/keyword/New%20York) or <https://www.optum360coding.com/Product/40508/>.

Final rule as compared with last published rule: Nonsubstantive changes were made in sections 329-1.3, 333.2, 343.2 and 348.2.

Revised rule making(s) were previously published in the State Register on October 3, 2018.

Text of rule and any required statements and analyses may be obtained from: Heather MacMaster, Workers' Compensation Board, 328 State Street, Schenectady, NY 12305, (518) 486-9564, email: regulations@wcb.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement

A revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement are not required because the changes made to the last published rule do not necessitate revision to the previously published document. These changes do not affect the meaning of any statements in the document.

Initial Review of Rule

As a rule that requires a RFA, RAFA or JIS, this rule will be initially reviewed in the calendar year 2021, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The Board received approximately 282 unique formal written comments, approximately 226 form letters, and approximately 100 postcards. Requests for information have been responded to individually and are not summarized here. The comments received are summarized below.

Medical Fee Schedule

The Board received a comment requesting Ground Rule 10 be amended to permit a 50% testimony fee if a deposition is cancelled with less than 48 hours' notice, and another comment requesting chiropractors be paid for medical testimony at the same rate as physicians. The Board does not have authority to impose fees on carriers when no services have been rendered, and increased testimony fees for all providers by 50 dollars, so no change has been made in response to these comments.

The Board received comments about Ground Rule 11, opining that supervision of a PA or NP should be paid at 100%, not 80%. A physician is not actually providing the treatment, and because physicians are no longer required to be on-site when treatment is rendered, no change has been made. It is believed that 80% reimbursement conforms to the method of reimbursement for other types of insurance.

The Board received comments highlighting a typographical error in Physical Medicine Ground Rule 11, where CPT code 97101 should say 97010, and the Board has corrected this error.

An attorney group commented with concern about fees applying to out of state providers. The Board did not make a change to this section in the revised proposal and did not receive a comment about this in the first proposal. The comment cited a 1993 case *Conn v. Kotasek* (198 AD2d 600) to support its contention that the Medical Fee Schedule does not apply to out of state treatment. In that case, the Appellate Division affirmed the Board's finding that the person injured in New York but living in Florida was entitled to medical treatment in Florida and the medical provider could be paid using the Florida fee schedule. The proposal does not change this, but addresses fees that may be charged for out of state treatment when the injured worker lives in New York State, so no change has been made.

The Board received several comments concerning the changes to Ground Rule 12 to conform this Ground Rule to the requirements contained in the Board's Non-Acute Pain Medical Treatment Guidelines (NAP MTG). These commenters express concern about the sensitivity of immunoassays used for drug screening; about the urine drug test rules in the proposal generally; expressing disagreement with the limitation on confirmatory testing when there are red flags. As the in-office screening and circumstances available for confirmatory lab testing mirror the testing requirements and protocols set forth in the Board's NAP MTG, which sets forth the treatment standard for managing non-acute pain, the rules governing payment for this type of screening must conform to the NAP MTG. It is noted that contrary to some comments received, confirmatory lab testing is always available when the in-office screening reveals an unexplained positive or negative test and that immunoassay tests are available to screen for fentanyl. Finally, several commenters want the fees for such testing to increase. As these fees reflect substantial increases over Medicare Fees for the same tests, no changes have been made in response to these comments.

The Board received a comment disagreeing with removing "at least" from Ground Rule 12, citing no-fault concerns. To the extent that commenters believe that the Medical Fee Schedule ("MFS") proposal impacts No-Fault, those comments should be directed to DFS as to their application to the No-Fault system. The Board does not have jurisdiction over

No-Fault and may not make statements regarding applicability of any of its rules to the No-Fault system. No change has been made in response to this comment.

Two comments highlighted a typographical error in Physical Medicine Ground Rule 11 where an extra “is” appeared, and the Board has corrected this error.

The Board received many comments disagreeing with physical medicine Ground Rule 2 – specifically, the 12 sessions/180-day limitation. In response, the Board has decided not to implement this change, so Ground Rule 2 will read as it did previously: “Physical medicine services in excess of 12 treatments or after 45 days from the first treatment, require documentation that includes physician certification of medical necessity for continued treatment, progress notes, and treatment plans. This documentation should be submitted to the insurance carrier as part of the claim.” This limitation has been removed wherever it appeared.

The Board received comments requesting the RVU cap for physical therapy be increased from 8 to 16, but the revised proposal reflects an increase to 12, and increased the available RVUs for initial evaluations and reevaluations, so no change has been made in response to these comments.

The Board received comments from insurance companies requesting a change back to 8 RVUs. The Board received over 600 comments objecting to this in the previous proposal and increased to 12 in this proposal, so no change has been made. If commenters believe the proposal impacts No-Fault, those comments should be directed to DFS, as the Board does not have jurisdiction and cannot make statements as to the applicability of any of its rules to the No-Fault system.

The Board received a comment opining that physical therapists performing acupuncture or acupuncture modalities is dangerous. The MFS only permits services for which the provider has the appropriate licensing and/or certification, and these codes have always been present in the MFS. No change has been made.

Two comments requested clarification about whether CPT codes 97161-97163 and 9716-97167 are for self-employed physical therapists and occupational therapists only. The services that may be billed remain unchanged, so no change has been made.

The Board received comments objecting to the change in CPT codes resulting in reductions in reimbursement for EMG studies and EDX testing. Needle EMG tests have received proportionate increases. Surface EMGs are not recommended under the Medical Treatment Guidelines and therefore have no fee associated. Fees for NCV reflect changes to the CPT codes themselves, as created by the American Medical Association, and the method for billing, and will be reimbursed at 200% of the Medicare level, so no change has been made.

One comment opined that EDX testing should only be allowed by neurologists and physiatrists. The MFS does not limit how treatment may be rendered under the Workers’ Compensation Law (“WCL”) and other relevant NYS laws and regulations, so no change has been made.

One comment requested clarification about biofeedback and whether evaluation reports are no longer required. This proposed Ground Rule was modified to reflect updates from the Medical Treatment Guidelines. The evaluation report sentence was excluded since reports are due for any medical treatment under the WCL, and no change has been made.

An insurance company requested clarification about reimbursement for co-surgeons. Under the WCL, surgeons should determine the proportion, and the MFS sets the maximum. If they cannot agree, the bill is subject to arbitration under the WCL, and this procedure is currently used rarely – no change has been made. To the extent commenters believe the MFS proposal impacts No-Fault, they should be directed to DFS as to their application to the No-Fault system. The Board does not have jurisdiction over no-fault and cannot make statements as to the applicability of any of its rules to the no-fault system.

A form letter expressed concerns about billing within a diagnostic network testing (“DTN”) contract. Fees adjusted under a DTN contract are contractual – physicians do not have to join DTNs, and the terms of such contracts are not within the Board’s purview, so no change has been made.

Chiropractic Fee Schedule

Several comments requested higher fees. The proposal increased fees proportionately, so no change has been made.

One comment objected to removing CPT code 97750, and that CPT code 95999 should not have an RVU of 0. This was considered in the first proposal, so no change has been made.

Many comments objected to the 180-day limitation in chiropractic Ground Rule 3 (and to physical medicine Ground Rule 2, discussed above). In response, the Board has decided not to implement this change, so the 180-day limitation has been removed.

One comment supported proposed changes to chiropractic Ground Rule 11.

Several comments objected to removal of specific CPT codes. As the

Board noted previously, the Board did not decrease reimbursement rates and increased RVUs for chiropractors – to the extent fees declined, that is due to the modification of CPT codes themselves since 2012 and earlier. No change has been made.

Several comments objected to proposed changes impacting MUA and spinal decompression. These are not recommended under the Medical Treatment Guidelines, so no change has been made.

Several comments objected to chiropractic Ground Rule 10. Since this is not a new rule, but clarification of an existing one, no change has been made.

A number of comments disagreed with limitations on manual clinical muscle testing systems. Since this is included in the fee for E&M services, no change has been made.

One comment requested clarification for Ground Rule 11 about unit-limitation reviews. Under the WCL, each provider is subject to his or her own rules, so no change has been made.

Behavioral Fee Schedule

Several comments objected to the rule about supervision of non-authorized mental health professionals. As previously noted, the WCL only permits supervision of non-authorized providers by physicians, in accordance with WCL § 13-b, and there is no corollary in § 13-m permitting psychologists to supervise non-authorized providers. Because only the legislature may amend the WCL, no change has been made.

One comment objected to the use of CPT code 97127, but this is the current CPT code in use for cognitive function testing, so no change has been made.

General Comments

The Board received several comments in general support, and several comments and postcards disagreeing as with the proposal as a whole with no suggested changes. No change has been made.

One comment requested MFS be published on the website, but because they have always been published by an outside publisher and it is available for review at Board offices and Supreme Court and Legislative libraries in accordance with rules about incorporating by reference, no change has been made.

Several comments expressed concern about impact or possible conflicts on No-Fault. To the extent that commenters believe that the medical fee schedule proposal impacts No-Fault, those comments should be directed to DFS as to their application to the No-Fault system. The Board does not have jurisdiction over No-Fault and therefore may not make statements as to the applicability of any of its rules to the No-Fault system.

One comment highlighted possible errors in headings, which have been corrected.

Comments from insurance companies requested new fee schedules (acupuncture and massage therapy). Since the WCL does not permit treatment by acupuncturists or massage therapists, no fee schedules are necessary and no change has been made.

Comments from insurance companies also requested ground rules differentiate strapping and kinesio taping, and eliminate generic BR codes. The differences in these codes are in the description of the CPT codes, and WCL has ability to resolve disputes about BR codes, so no change has been made. To the extent commenters believe the MFS proposal impacts no-fault, they should direct them to DFS. The Board does not have jurisdiction over No-Fault and therefore cannot make statements as to the applicability of any of its rules to the No-Fault system.

Changes

- Fixed two typographical errors in Physical Medicine Ground Rule 11 (CPT code 97101 to 97010) and deleted “is” from “patient is may not”
- Reverted to original language of Physical Medicine Ground Rule 2
- Removed 180-day limitation in chiropractic Ground Rule 3
- Fixed errors in headings

**HEARINGS SCHEDULED
FOR PROPOSED RULE MAKINGS**

Agency I.D. No.

Subject Matter

Location—Date—Time

Agriculture and Markets, Department of

AAM-40-18-00021-EP..... Shell eggs; acidified foods

Department of Agriculture and Markets, 10B
Airline Dr., Albany, NY—January 14, 2019,
11:00 a.m.

ACTION PENDING INDEX

The action pending index is a list of all proposed rules which are currently being considered for adoption. A proposed rule is added to the index when the notice of proposed rule making is first published in the *Register*. A proposed rule is removed from the index when any of the following occur: (1) the proposal is adopted as a permanent rule; (2) the proposal is rejected and withdrawn from consideration; or (3) the proposal's notice expires.

Most notices expire in approximately 12 months if the agency does not adopt or reject the proposal within that time. The expiration date is printed in the second column of the action pending index. Some notices, however, never expire. Those notices are identified by the word "exempt" in the second column. Actions pending for one year or more are preceded by an asterisk(*).

For additional information concerning any of the proposals

listed in the action pending index, use the identification number to locate the text of the original notice of proposed rule making. The identification number contains a code which identifies the agency, the issue of the *Register* in which the notice was printed, the year in which the notice was printed and the notice's serial number. The following diagram shows how to read identification number codes.

Agency code	Issue number	Year published	Serial number	Action Code
AAM	01	12	00001	P

Action codes: P — proposed rule making; EP — emergency and proposed rule making (expiration date refers to proposed rule); RP — revised rule making

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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AGING, OFFICE FOR THE

AGE-44-18-00005-P 10/31/19	Nutrition Program	The purpose of this rule is to update the regulations governing the Nutrition Program
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AGRICULTURE AND MARKETS, DEPARTMENT OF

AAM-34-18-00001-EP 10/25/19	Importation of cervids susceptible to Chronic Wasting Disease ("CWD").	To help control the spread of CWD into the State's cervid population.
AAM-40-18-00021-EP 01/14/20	Shell Eggs; Acidified Foods	To continue regulatory powers in connection with acidified foods and shell eggs used in foods for human consumption
AAM-41-18-00001-EP 10/10/19	Spotted Lanternfly ("SL")	To prevent SL-infested articles originating in or moving through areas in other states where SL is present from entering NYS
AAM-43-18-00002-P 10/24/19	Certification of Industrial Hemp Seed	To establish standards for certification of industrial hemp seed
AAM-49-18-00001-P 12/05/19	Licensing of malt operators and processors	To exempt malt operators and processors producing under a certain volume from licensing requirements and fees

ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF

ASA-12-18-00001-RP 03/21/19	Problem Gambling Treatment and Recovery Services	Repeals existing gambling regulation; replaces with substantially updated provisions
ASA-21-18-00025-RP 05/23/19	Credentialing of Addictions Professionals	Repeal obsolete rules; update process of credentialing addictions professionals
ASA-21-18-00026-P 05/23/19	Appeals, Hearings and Rulings	Protect patient confidentiality, update due process provisions, technical amendments.
ASA-51-18-00019-P 12/19/19	General provisions	Update provisions consistent with treatment developments; definitions; technical gender language

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF			
ASA-51-18-00020-P	12/19/19	Substance Use Disorder Withdrawal and Stabilization Services	Update provisions consistent with treatment developments; definitions; technical gender language
ASA-51-18-00021-P	12/19/19	Substance Use Disorder Residential Rehabilitation Services for Youth	Update provisions consistent with treatment developments; definitions; technical gender language
ASA-51-18-00022-P	12/19/19	Substance Use Disorder Inpatient Rehabilitation	Update provisions consistent with treatment developments; definitions; technical gender language
ASA-51-18-00023-P	12/19/19	Patient Rights	Update provisions consistent with treatment developments; definitions; technical gender language
ASA-51-18-00024-P	12/19/19	General Service Standards for Substance Use Disorder Outpatient Programs	Update provisions consistent with treatment developments; definitions; technical gender language
AUDIT AND CONTROL, DEPARTMENT OF			
AAC-06-18-00002-P	02/07/19	Update provisions relating to Employer Reporting; Service Credit Determination for certain members; and Notice of Hearings	To update language necessitated by the modernization and redesign of the retirement system's benefit administration system
AAC-50-18-00001-P	12/12/19	Reporting of Miscellaneous Abandoned property	To update and clarify requirements relating to the reporting of miscellaneous abandoned property
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-51-18-00010-P	12/19/19	Residential and non-residential services to victims of domestic violence	To conform the existing regulations to comply with state and federal laws regarding services to victims of domestic violence
CIVIL SERVICE, DEPARTMENT OF			
CVS-12-18-00012-P	03/21/19	Jurisdictional Classification	To classify a subheading and a position in the non-competitive class
CVS-12-18-00025-P	03/21/19	Jurisdictional Classification	To classify positions in the exempt class
CVS-12-18-00030-P	03/21/19	Jurisdictional Classification	To classify a position in the exempt class
CVS-12-18-00035-P	03/21/19	Jurisdictional Classification	To classify a position in the exempt class
CVS-21-18-00022-P	05/23/19	Jurisdictional Classification	To delete positions from and classify positions in the exempt class and to delete a position from the non-competitive class
CVS-33-18-00007-P	08/15/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-18-00013-P	08/15/19	Jurisdictional Classification	To classify a subheading and a position in the non-competitive class
CVS-41-18-00006-P	10/10/19	Jurisdictional Classification	To classify positions in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-41-18-00007-P	10/10/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-41-18-00008-P	10/10/19	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-41-18-00009-P	10/10/19	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-41-18-00010-P	10/10/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-41-18-00011-P	10/10/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-41-18-00012-P	10/10/19	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-41-18-00013-P	10/10/19	Jurisdictional Classification	To classify positions in the exempt class
CVS-41-18-00014-P	10/10/19	Jurisdictional Classification	To classify a position in the exempt class
CVS-41-18-00015-P	10/10/19	Jurisdictional Classification	To classify a position in the exempt class
CVS-41-18-00016-P	10/10/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-41-18-00017-P	10/10/19	Jurisdictional Classification	To classify positions in the exempt class
CVS-41-18-00018-P	10/10/19	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-41-18-00019-P	10/10/19	Jurisdictional Classification	To delete from and classify positions in the exempt and non-competitive classes
CVS-41-18-00020-P	10/10/19	Jurisdictional Classification	To delete from and classify positions in the exempt and non-competitive classes
CVS-46-18-00006-P	11/14/19	Jurisdictional Classification	To classify a position in the exempt class
CVS-46-18-00007-P	11/14/19	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-46-18-00008-P	11/14/19	Jurisdictional Classification	To classify positions in the exempt class
CVS-46-18-00009-P	11/14/19	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-46-18-00010-P	11/14/19	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-46-18-00011-P	11/14/19	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-46-18-00012-P	11/14/19	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-51-18-00002-P	12/19/19	Jurisdictional Classification	To classify positions in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-51-18-00003-P	12/19/19	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-18-00004-P	12/19/19	Jurisdictional Classification	To delete positions from and classify positions in the exempt class
CVS-51-18-00005-P	12/19/19	Jurisdictional Classification	To classify positions in the exempt class
CVS-51-18-00006-P	12/19/19	Jurisdictional Classification	To classify a position in the exempt class
CVS-51-18-00007-P	12/19/19	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-51-18-00008-P	12/19/19	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-51-18-00009-P	12/19/19	Jurisdictional Classification	To delete a position from and classify positions in the non-competitive class
CORRECTION, STATE COMMISSION OF			
CMC-42-18-00001-EP	10/17/19	Necessary age for admission to an adult lockup	To ensure that individuals under 17 years old are not admitted to an adult lockup
CRIMINAL JUSTICE SERVICES, DIVISION OF			
CJS-32-18-00005-P	08/08/19	Case Record Management	Update existing Rule to reflect services which will be performed by Probation departments as a result of Raise the Age law.
CJS-32-18-00006-P	08/08/19	Investigations and Reports	Update existing Rule to reflect services which will be performed by Probation departments as a result of Raise the Age law.
CJS-32-18-00007-P	08/08/19	Probation Supervision	Update existing Rule to reflect services which will be performed by Probation departments as a result of Raise the Age law.
CJS-32-18-00008-P	08/08/19	Graduated Sanctions and Violations of Probation, retitled to: Graduated Responses	Update existing Rule to reflect services which will be performed by Probation departments as a result of Raise the Age law.
CJS-32-18-00009-P	08/08/19	Preliminary Procedure for Article 3 JD Intake, retitled to: Probation Services for Article 3 Juvenile Delinquency(JD)	Update existing Rule to reflect services which will be performed by Probation departments as a result of Raise the Age law.
CJS-32-18-00010-P	08/08/19	New Rule 359: Role of Probation in Youth Part of Superior Court	Update existing Rule to reflect services which will be performed by Probation departments as a result of Raise the Age law.
EDUCATION DEPARTMENT			
EDU-13-18-00027-P	03/28/19	Teacher Certification in Health Education	Creation of a Transitional K Certificate for Certain New York State Licensed Health Professionals to Teach Health Education
EDU-19-18-00006-ERP	05/09/19	The implementation of New York's approved ESSA plan to comply with the provisions of the Every Student Succeeds Act	To implement New York's approved ESSA plan and to comply with the provisions of the Every Student Succeeds Act

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-40-18-00007-P	10/03/19	Certificate progression pathway	Initial Certificate Requirements for Individuals Who Have a Graduate Degree and Two Years of Postsecondary Teaching Experience
EDU-40-18-00008-P	10/03/19	P-20 Principal Preparation Pilot Program	To establish the requirements for the P-20 Principal Preparation Pilot Program
EDU-40-18-00009-P	10/03/19	Students with Disabilities	To conform the Commissioner's regulations to Chapters 422, 428 and 429 of the Laws of 2017
EDU-40-18-00010-P	10/03/19	Professional development plans and other related requirements for school districts and BOCES	To improve the quality of teaching and learning for teachers and leaders for professional growth
EDU-40-18-00011-EP	10/03/19	School Breakfast Programs	To initiate, maintain, or expand school breakfast programs and make technical amendments to conform to federal requirements
EDU-40-18-00012-EP	10/03/19	Prohibition against meal shaming	Requires certain schools to develop a plan to prohibit against meal shaming or treating pupils with unpaid meal fees differently
EDU-44-18-00006-P	10/31/19	Limited extensions and program requirements for certain career and technical education teachers	Creation of an extension for holders of the Career and Technical Education Certificate to Teach Grades 5 and 6
EDU-44-18-00007-P	10/31/19	Alternative pathways for certificate for certain teachers who hold Students with Disabilities certificate	Establishes limited extensions and statements of continued eligibility pathways for teachers who hold certain teaching certificates for Students with Disabilities in grades 7-12
EDU-47-18-00010-EP	11/21/19	English Language Learner Grade Span Waiver Requirement	To provide a one-year renewable waiver to expand the allowable grade span for ENL and BE classes to three contiguous grades
EDU-52-18-00004-P	12/26/19	Student teaching requirements for teacher certification and the registration of teacher preparation programs.	To revise the student teaching requirements for teacher certification and the registration of teacher preparation programs.
EDU-52-18-00005-P	12/26/19	Annual professional performance reviews.	To extend the transition period for an additional year (until 2019-2020).
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-12-18-00043-P	06/07/19	BEACH Act Standards and Reclassification Rule	To comply with the federal BEACH Act of 2000 (P.L. 106-284) and protect coastal recreation waters for recreation
ENV-20-18-00006-P	07/24/19	CO2 Emissions Standards for Major Electric Generating Facilities	To establish CO2 emissions standards for existing major electric generating facilities
ENV-48-18-00002-P	11/28/19	Jonah crab management	To implement required management measures of the Atlantic States Marine Fisheries Commission Jonah Crab Fishery Management Plan
ENV-49-18-00002-P	12/05/19	Northern Catskill Riparian Areas	To correct a mistake in the description of the Kaaterskill Falls Riparian Area

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
*DFS-17-16-00003-P exempt	Plan of Conversion by Commercial Travelers Mutual Insurance Company	To convert a mutual accident and health insurance company to a stock accident and health insurance company
DFS-23-18-00001-P 06/06/19	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To require coverage for maternal screening and referrals
DFS-25-18-00006-P exempt	Plan of Conversion by Medical Liability Mutual Insurance Company	To convert a mutual property and casualty insurance company to a stock property and casualty insurance company
DFS-26-18-00002-EP 06/27/19	Charges for Professional Health Services	To delay the effective date of the Workers' Compensation fee schedule increases for no-fault reimbursement
DFS-30-18-00007-P 07/25/19	Minimum Standards for Form, Content, and Sale of Health Insurance, Including Standards for Full and Fair Disclosure	To clarify requirements regarding coverage and disclosure of information for contraceptives
DFS-36-18-00003-P 09/05/19	Professional Bail Agents; Managing General Agents; et al	To provide greater protection to consumers, and raise the standards of integrity in the bail business.
DFS-42-18-00003-P 10/17/19	Valuation of Life Insurance Reserves; Recognition of the 2001 CSO Mortality Table and the 2017 CSO Mortality Table, et al	To recognize mortality improvement for applicable policies issued prior to 1/1/2019 if optionally elected
DFS-46-18-00014-P 11/14/19	Regulations Implementing the Comprehensive Motor Vehicle Insurance Reparations Act-Claims for Personal Injury Protection Benefit	To give insurer option to void assignment of benefits when insurer issues denial for EIP's failure to attend IME or EUO
DFS-52-18-00001-EP 12/26/19	Principle-Based Reserving	To allow principal-based reserving for certain individual and group life insurance policies and annuity contracts.

GAMING COMMISSION, NEW YORK STATE

SGC-09-18-00005-P 02/28/19	The licensing and registration of gaming facility employees and vendors	To govern the licensing and registration of gaming facility employees and vendors
SGC-17-18-00002-P 04/25/19	Regulation of courier services that purchase and claim certain Lottery tickets and prizes as agents for customers	To license courier services to facilitate the sale of Lottery tickets to generate more revenue for education
SGC-38-18-00002-P 09/19/19	Heads Up Hold 'Em poker.	To set forth the practices and procedures for the operation of Heads Up Hold 'Em poker as a casino table game.
SGC-38-18-00003-P 09/19/19	Casino fees and payments.	Implementation of rules governing procedures for submission of fees and payments by gaming facilities to the Gaming Commission.
SGC-39-18-00003-P 09/26/19	Heads Up Hold 'Em poker.	To set forth the practices and procedures for the operation of Heads Up Hold 'Em poker as a casino table game.
SGC-40-18-00006-P 10/03/19	Amendment of multiple medication violation (MMV) penalty enhancement rule.	To enable the Commission to enhance the integrity and safety of thoroughbred pari-mutuel racing.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
GAMING COMMISSION, NEW YORK STATE			
SGC-42-18-00015-P	10/17/19	Permit greater purse-to-price ratio in Thoroughbred claiming races	To advance the best interests of Thoroughbred racing and protect the safety of the race horses
SGC-47-18-00009-P	11/21/19	Self-exclusion and casino advertising	To centralize Commission self-exclusion policies and make self-exclusion universal throughout the various forms of gaming
GENERAL SERVICES, OFFICE OF			
GNS-46-18-00001-P	11/14/19	Service-Disabled Veteran-Owned Business Enterprises	To establish standards, procedures and criteria with respect to the Service-Disabled Veteran-Owned Business Enterprise program
HEALTH, DEPARTMENT OF			
*HLT-14-94-00006-P	exempt	Payment methodology for HIV/AIDS outpatient services	To expand the current payment to incorporate pricing for services
HLT-04-18-00010-RP	01/24/19	Emergency Medical Services (EMS) Initial Certification Eligibility Requirements	To reduce the EMS certification eligibility minimum age from 18 to 17 years of age
HLT-07-18-00002-P	02/14/19	Medicaid Reimbursement of Nursing Facility Reserved Bed Days for Hospitalizations	To make changes relating to reserved bed payments made by Medicaid to nursing facilities
HLT-25-18-00008-P	06/20/19	Inpatient Psychiatric Services	To enhance reimbursement mechanisms for inpatient psychiatric services
HLT-30-18-00008-P	07/25/19	Voluntary Foster Care Agency Health Facility Licensure	To license Voluntary Foster Care Agencies to provide limited health-related services
HLT-31-18-00004-P	08/01/19	Newborn Screening for Phenylketonuria and Other Diseases	To support timely collection and submission of specimens for the detection of diseases in newborn infants in New York State
HLT-31-18-00005-EP	08/01/19	Medical Use of Marihuana	To add additional serious conditions for which patients may be certified to use medical marihuana
HLT-33-18-00017-P	08/15/19	Patients' Bill of Rights	Require general hospitals and diagnostic and treatment centers to update their statements of patient rights.
HLT-34-18-00006-P	08/22/19	Statewide Planning and Research Cooperative System (SPARCS)	To revise the SPARCS regulation related to data intake.
HLT-34-18-00007-P	08/22/19	New York State Medicaid Infertility Treatment	To authorize Medicaid coverage of infertility benefits.
HLT-37-18-00008-P	09/12/19	Update Standards for Adult Homes and Standards for Enriched Housing Programs	To prohibit residential providers from excluding an applicant based solely on the individual's status as a wheelchair user.
HLT-42-18-00006-P	10/17/19	Durable Medical Equipment; Medical/Surgical Supplies; Orthotic and Prosthetic Appliances; Orthopedic Footwear	To amend the Department's regulation governing Medicaid coverage of orthopedic footwear and compression and support stockings
HLT-42-18-00007-P	10/17/19	Stroke Services	NYS criteria for stroke ctr. designation as part of an accrediting process for cert. by nationally recognized accredit. agencies

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-42-18-00008-P	10/17/19	Office-Based Surgery Practice Reports	Requires accredited Office-Based Surgery practices to submit adverse event & practice information which includes procedural data
HLT-47-18-00002-P	11/21/19	Food Service Establishments	To restrict the use of liquid Nitrogen and Dry Ice in food preparation
HLT-51-18-00001-P	12/19/19	HIV Uninsured Care Programs	To amend the HIV Uninsured Care Programs to align program eligibility elements with other health care access programs
HLT-51-18-00015-P	12/19/19	Hospital Policies for Human Trafficking Victims	To establish policies and procedures for the identification, assessment, treatment, and referral of human trafficking victims
HLT-51-18-00016-P	12/19/19	Nursing Home Weekly Bed Census Survey	To require nursing homes to electronically submit weekly bed census data to the DOH through the Health Commerce System
HLT-51-18-00017-P	12/19/19	Clinical Laboratory Directors	Recognize additional accrediting boards for qualification of clinical laboratory directors to obtain a cert. of qualification
HLT-51-18-00018-P	12/19/19	New requirements for Annual Registration of Licensed Home Care Services Agencies	To amend the regulations for licensed home care services agencies for the annual registration requirements of the agency
LABOR, DEPARTMENT OF			
*LAB-47-17-00011-RP	02/20/19	Employee Scheduling (Call-In Pay)	To strengthen existing call-in pay protections involving employee scheduling
LAB-17-18-00005-P	07/11/19	Hours Worked, 24-Hour Shifts	To clarify that hours worked may exclude meal periods and sleep times for employees who work shifts of 24 hours or more
LAW, DEPARTMENT OF			
LAW-41-18-00021-P	10/10/19	Arbitration program regulations for defective farm equipment	To set forth the procedures for the operation of an alternative arbitration mechanism for defective farm equipment disputes
LIQUOR AUTHORITY, STATE			
LQR-07-18-00011-P	04/18/19	Municipal notification requirements for Temporary Beer and Wine Permit as well as Catering Permit applications for large events	To establish municipal notification for Temporary Beer and Wine Permit as well as Catering Permit applications for large events
LONG ISLAND POWER AUTHORITY			
*LPA-08-01-00003-P	exempt	Pole attachments and related matters	To approve revisions to the authority's tariff
*LPA-41-02-00005-P	exempt	Tariff for electric service	To revise the tariff for electric service
*LPA-04-06-00007-P	exempt	Tariff for electric service	To adopt provisions of a ratepayer protection plan
*LPA-03-10-00004-P	exempt	Residential late payment charges	To extend the application of late payment charges to residential customers

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
LONG ISLAND POWER AUTHORITY			
LPA-15-18-00013-P exempt	Outdoor area lighting	To add an option and pricing for efficient LED lamps to the Authority's outdoor area lighting
LPA-33-18-00018-P exempt	The net energy metering and related provisions of the Authority's Tariff for Electric Service.	To conform the Tariff to orders issued in the Value of Distributed Energy Resources proceeding of the New York DPS.
LPA-37-18-00009-P exempt	The Authority's transmission and distribution property taxes as reflected in the Adjustments section of the Authority's Tariff.	To update the Tariff to implement an annual adjustment to recover payments in lieu of T&D property taxes.
LPA-37-18-00010-P exempt	The Authority's annual budget, as reflected in the rates and charges in the Tariff for Electric Service.	To update the Tariff to implement the Authority's annual budget and corresponding rate adjustments.
LPA-37-18-00011-P exempt	The terms and conditions of the Authority's Tariff for Electric Service regarding customer contacts by telephone.	To implement Federal Communications Commission guidance regarding customer contacts via mobile electronic devices.
LPA-37-18-00012-P exempt	The small generator interconnection procedures in the Authority's Tariff for Electric Service	To update the small generator interconnection procedures consistent with Public Service Commission guidance
LPA-37-18-00013-P exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To implement PSC guidance increasing eligibility for value stack compensation to larger projects
LPA-37-18-00014-P exempt	The Authority's Tariff for Electric Service, Service Classification No. 7 Outdoor Area Lighting	To implement an option for high efficiency LED light bulbs and fixtures for Outdoor Area Lighting
LPA-37-18-00015-P exempt	Uniform Business Practices for Distributed Energy Resource Suppliers in the Authority's Tariff for Electric Service.	To update the Tariff to implement Uniform Business Practices for Distributed Energy Resource Suppliers.
LPA-37-18-00016-P exempt	The metering provisions of the Authority's Tariff for Electric Service	To implement a customer option to decline installation of a smart meter and associated fees
LPA-37-18-00017-P exempt	The treatment of electric vehicle charging in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on electric vehicle supply equipment.
LPA-37-18-00018-P exempt	The treatment of energy storage in the Authority's Tariff for Electric Service.	To effectuate the outcome of the Public Service Commission's proceeding on the NY Energy Storage Roadmap.
MENTAL HEALTH, OFFICE OF			
OMH-43-18-00001-P 10/24/19	Operation of Crisis Residences in New York State	To revise and update the categories of Crisis Residences to match what is currently operation in New York
MOTOR VEHICLES, DEPARTMENT OF			
MTV-42-18-00004-P 10/17/19	FOIL - denials to access of records	To permit the Commissioner to designate another person to hear FOIL appeals other than the Chair of the Appeals Board

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
NIAGARA FALLS WATER BOARD			
*NFW-04-13-00004-EP exempt	Adoption of Rates, Fees and Charges	To pay for the increased costs necessary to operate, maintain and manage the system, and to achieve covenants with bondholders
*NFW-13-14-00006-EP exempt	Adoption of Rates, Fees and Charges	To pay for increased costs necessary to operate, maintain and manage the system and to achieve covenants with the bondholders
OGDENSBURG BRIDGE AND PORT AUTHORITY			
OBA-33-18-00019-P exempt	Increase in Bridge Toll Structure	To increase bridge toll revenue in order to become financially self-supporting. Our bridge operations are resulting in deficit.
PARKS, RECREATION AND HISTORIC PRESERVATION, OFFICE OF			
PKR-48-18-00006-P 11/28/19	The regulation of pets in OPRHP facilities	To adopt one statewide pet regulation that replaces regional regulations that are inconsistent with each other
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-07-18-00001-ERP 02/14/19	Enrollment in Medicare Prescription Drug Plans and Fully Integrated Duals Advantage Plans for IDD	To allow individuals to be enrolled in a FIDA-IDD plan when individuals are unable to enroll themselves
PDD-45-18-00001-EP 11/07/19	Telehealth	To authorize telehealth as a new modality for the delivery of clinical services
POWER AUTHORITY OF THE STATE OF NEW YORK			
*PAS-01-10-00010-P exempt	Rates for the sale of power and energy	Update ECSB Programs customers' service tariffs to streamline them/include additional required information
PAS-42-18-00005-P exempt	Rates for the Sale of Power and Energy	To align rates and costs
PUBLIC SERVICE COMMISSION			
*PSC-09-99-00012-P exempt	Transfer of books and records by Citizens Utilities Company	To relocate Ogden Telephone Company's books and records out-of-state
*PSC-15-99-00011-P exempt	Electronic tariff by Woodcliff Park Corp.	To replace the company's current tariff with an electronic tariff
*PSC-12-00-00001-P exempt	Winter bundled sales service election date by Central Hudson Gas & Electric Corporation	To revise the date
*PSC-44-01-00005-P exempt	Annual reconciliation of gas costs by Corning Natural Gas Corporation	To authorize the company to include certain gas costs
*PSC-07-02-00032-P exempt	Uniform business practices	To consider modification
*PSC-36-03-00010-P exempt	Performance assurance plan by Verizon New York	To consider changes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-40-03-00015-P exempt	Receipt of payment of bills by St. Lawrence Gas Company	To revise the process
*PSC-41-03-00010-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-41-03-00011-P exempt	Annual reconciliation of gas expenses and gas cost recoveries	To consider filings of various LDCs and municipalities
*PSC-44-03-00009-P exempt	Retail access data between jurisdictional utilities	To accommodate changes in retail access market structure or commission mandates
*PSC-02-04-00008-P exempt	Delivery rates for Con Edison's customers in New York City and Westchester County by the City of New York	To rehear the Nov. 25, 2003 order
*PSC-06-04-00009-P exempt	Transfer of ownership interest by SCS Energy LLC and AE Investors LLC	To transfer interest in Steinway Creek Electric Generating Company LLC to AE Investors LLC
*PSC-10-04-00005-P exempt	Temporary protective order	To consider adopting a protective order
*PSC-10-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and VIC-RMTS-DC, L.L.C. d/b/a Verizon Avenue	To amend the agreement
*PSC-14-04-00008-P exempt	Submetering of natural gas service to industrial and commercial customers by Hamburg Fairgrounds	To submeter gas service to commercial customers located at the Buffalo Speedway
*PSC-15-04-00022-P exempt	Submetering of electricity by Glenn Gardens Associates, L.P.	To permit submetering at 175 W. 87th St., New York, NY
*PSC-21-04-00013-P exempt	Verizon performance assurance plan by Metropolitan Telecommunications	To clarify the appropriate performance level
*PSC-22-04-00010-P exempt	Approval of new types of electricity meters by Powell Power Electric Company	To permit the use of the PE-1250 electronic meter
*PSC-22-04-00013-P exempt	Major gas rate increase by Consolidated Edison Company of New York, Inc.	To increase annual gas revenues
*PSC-22-04-00016-P exempt	Master metering of water by South Liberty Corporation	To waive the requirement for installation of separate water meters
*PSC-25-04-00012-P exempt	Interconnection agreement between Frontier Communications of Ausable Valley, Inc., et al. and Sprint Communications Company, L.P.	To amend the agreement
*PSC-27-04-00008-P exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-27-04-00009-P exempt	Interconnection agreement between Verizon New York Inc. and various Verizon wireless affiliates	To amend the agreement
*PSC-28-04-00006-P exempt	Approval of loans by Dunkirk & Fredonia Telephone Company and Cassadaga Telephone Corporation	To authorize participation in the parent corporation's line of credit

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-31-04-00023-P exempt	Distributed generation service by Consolidated Edison Company of New York, Inc.	To provide an application form
*PSC-34-04-00031-P exempt	Flat rate residential service by Emerald Green Lake Louise Marie Water Company, Inc.	To set appropriate level of permanent rates
*PSC-35-04-00017-P exempt	Application form for distributed generation by Orange and Rockland Utilities, Inc.	To establish a new supplementary application form for customers
*PSC-43-04-00016-P exempt	Accounts receivable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts receivable
*PSC-46-04-00012-P exempt	Service application form by Consolidated Edison Company of New York, Inc.	To revise the form and make housekeeping changes
*PSC-46-04-00013-P exempt	Rules and guidelines governing installation of metering equipment	To establish uniform statewide business practices
*PSC-02-05-00006-P exempt	Violation of the July 22, 2004 order by Dutchess Estates Water Company, Inc.	To consider imposing remedial actions against the company and its owners, officers and directors
*PSC-09-05-00009-P exempt	Submetering of natural gas service by Hamlet on Olde Oyster Bay	To consider submetering of natural gas to a commercial customer
*PSC-14-05-00006-P exempt	Request for deferred accounting authorization by Freeport Electric Inc.	To defer expenses beyond the end of the fiscal year
*PSC-18-05-00009-P exempt	Marketer Assignment Program by Consolidated Edison Company of New York, Inc.	To implement the program
*PSC-20-05-00028-P exempt	Delivery point aggregation fee by Allied Frozen Storage, Inc.	To review the calculation of the fee
*PSC-25-05-00011-P exempt	Metering, balancing and cashout provisions by Central Hudson Gas & Electric Corporation	To establish provisions for gas customers taking service under Service Classification Nos. 8, 9 and 11
*PSC-27-05-00018-P exempt	Annual reconciliation of gas costs by New York State Electric & Gas Corporation	To consider the manner in which the gas cost incentive mechanism has been applied
*PSC-41-05-00013-P exempt	Annual reconciliation of gas expenses and gas cost recoveries by local distribution companies and municipalities	To consider the filings
*PSC-45-05-00011-P exempt	Treatment of lost and unaccounted gas costs by Corning Natural Gas Corporation	To defer certain costs
*PSC-46-05-00015-P exempt	Sale of real and personal property by the Brooklyn Union Gas Company d/b/a KeySpan Energy Delivery New York and Steel Arrow, LLC	To consider the sale
*PSC-47-05-00009-P exempt	Transferral of gas supplies by Corning Natural Gas Corporation	To approve the transfer
*PSC-50-05-00008-P exempt	Long-term debt by Saratoga Glen Hollow Water Supply Corp.	To obtain long-term debt

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-06-00024-P exempt	Transfer of ownership interests by Mirant NY-Gen LLC and Orange and Rockland Utilities, Inc.	To approve of the transfer
*PSC-06-06-00015-P exempt	Gas curtailment policies and procedures	To examine the manner and extent to which gas curtailment policies and procedures should be modified and/or established
*PSC-07-06-00009-P exempt	Modification of the current Environmental Disclosure Program	To include an attributes accounting system
*PSC-22-06-00019-P exempt	Hourly pricing by National Grid	To assess the impacts
*PSC-22-06-00020-P exempt	Hourly pricing by New York State Electric & Gas Corporation	To assess the impacts
*PSC-22-06-00021-P exempt	Hourly pricing by Rochester Gas & Electric Corporation	To assess the impacts
*PSC-22-06-00022-P exempt	Hourly pricing by Consolidated Edison Company of New York, Inc.	To assess the impacts
*PSC-22-06-00023-P exempt	Hourly pricing by Orange and Rockland Utilities, Inc.	To assess the impacts
*PSC-24-06-00005-EP exempt	Supplemental home energy assistance benefits	To extend the deadline to Central Hudson's low-income customers
*PSC-25-06-00017-P exempt	Purchased power adjustment by Massena Electric Department	To revise the method of calculating the purchased power adjustment and update the factor of adjustment
*PSC-34-06-00009-P exempt	Inter-carrier telephone service quality standards and metrics by the Carrier Working Group	To incorporate appropriate modifications
*PSC-37-06-00015-P exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-37-06-00017-P exempt	Procedures for estimation of customer bills by Rochester Gas and Electric Corporation	To consider estimation procedures
*PSC-43-06-00014-P exempt	Electric delivery services by Strategic Power Management, Inc.	To determine the proper mechanism for the rate-recovery of costs
*PSC-04-07-00012-P exempt	Petition for rehearing by Orange and Rockland Utilities, Inc.	To clarify the order
*PSC-06-07-00015-P exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for electric service
*PSC-06-07-00020-P exempt	Meter reading and billing practices by Central Hudson Gas & Electric Corporation	To continue current meter reading and billing practices for gas service
*PSC-11-07-00010-P exempt	Investigation of the electric power outages by the Consolidated Edison Company of New York, Inc.	To implement the recommendations in the staff's investigation
*PSC-11-07-00011-P exempt	Storm-related power outages by Consolidated Edison Company of New York, Inc.	To modify the company's response to power outages, the timing for any such changes and other related matters

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-17-07-00008-P exempt	Interconnection agreement between Verizon New York Inc. and BridgeCom International, Inc.	To amend the agreement
*PSC-18-07-00010-P exempt	Existing electric generating stations by Independent Power Producers of New York, Inc.	To repower and upgrade existing electric generating stations owned by Rochester Gas and Electric Corporation
*PSC-20-07-00016-P exempt	Tariff revisions and making rates permanent by New York State Electric & Gas Corporation	To seek rehearing
*PSC-21-07-00007-P exempt	Natural Gas Supply and Acquisition Plan by Corning Natural Gas Corporation	To revise the rates, charges, rules and regulations for gas service
*PSC-22-07-00015-P exempt	Demand Side Management Program by Consolidated Edison Company of New York, Inc.	To recover incremental program costs and lost revenue
*PSC-23-07-00022-P exempt	Supplier, transportation, balancing and aggregation service by National Fuel Gas Distribution Corporation	To explicitly state in the company's tariff that the threshold level of elective upstream transmission capacity is a maximum of 112,600 Dth/day of marketer-provided upstream capacity
*PSC-24-07-00012-P exempt	Gas Efficiency Program by the City of New York	To consider rehearing a decision establishing a Gas Efficiency Program
*PSC-39-07-00017-P exempt	Gas bill issuance charge by New York State Electric & Gas Corporation	To create a gas bill issuance charge unbundled from delivery rates
*PSC-41-07-00009-P exempt	Submetering of electricity rehearing	To seek reversal
*PSC-42-07-00012-P exempt	Energy efficiency program by Orange and Rockland Utilities, Inc.	To consider any energy efficiency program for Orange and Rockland Utilities, Inc.'s electric service
*PSC-42-07-00013-P exempt	Revenue decoupling by Orange and Rockland Utilities, Inc.	To consider a revenue decoupling mechanism for Orange and Rockland Utilities, Inc.
*PSC-45-07-00005-P exempt	Customer incentive programs by Orange and Rockland Utilities, Inc.	To establish a tariff provision
*PSC-02-08-00006-P exempt	Additional central office codes in the 315 area code region	To consider options for making additional codes
*PSC-03-08-00006-P exempt	Rehearing of the accounting determinations	To grant or deny a petition for rehearing of the accounting determinations
*PSC-04-08-00010-P exempt	Granting of easement rights on utility property by Central Hudson Gas & Electric Corporation	To grant easement rights to Millennium Pipeline Company, L.L.C.
*PSC-04-08-00012-P exempt	Marketing practices of energy service companies by the Consumer Protection Board and New York City Department of Consumer Affairs	To consider modifying the commission's regulation over marketing practices of energy service companies
*PSC-08-08-00016-P exempt	Transfer of ownership by Entergy Nuclear Fitzpatrick LLC, et al.	To consider the transfer

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-12-08-00019-P exempt	Extend the provisions of the existing electric rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-12-08-00021-P exempt	Extend the provisions of the existing gas rate plan by Rochester Gas and Electric Corporation	To consider the request
*PSC-13-08-00011-P exempt	Waiver of commission policy and NYSEG tariff by Turner Engineering, PC	To grant or deny Turner's petition
*PSC-13-08-00012-P exempt	Voltage drops by New York State Electric & Gas Corporation	To grant or deny the petition
*PSC-23-08-00008-P exempt	Petition requesting rehearing and clarification of the commission's April 25, 2008 order denying petition of public utility law project	To consider whether to grant or deny, in whole or in part, the May 7, 2008 Public Utility Law Project (PULP) petition for rehearing and clarification of the commission's April 25, 2008 order denying petition of Public Utility Law Project
*PSC-25-08-00007-P exempt	Policies and procedures regarding the selection of regulatory proposals to meet reliability needs	To establish policies and procedures regarding the selection of regulatory proposals to meet reliability needs
*PSC-25-08-00008-P exempt	Report on Callable Load Opportunities	Rider U report assessing callable load opportunities in New York City and Westchester County during the next 10 years
*PSC-28-08-00004-P exempt	Con Edison's procedure for providing customers access to their account information	To consider Con Edison's implementation plan and timetable for providing customers access to their account information
*PSC-31-08-00025-P exempt	Recovery of reasonable DRS costs from the cost mitigation reserve (CMR)	To authorize recovery of the DRS costs from the CMR
*PSC-32-08-00009-P exempt	The ESCO referral program for KEDNY to be implemented by October 1, 2008	To approve, reject or modify, in whole or in part, KEDNY's recommended ESCO referral program
*PSC-33-08-00008-P exempt	Noble Allegany's request for lightened regulation	To consider Noble Allegany's request for lightened regulation as an electric corporation
*PSC-36-08-00019-P exempt	Land Transfer in the Borough of Manhattan, New York	To consider petition for transfer of real property to NYPH
*PSC-39-08-00010-P exempt	RG&E's economic development plan and tariffs	Consideration of the approval of RG&E's economic development plan and tariffs
*PSC-40-08-00010-P exempt	Loans from regulated company to its parent	To determine if the cash management program resulting in loans to the parent should be approved
*PSC-41-08-00009-P exempt	Transfer of control of cable TV franchise	To determine if the transfer of control of Margaretville's cable TV subsidiary should be approved
*PSC-43-08-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-46-08-00008-P exempt	Property transfer in the Village of Avon, New York	To consider a petition for the transfer of street lighting and attached equipment to the Village of Avon, New York
*PSC-46-08-00010-P exempt	A transfer of indirect ownership interests in nuclear generation facilities	Consideration of approval of a transfer of indirect ownership interests in nuclear generation facilities
*PSC-46-08-00014-P exempt	The attachment of cellular antennae to an electric transmission tower	To approve, reject or modify the request for permission to attach cellular antennae to an electric transmission tower
*PSC-48-08-00005-P exempt	A National Grid high efficiency gas heating equipment rebate program	To expand eligibility to customers converting from oil to natural gas
*PSC-48-08-00008-P exempt	Petition for the master metering and submetering of electricity	To consider the request of Bay City Metering, to master meter & submeter electricity at 345 E. 81st St., New York, New York
*PSC-48-08-00009-P exempt	Petition for the submetering of electricity	To consider the request of PCV/ST to submeter electricity at Peter Cooper Village & Stuyvesant Town, New York, New York
*PSC-50-08-00018-P exempt	Market Supply Charge	A study on the implementation of a revised Market Supply Charge
*PSC-51-08-00006-P exempt	Commission's October 27, 2008 Order on Future of Retail Access Programs in Case 07-M-0458	To consider a Petition for rehearing of the Commission's October 27, 2008 Order in Case 07-M-0458
*PSC-51-08-00007-P exempt	Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078	To consider Petitions for rehearing of the Commission's October 27, 2008 Order in Cases 98-M-1343, 07-M-1514 and 08-G-0078
*PSC-53-08-00011-P exempt	Use of deferred Rural Telephone Bank funds	To determine if the purchase of a softswitch by Hancock is an appropriate use of deferred Rural Telephone Bank funds
*PSC-53-08-00012-P exempt	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY	Transfer of permanent and temporary easements at 549-555 North Little Tor Road, New City, NY
*PSC-53-08-00013-P exempt	To transfer common stock and ownership	To consider transfer of common stock and ownership
*PSC-01-09-00015-P exempt	FCC decision to redefine service area of Citizens/Frontier	Review and consider FCC proposed redefinition of Citizens/Frontier service area
*PSC-02-09-00010-P exempt	Competitive classification of independent local exchange company, and regulatory relief appropriate thereto	To determine if Chazy & Westport Telephone Corporation more appropriately belongs in scenario 1 rather than scenario 2
*PSC-05-09-00008-P exempt	Revenue allocation, rate design, performance metrics, and other non-revenue requirement issues	To consider any remaining non-revenue requirement issues related to the Company's May 9, 2008 tariff filing
*PSC-05-09-00009-P exempt	Numerous decisions involving the steam system including cost allocation, energy efficiency and capital projects	To consider the long term impacts on steam rates and on public policy of various options concerning the steam system

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-06-09-00007-P exempt	Interconnection of the networks between Frontier Comm. and WVT Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier Comm. and WVT Comm.
*PSC-07-09-00015-P exempt	Transfer certain utility assets located in the Town of Montgomery from plant held for future use to non-utility property	To consider the request to transfer certain utility assets located in the Town of Montgomery to non-utility assets
*PSC-07-09-00017-P exempt	Request for authorization to defer the incremental costs incurred in the restoration work resulting from the ice storm	To allow the company to defer the incremental costs incurred in the restoration work resulting from the ice storm
*PSC-07-09-00018-P exempt	Whether to permit the submetering of natural gas service to an industrial and commercial customer at Cooper Union, New York, NY	To consider the request of Cooper Union, to submeter natural gas at 41 Cooper Square, New York, New York
*PSC-12-09-00010-P exempt	Charges for commodity	To charge customers for commodity costs
*PSC-12-09-00012-P exempt	Charges for commodity	To charge customers for commodity costs
*PSC-13-09-00008-P exempt	Options for making additional central office codes available in the 718/347 numbering plan area	To consider options for making additional central office codes available in the 718/347 numbering plan area
*PSC-14-09-00014-P exempt	The regulation of revenue requirements for municipal utilities by the Public Service Commission	To determine whether the regulation of revenue requirements for municipal utilities should be modified
*PSC-16-09-00010-P exempt	Petition for the submetering of electricity	To consider the request of AMPS on behalf of Park Imperial to submeter electricity at 230 W. 56th Street, in New York, New York
*PSC-16-09-00020-P exempt	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity	Whether SUNY's core accounts should be exempt from the mandatory assignment of local distribution company (LDC) capacity
*PSC-17-09-00010-P exempt	Whether to permit the use of Elster REX2 solid state electric meter for use in residential and commercial accounts	To permit electric utilities in New York State to use the Elster REX2
*PSC-17-09-00011-P exempt	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes	Whether Brooklyn Navy Yard Cogeneration Partners, L.P. should be reimbursed by Con Edison for past and future use taxes
*PSC-17-09-00012-P exempt	Petition for the submetering of gas at commercial property	To consider the request of Turner Construction, to submeter natural gas at 550 Short Ave., & 10 South St., Governors Island, NY
*PSC-17-09-00014-P exempt	Benefit-cost framework for evaluating AMI programs prepared by the DPS Staff	To consider a benefit-cost framework for evaluating AMI programs prepared by the DPS Staff
*PSC-17-09-00015-P exempt	The construction of a tower for wireless antennas on land owned by National Grid	To approve, reject or modify the petition to build a tower for wireless antennas in the Town of Onondaga
*PSC-18-09-00012-P exempt	Petition for rehearing of Order approving the submetering of electricity	To consider the request of Frank Signore to rehear petition to submeter electricity at One City Place in White Plains, New York

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-18-09-00013-P exempt	Petition for the submetering of electricity	To consider the request of Living Opportunities of DePaul to submeter electricity at E. Main St. located in Batavia, New York
*PSC-18-09-00017-P exempt	Approval of an arrangement for attachment of wireless antennas to the utility's transmission facilities in the City of Yonkers	To approve, reject or modify the petition for the existing wireless antenna attachment to the utility's transmission tower
*PSC-20-09-00016-P exempt	The recovery of, and accounting for, costs associated with the Companies' advanced metering infrastructure (AMI) pilots etc	To consider a filing of the Companies as to the recovery of, and accounting for, costs associated with it's AMI pilots etc
*PSC-20-09-00017-P exempt	The recovery of, and accounting for, costs associated with CHG&E's AMI pilot program	To consider a filing of CHG&E as to the recovery of, and accounting for, costs associated with it's AMI pilot program
*PSC-22-09-00011-P exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-25-09-00005-P exempt	Whether to grant, deny, or modify, in whole or in part, the petition	Whether to grant, deny, or modify, in whole or in part, the petition
*PSC-25-09-00006-P exempt	Electric utility implementation plans for proposed web based SIR application process and project status database	To determine if the proposed web based SIR systems are adequate and meet requirements needed for implementation
*PSC-25-09-00007-P exempt	Electric rates for Consolidated Edison Company of New York, Inc	Consider a Petition for Rehearing filed by Consolidated Edison Company of New York, Inc
*PSC-27-09-00011-P exempt	Interconnection of the networks between Vernon and tw telecom of new york l.p. for local exchange service and exchange access.	To review the terms and conditions of the negotiated agreement between Vernon and tw telecom of new york l.p.
*PSC-27-09-00014-P exempt	Billing and payment for energy efficiency measures through utility bill	To promote energy conservation
*PSC-27-09-00015-P exempt	Interconnection of the networks between Oriskany and tw telecom of new york l.p. for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Oriskany and tw telecom of new york l.p
*PSC-29-09-00011-P exempt	Consideration of utility compliance filings	Consideration of utility compliance filings
*PSC-32-09-00009-P exempt	Cost allocation for Consolidated Edison's East River Repowering Project	To determine whether any changes are warranted in the cost allocation of Consolidated Edison's East River Repowering Project
*PSC-34-09-00016-P exempt	Recommendations made in the Management Audit Final Report	To consider whether to take action or recommendations contained in the Management Audit Final Report
*PSC-34-09-00017-P exempt	To consider the transfer of control of Plattsburgh Cablevision, Inc. d/b/a Charter Communications to CH Communications, LLC	To allow the Plattsburgh Cablevision, Inc. to distribute its equity interest in CH Communications, LLC
*PSC-36-09-00008-P exempt	The increase in the non-bypassable charge implemented by RG&E on June 1, 2009	Considering exemptions from the increase in the non-bypassable charge implemented by RG&E on June 1, 2009

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-37-09-00015-P exempt	Sale of customer-generated steam to the Con Edison steam system	To establish a mechanism for sale of customer-generated steam to the Con Edison steam system
*PSC-37-09-00016-P exempt	Applicability of electronic signatures to Deferred Payment Agreements	To determine whether electronic signatures can be accepted for Deferred Payment Agreements
*PSC-39-09-00015-P exempt	Modifications to the \$5 Bill Credit Program	Consideration of petition of National Grid to modify the Low Income \$5 Bill Credit Program
*PSC-39-09-00018-P exempt	The offset of deferral balances with Positive Benefit Adjustments	To consider a petition to offset deferral balances with Positive Benefit Adjustments
*PSC-40-09-00013-P exempt	Uniform System of Accounts - request for deferral and amortization of costs	To consider a petition to defer and amortize costs
*PSC-51-09-00029-P exempt	Rules and guidelines for the exchange of retail access data between jurisdictional utilities and eligible ESCOs	To revise the uniform Electronic Data Interchange Standards and business practices to incorporate a contest period
*PSC-51-09-00030-P exempt	Waiver or modification of Capital Expenditure condition of merger	To allow the companies to expend less funds for capital improvement than required by the merger
*PSC-52-09-00006-P exempt	ACE's petition for rehearing for an order regarding generator-specific energy deliverability study methodology	To consider whether to change the Order Prescribing Study Methodology
*PSC-52-09-00008-P exempt	Approval for the New York Independent System Operator, Inc. to incur indebtedness and borrow up to \$50,000,000	To finance the renovation and construction of the New York Independent System Operator, Inc.'s power control center facilities
*PSC-05-10-00008-P exempt	Petition for the submetering of electricity	To consider the request of University Residences - Rochester, LLC to submeter electricity at 220 John Street, Henrietta, NY
*PSC-05-10-00015-P exempt	Petition for the submetering of electricity	To consider the request of 243 West End Avenue Owners Corp. to submeter electricity at 243 West End Avenue, New York, NY
*PSC-06-10-00022-P exempt	The Commission's Order of December 17, 2009 related to redevelopment of Consolidated Edison's Hudson Avenue generating facility	To reconsider the Commission's Order of December 17, 2009 related to redevelopment of the Hudson Avenue generating facility
*PSC-07-10-00009-P exempt	Petition to revise the Uniform Business Practices	To consider the RESA petition to allow rescission of a customer request to return to full utility service
*PSC-08-10-00007-P exempt	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847	Whether to grant, deny, or modify , in whole or in part, the rehearing petition filed in Case 06-E-0847
*PSC-08-10-00009-P exempt	Consolidated Edison of New York, Inc. energy efficiency programs	To modify approved energy efficiency programs
*PSC-12-10-00015-P exempt	Recommendations made by Staff intended to enhance the safety of Con Edison's gas operations	To require that Con Edison implement the Staff recommendations intended to enhance the safety of Con Edison's gas operations

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-14-10-00010-P exempt	Petition for the submetering of electricity	To consider the request of 61 Jane Street Owners Corporation to submeter Electricity at 61 Jane Street, Manhattan, NY
*PSC-16-10-00005-P exempt	To consider adopting and expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-16-10-00007-P exempt	Interconnection of the networks between TDS Telecom and PAETEC Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between TDS Telecom and PAETEC Communications
*PSC-16-10-00015-P exempt	Interconnection of the networks between Frontier and Choice One Communications for local exchange service and exchange access	To review the terms and conditions of the negotiated agreement between Frontier and Choice One Communications
*PSC-18-10-00009-P exempt	Electric utility transmission right-of-way management practices	To consider electric utility transmission right-of-way management practices
*PSC-19-10-00022-P exempt	Whether National Grid should be permitted to transfer a parcel of property located at 1 Eddy Street, Fort Edward, New York	To decide whether to approve National Grid's request to transfer a parcel of vacant property in Fort Edward, New York
*PSC-22-10-00006-P exempt	Requirement that Noble demonstrate that its affiliated electric corporations operating in New York are providing safe service	Consider requiring that Noble demonstrate that its affiliated electric corporations in New York are providing safe service
*PSC-22-10-00008-P exempt	Petition for the submetering of electricity	To consider the request of 48-52 Franklin Street to submeter electricity at 50 Franklin Street, New York, New York
*PSC-24-10-00009-P exempt	Verizon New York Inc. tariff regulations relating to voice messaging service	To remove tariff regulations relating to retail voice messaging service from Verizon New York Inc.'s tariff
*PSC-25-10-00012-P exempt	Reassignment of the 2-1-1 abbreviated dialing code	Consideration of petition to reassign the 2-1-1 abbreviated dialing code
*PSC-27-10-00016-P exempt	Petition for the submetering of electricity	To consider the request of 9271 Group, LLC to submeter electricity at 960 Busti Avenue, Buffalo, New York
*PSC-34-10-00003-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-34-10-00005-P exempt	Approval of a contract for \$250,000 in tank repairs that may be a financing	To decide whether to approve a contract between the parties that may be a financing of \$250,000 for tank repairs
*PSC-34-10-00006-P exempt	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program	The modification of Central Hudson Gas & Electric Corporation's Enhanced Powerful Opportunities Program
*PSC-36-10-00010-P exempt	Central Hudson's procedures, terms and conditions for an economic development plan	Consideration of Central Hudson's procedures, terms and conditions for an economic development plan
*PSC-40-10-00014-P exempt	Disposition of a state sales tax refund	To determine how much of a state sales tax refund should be retained by National Grid

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-40-10-00021-P exempt	Whether to permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall	To permit the submetering of natural gas service to a commercial customer at Quaker Crossing Mall
*PSC-41-10-00018-P exempt	Amount of hourly interval data provided to Hourly Pricing customers who have not installed a phone line to read meter	Allow Central Hudson to provide less than a years worth of interval data and charge for manual meter reading for some customers
*PSC-41-10-00022-P exempt	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY	Request for waiver of the individual living unit metering requirements at 5742 Route 5, Vernon, NY
*PSC-42-10-00011-P exempt	Petition for the submetering of electricity	To consider the request of 4858 Group, LLC to submeter electricity at 456 Main Street, Buffalo, New York
*PSC-43-10-00016-P exempt	Utility Access to Ducts, Conduit Facilities and Utility Poles	To review the complaint from Optical Communications Group
*PSC-44-10-00003-P exempt	Third and fourth stage gas rate increase by Corning Natural Gas Corporation	To consider Corning Natural Gas Corporation's request for a third and fourth stage gas rate increase
*PSC-51-10-00018-P exempt	Commission proceeding concerning three-phase electric service by all major electric utilities	Investigate the consistency of the tariff provisions for three-phase electric service for all major electric utilities
*PSC-11-11-00003-P exempt	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service	The proposed transfer of 55.42 acres of land and \$1.4 million of revenues derived from the rendition of public service
*PSC-13-11-00005-P exempt	Exclude the minimum monthly bill component from the earnings test calculation	Exclude the minimum monthly bill component from the earnings test calculation
*PSC-14-11-00009-P exempt	Petition for the submetering of electricity	To consider the request of 83-30 118th Street to submeter electricity at 83-30 118th Street, Kew Gardens, New York
*PSC-19-11-00007-P exempt	Utility price reporting requirements related to the Commission's "Power to Choose" website	Modify the Commission's utility electric commodity price reporting requirements related to the "Power to Choose" website
*PSC-20-11-00012-P exempt	Petition for the submetering of electricity	To consider the request of KMW Group LLC to submeter electricity at 122 West Street, Brooklyn, New York
*PSC-20-11-00013-P exempt	Determining the reasonableness of Niagara Mohawk Power Corporation d/b/a National Grid 's make ready charges	To determine if the make ready charges of Niagara Mohawk Power Corporation d/b/a National Grid are reasonable
*PSC-22-11-00004-P exempt	Whether to permit the use of the Sensus accWAVE for use in residential gas meter applications	To permit gas utilities in New York State to use the Sensus accWAVE diaphragm gas meter
*PSC-26-11-00007-P exempt	Water rates and charges	To approve an increase in annual revenues by about \$25,266 or 50%
*PSC-26-11-00009-P exempt	Petition for the submetering of electricity at commercial property	To consider the request of by Hoosick River Hardwoods, LLC to submeter electricity at 28 Taylor Avenue, in Berlin, New York

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-26-11-00012-P exempt	Waiver of generation retirement notice requirements	Consideration of waiver of generation retirement notice requirements
*PSC-29-11-00011-P exempt	Petition requesting the Commission reconsider its May 19, 2011 Order and conduct a hearing, and petition to stay said Order.	To consider whether to grant or deny, in whole or in part, Windstream New York's Petition For Reconsideration and Rehearing.
*PSC-35-11-00011-P exempt	Whether to permit Consolidated Edison a waiver to commission regulations Part 226.8	Permit Consolidated Edison to conduct a inspection program in lieu of testing the accuracy of Category C meters
*PSC-36-11-00006-P exempt	To consider expanding mobile stray voltage testing requirements	Adopt additional mobile stray voltage testing requirements
*PSC-38-11-00002-P exempt	Operation and maintenance procedures pertaining to steam trap caps	Adopt modified steam operation and maintenance procedures
*PSC-38-11-00003-P exempt	Waiver of certain provisions of the electric service tariffs of Con Edison	Consideration of waiver of certain provisions of the electric service tariffs of Con Edison
*PSC-40-11-00010-P exempt	Participation of regulated local exchange carriers in the New York Data Exchange, Inc. (NYDE)	Whether to partially modify its order requiring regulated local exchange carriers' participation NYDE
*PSC-40-11-00012-P exempt	Granting of transfer of plant in-service to a regulatory asset	To approve transfer and recovery of unamortized plant investment
*PSC-42-11-00018-P exempt	Availability of telecommunications services in New York State at just and reasonable rates	Providing funding support to help ensure availability of affordable telecommunications service throughout New York
*PSC-43-11-00012-P exempt	Transfer of outstanding shares of stock	Transfer the issued outstanding shares of stock of The Meadows at Hyde Park Water-Works Corporation to HPWS, LLC
*PSC-47-11-00007-P exempt	Remedying miscalculations of delivered gas as between two customer classes	Consideration of Con Edison's proposal to address inter-class delivery imbalances resulting from past Company miscalculations
*PSC-48-11-00007-P exempt	Transfer of controlling interests in generation facilities from Dynegy to PSEG	Consideration of the transfer of controlling interests in electric generation facilities from Dynegy to PSEG
*PSC-48-11-00008-P exempt	Petition for the submetering of electricity	To consider the request of To Better Days, LLC to submeter electricity at 37 East 4th Street, New York, New York
*PSC-01-12-00007-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-01-12-00008-P exempt	Transfer of real property and easements from NMPNS to NMP3	Consideration of the transfer of real property and easements from NMPNS to NMP3
*PSC-01-12-00009-P exempt	Recovery of expenses related to the expansion of Con Edison's ESCO referral program, PowerMove	To determine how and to what extent expenses related to the Expansion of Con Edison's ESCO referral program should be recovered
*PSC-11-12-00002-P exempt	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff	Whether to grant, deny or modify, in whole or part, Hegeman's petition for a waiver of Commission policy and Con Edison tariff

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-11-12-00005-P exempt	Transfer of land and water supply assets	Transfer the land and associated water supply assets of Groman Shores, LLC to Robert Groman
*PSC-13-12-00005-P exempt	Authorization to transfer certain real property	To decide whether to approve the transfer of certain real property
*PSC-19-12-00023-P exempt	Petition for approval pursuant to Section 70 for the sale of goods with an original cost of less than \$100,000	To consider whether to grant, deny or modify, in whole or in part, the petition filed by Orange and Rockland Utilities, Inc.
*PSC-21-12-00006-P exempt	Tariff filing requirements and refunds	To determine if certain agreements should be filed pursuant to the Public Service Law and if refunds are warranted
*PSC-21-12-00011-P exempt	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47	Whether to grant, deny or modify, in whole or part, the petition for waiver of tariff Rules 8.6 and 47
*PSC-23-12-00007-P exempt	The approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility	To consider the approval of a financing upon a transfer to Alliance of upstream ownership interests in a generation facility
*PSC-23-12-00009-P exempt	Over earnings sharing between rate payers and shareholders	To establish an Earnings Sharing Mechanism to be applied following the conclusion of Corning's rate plan
*PSC-27-12-00012-P exempt	Implementation of recommendations made in a Management Audit Report	To consider implementation of recommendations made in a Management Audit Report
*PSC-28-12-00013-P exempt	Exemption of reliability reporting statistics for the purpose of the 2012 Reliability Performance Mechanism	Consideration of Orange and Rockland Utilities request for exemption of the 2012 reliability reporting statistics
*PSC-29-12-00019-P exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Hamden to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-30-12-00010-P exempt	Waiver of 16 NYCRR 894.1 through 894.4	To allow the Town of Andes to waive certain preliminary franchising procedures to expedite the franchising process
*PSC-33-12-00009-P exempt	Telecommunications companies ability to attach to utility company poles	Consideration of Tech Valley's ability to attach to Central Hudson poles
*PSC-37-12-00009-P exempt	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers	Proposed modification by Con Edison of its procedures to calculate estimated bills to its customers
*PSC-42-12-00009-P exempt	Regulation of Gipsy Trail Club, Inc.'s long-term financing agreements	To exempt Gipsy Trail Club, Inc. from Commission regulation of its financing agreements
*PSC-45-12-00008-P exempt	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff	Whether to grant, deny or modify, in whole or part, ESHG's petition for a waiver of Commission policy and RG&E tariff
*PSC-45-12-00010-P exempt	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District	Whether to grant, deny or modify, in whole or in part the petition of Con Edison to grant easements to Millwood Fire District

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-50-12-00003-P exempt	Affiliate standards for Corning Natural Gas Corporation	To resolve issues raised by Corning Natural Gas Corporation in its petition for rehearing
*PSC-04-13-00006-P exempt	Expansion of mandatory day ahead hourly pricing for customers of Orange and Rockland Utilities with demands above 100 kW	To consider the expansion of mandatory day ahead hourly pricing for customers with demands above 100 kW
*PSC-04-13-00007-P exempt	Authorization to transfer certain real property.	To decide whether to approve the transfer of certain real property.
*PSC-06-13-00008-P exempt	Verizon New York Inc.'s retail service quality	To investigate Verizon New York Inc.'s retail service quality
*PSC-08-13-00012-P exempt	Filing requirements for certain Article VII electric facilities	To ensure that applications for certain electric transmission facilities contain pertinent information
*PSC-08-13-00014-P exempt	Uniform System of Accounts - Request for Accounting Authorization	To allow the company to defer an item of expense or capital beyond the end of the year in which it was incurred
*PSC-12-13-00007-P exempt	Protecting company water mains	To allow the company to require certain customers to make changes to the electrical grounding system at their homes
*PSC-13-13-00008-P exempt	The potential waiver of 16 NYCRR 255.9221(d) completion of integrity assessments for certain gas transmission lines.	To determine whether a waiver of the timely completion of certain gas transmission line integrity assessments should be granted.
*PSC-18-13-00007-P exempt	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes	Whether Demand Energy Networks energy storage systems should be designated technologies for standby rate eligibility purposes
*PSC-21-13-00003-P exempt	To consider policies that may impact consumer acceptance and use of electric vehicles	To consider and further develop policies that may impact consumer acceptance and use of electric vehicles
*PSC-21-13-00005-P exempt	To implement an abandonment of Windover's water system	To approve the implementation of abandonment of Windover's water system
*PSC-21-13-00008-P exempt	Rates of National Fuel Gas Distribution Corporation	To make the rates of National Fuel Gas Distribution Corporation temporary, subject to refund, if they are found to be excessive
*PSC-21-13-00009-P exempt	Reporting requirements for natural gas local distribution companies	To help ensure efficient and economic expansion of the natural gas system as appropriate
*PSC-22-13-00009-P exempt	On remand from New York State court litigation, determine the recovery of certain deferred amounts owed NFG by ratepayers	On remand, to determine the recovery of certain deferral amounts owed NFG from ratepayers
*PSC-23-13-00005-P exempt	Waiver of partial payment, directory database distribution, service quality reporting, and service termination regulations	Equalize regulatory treatment based on level of competition and practical considerations
*PSC-25-13-00008-P exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-25-13-00009-P exempt	Provision by utilities of natural gas main and service lines.	To help ensure efficient and economic expansion of the natural gas system as appropriate.
*PSC-25-13-00012-P exempt	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.	To deny, grant or modify, in whole or in part, Central Hudson's rehearing request.
*PSC-27-13-00014-P exempt	Columbia Gas Transmission Corporation Cost Refund	For approval for temporary waiver of tariff provisions regarding its Columbia Gas Transmission Corporation cost refund.
*PSC-28-13-00014-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces
*PSC-28-13-00016-P exempt	The request of NGT for lightened regulation as a gas corporation.	To consider whether to approve, reject, or modify the request of Niagara gas transport of Lockport, NY LLC.
*PSC-28-13-00017-P exempt	The request by TE for waiver of regulations requiring that natural gas be odorized in certain gathering line segments	Consider the request by TE for waiver of regulations that gas be odorized in certain lines
*PSC-32-13-00009-P exempt	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices	To consider the definition of "misleading or deceptive conduct" in the Commission's Uniform Business Practices
*PSC-32-13-00012-P exempt	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion	To consider whether NYSEG should be required to undertake actions to protect its name and to minimize customer confusion
*PSC-33-13-00027-P exempt	Waive underground facility requirements for new construction in residential subdivisions to allow for overhead electric lines.	Determine whether Chapin Lumberland, LLC subdivision will be allowed overhead electric distribution and service lines.
*PSC-33-13-00029-P exempt	Deferral of incremental costs associated with the restoration of steam service following Superstorm Sandy.	To consider a petition by Con Edison to defer certain incremental steam system restoration costs relating to Superstorm Sandy.
*PSC-34-13-00004-P exempt	Escrow account and surcharge to fund extraordinary repairs	To approve the establishment of an escrow account and surcharge
*PSC-42-13-00013-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-42-13-00015-P exempt	Failure to Provide Escrow Information	The closure of the Escrow Account
*PSC-43-13-00015-P exempt	Petition for submetering of electricity	To consider the request of 2701 Kingsbridge Terrace L.P. to submeter electricity at 2701 Kingsbridge Terrace, Bronx, N.Y.
*PSC-45-13-00021-P exempt	Investigation into effect of bifurcation of gas and electric utility service on Long Island.	To consider a Petition for an investigation into effect of bifurcation of gas and electric utility service on Long Island.
*PSC-45-13-00022-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4)	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00023-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-45-13-00024-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4); waiver of filing deadlines.	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-45-13-00025-P exempt	Waiver of PSC regulations, 16 NYCRR section 88.4(a)(4).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting
*PSC-47-13-00009-P exempt	Petition for submetering of electricity.	To consider the request of Hegeman Avenue Housing L.P. to submeter electricity at 39 Hegeman Avenue, Brooklyn, N.Y.
*PSC-47-13-00012-P exempt	Conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.	Consideration of conditioning,restricting or prohibiting the purchase of services by NYSEG and RG&E from certain affiliates.
*PSC-49-13-00008-P exempt	Authorization to transfer all of Crystal Water Supply Company, Inc. stocks to Essel Infra West Inc.	To allow Crystal Water Supply Company, Inc to transfer all of its issued and outstanding stocks to Essel Infra West Inc.
*PSC-51-13-00009-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00010-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-51-13-00011-P exempt	Consolidated Edison proposing to use data from a test period ending September 30, 2013 to support its next rate filing.	To ensure there is a reasonable basis for data submitted in support of a request for a change in rates.
*PSC-52-13-00012-P exempt	The development of reliability contingency plan(s) to address the potential retirement of Indian Point Energy Center (IPEC).	To address the petition for rehearing and reconsideration/motion for clarification of the IPEC reliability contingency plan(s).
*PSC-52-13-00015-P exempt	To enter into a loan agreement with the banks for up to an amount of \$94,000.	To consider allowing Knolls Water Company to enter into a long-term loan agreement.
*PSC-05-14-00010-P exempt	The New York State Reliability Council's revisions to its rules and measurements	To adopt revisions to various rules and measurements of the New York State Reliability Council
*PSC-07-14-00008-P exempt	Petition for submetering of electricity	To consider the request of Greater Centennial Homes HDFC, Inc. to submeter electricity at 102, 103 and 106 W 5th Street, et al.
*PSC-07-14-00012-P exempt	Water rates and charges	Implementation of Long-Term Water Supply Surcharge to recover costs associated with the Haverstraw Water Supply Project
*PSC-08-14-00015-P exempt	Verizon New York Inc.'s service quality and Customer Trouble Report Rate (CTRR) levels at certain central office entities	To improve Verizon New York Inc.'s service quality andthe Customer Trouble Report Rate levels at certain central office entities
*PSC-10-14-00006-P exempt	Actions to facilitate the availability of ESCO value-added offerings, ESCO eligibility and ESCO compliance	To facilitate ESCO value-added offerings and to make changes to ESCO eligibility and to ensure ESCO compliance
*PSC-11-14-00003-P exempt	Provision for the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces	To consider the recovery and allocation of costs of transmission projects that reduce congestion on certain interfaces

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-16-14-00014-P exempt	Whether to order NYSEG to provide gas service to customers when an expanded CPCN is approved and impose PSL 25-a penalties.	To order gas service to customers in the Town of Plattsburgh after approval of a town wide CPCN and to impose penalties.
*PSC-16-14-00015-P exempt	Whether Central Hudson should be permitted to defer obligations of the Order issued on October 18, 2013 in Case 13-G-0336.	Consideration of the petition by Central Hudson to defer reporting obligations of the October 18, 2013 Order in Case 13-G-0336
*PSC-17-14-00003-P exempt	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2013 performance under the Electric Service Reliability Performance Mechanism
*PSC-17-14-00004-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00007-P exempt	To consider petitions for rehearing, reconsideration and/or clarification	To consider petitions for rehearing, reconsideration and/or clarification
*PSC-17-14-00008-P exempt	To consider certain portions of petitions for rehearing, reconsideration and/or clarification	To consider certain portions of petitions for rehearing, reconsideration and/or clarification
*PSC-19-14-00014-P exempt	Market Supply Charge	To make tariff revisions to the Market Supply Charge for capacity related costs
*PSC-19-14-00015-P exempt	Whether to permit the use of the Sensus accuWAVE for use in residential and commercial gas meter applications	To permit gas utilities in New York State to use the Sensus accuWAVE 415TC gas meter
*PSC-22-14-00013-P exempt	Petition to transfer and merge systems, franchises and assets.	To consider the Comcast and Time Warner Cable merger and transfer of systems, franchises and assets.
*PSC-23-14-00010-P exempt	Whether to permit the use of the GE Dresser Series B3-HPC 11M-1480 rotary gas met for use in industrial gas meter applications	To permit gas utilities in New York State to use the GE Dresser Series B3-HPC 11M-1480 rotary gas meter
*PSC-23-14-00014-P exempt	Waiver of the negative revenue adjustment associated with KEDLI's 2013 Customer Satisfaction Performance Metric	Consideration of KEDLI's waiver request pertaining to its 2013 performance under its Customer Satisfaction Metric
*PSC-24-14-00005-P exempt	To examine LDC's performance and performance measures.	To improve gas safety performance.
*PSC-26-14-00013-P exempt	Waiver of RG&E's tariffed definition of emergency generator.	To consider waiver of RG&E's tariffed definition of emergency generator.
*PSC-26-14-00020-P exempt	New electric utility backup service tariffs and standards for interconnection may be adopted.	To encourage development of microgrids that enhance the efficiency, safety, reliability and resiliency of the electric grid.
*PSC-26-14-00021-P exempt	Consumer protections, standards and protocols pertaining to access to customer data may be established.	To balance the need for the information necessary to support a robust market with customer privacy concerns.
*PSC-28-14-00014-P exempt	Petition to transfer systems, franchises and assets.	To consider the Comcast and Charter transfer of systems, franchise and assets.
*PSC-30-14-00023-P exempt	Whether to permit the use of the Sensus iPERL Fire Flow Meter.	Pursuant to 16 NYCRR Part 500.3 , it is necessary to permit the use of the Sensus iPERL Fire Flow Meter.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-30-14-00026-P exempt	Petition for a waiver to master meter electricity.	Considering the request of Renaissance Corporation of to master meter electricity at 100 Union Drive, Albany, NY.
*PSC-31-14-00004-P exempt	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross	To transfer 100% of the issued and outstanding stock from Vincent Cross to Bonnie and Michael Cross
*PSC-32-14-00012-P exempt	Whether to grant or deny, in whole or in part, the Connect New York Coalition's petition	To consider the Connect New York Coalition's petition seeking a formal investigation and hearings
*PSC-35-14-00004-P exempt	Regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY	To consider regulation of a proposed electricity generation facility located in the Town of Brookhaven, NY
*PSC-35-14-00005-P exempt	Whether to permit the use of the Sensus iConA electric meter	Pursuant to 16 NYCRR Parts 92 and 93, Commission approval is necessary to permit the use of the Sensus iConA electric meter
*PSC-36-14-00009-P exempt	Modification to the Commission's Electric Safety Standards.	To consider revisions to the Commission's Electric Safety Standards.
*PSC-38-14-00003-P exempt	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.	Whether to approve, reject or modify, in whole or in part a time-sensitive rate pilot program.
*PSC-38-14-00004-P exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00005-P exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-38-14-00007-P exempt	Whether to expand Con Edison's low income program to include Medicaid recipients.	Whether to expand Con Edison's low income program to include Medicaid recipients.
*PSC-38-14-00008-P exempt	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.	The study and petition of Con Edison regarding use, accounting and ratemaking treatment for 11-23 and 2-28 Hudson Ave. Brooklyn.
*PSC-38-14-00010-P exempt	Inter-carrier telephone service quality standard and metrics and administrative changes.	To review recommendations from the Carrier Working Group and incorporate appropriate modifications to the existing Guidelines.
*PSC-38-14-00012-P exempt	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.	Action on the report and petition of Con Edison regarding the Storm Hardening and Resiliency Collaborative, Phase 2.
*PSC-39-14-00020-P exempt	Whether to permit the use of the Mueller Systems 400 Series and 500 Series of water meters	Pursuant to 16 NYCRR section 500.3, whether to permit the use of the Mueller Systems 400, and 500 Series of water meters
*PSC-40-14-00008-P exempt	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.	To consider granting authorization for Buy Energy Direct to resume marketing to residential customers.
*PSC-40-14-00009-P exempt	Whether to permit the use of the Itron Open Way Centron Meter with Hardware 3.1 for AMR and AMI functionality.	Pursuant to 16 NYCRR Parts 93, is necessary to permit the use of the Itron Open Way Centron Meter with Hardware 3.1.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-40-14-00011-P exempt	Late Payment Charge.	To modify Section 7.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-40-14-00013-P exempt	Regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.	To consider regulation of a proposed natural gas pipeline and related facilities located in the Town of Ticonderoga, NY.
*PSC-40-14-00014-P exempt	Waiver of 16 NYCRR Sections 894.1 through 894.4(b)(2)	To allow the Town of Goshen, NY, to waive certain preliminary franchising procedures to expedite the franchising process.
*PSC-40-14-00015-P exempt	Late Payment Charge.	To modify Section 6.6 - Late Payment Charge to designate a specific time for when a late payment charge is due.
*PSC-42-14-00003-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	The filings of various LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-42-14-00004-P exempt	Winter Bundled Sales Service Option	To modify SC-11 to remove language relating to fixed storage charges in the determination of the Winter Bundled Sales charge
*PSC-48-14-00014-P exempt	Considering the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.	To consider the recommendations contained in Staff's electric outage investigation report for MNRR, New Haven Line.
*PSC-52-14-00019-P exempt	Petition for a waiver to master meter electricity.	Considering the request of 614 South Crouse Avenue, LLC to master meter electricity at 614 South Crouse Avenue, Syracuse, NY..
*PSC-01-15-00014-P exempt	State Universal Service Fund Disbursements	To consider Edwards Telephone Company's request for State Universal Service Fund disbursements
*PSC-08-15-00009-P exempt	Approval of a surcharge.	To allow or disallow Emerald Green Lake Louise Marie Water Company, Inc. for a surcharge.
*PSC-08-15-00010-P exempt	Request pertaining to the lawfulness of National Grid USA continuing its summary billing program.	To grant, deny, or modify URAC Rate Consultants' request that National Grid cease its summary billing program.
*PSC-10-15-00007-P exempt	Notification concerning tax refunds	To consider Verizon New York Inc.'s partial rehearing or reconsideration request regarding retention of property tax refunds
*PSC-10-15-00008-P exempt	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes	Whether to waive Policy on Test Periods in Major Rate Proceedings and provide authority to file tariff changes
*PSC-13-15-00024-P exempt	Whether Leatherstocking should be permitted to recover a shortfall in earnings	To decide whether to approve Leatherstocking's request to recover a shortfall in earnings
*PSC-13-15-00026-P exempt	Whether to permit the use of the Sensus Smart Point Gas AMR/AMI product	To permit the use of the Sensus Smart Point Gas AMR/AMI product
*PSC-13-15-00027-P exempt	Whether to permit the use of the Measurlogic DTS 310 electric submeter	To permit the use of the Measurlogic DTS 310 submeter

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-13-15-00028-P exempt	Whether to permit the use of the SATEC EM920 electric meter	To permit necessary to permit the use of the SATEC EM920 electric meter
*PSC-13-15-00029-P exempt	Whether to permit the use the Triacta Power Technologies 6103, 6112, 6303, and 6312 electric submeters	To permit the use of the Triacta submeters
*PSC-17-15-00007-P exempt	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million	To consider the petition of Leatherstocking Gas Company, LLC seeking authority to issue long-term debt of \$2.75 million
*PSC-18-15-00005-P exempt	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism	Con Edison's Report on its 2014 performance under the Electric Service Reliability Performance Mechanism
*PSC-19-15-00011-P exempt	Gas Safety Performance Measures and associated negative revenue adjustments	To update the performance measures applicable to KeySpan Gas East Corporation d/b/a National Grid
*PSC-22-15-00015-P exempt	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)	To consider the request for waiver of the individual residential unit meter requirements and 16 NYCRR 96.1(a)
*PSC-23-15-00005-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-23-15-00006-P exempt	The modification of New York American Water's current rate plan	Whether to adopt the terms of the Joint Proposal submitted by NYAW and DPS Staff
*PSC-25-15-00008-P exempt	Notice of Intent to Submeter electricity.	To consider the request of 165 E 66 Residences, LLC to submeter electricity at 165 East 66th Street, New York, New York.
*PSC-29-15-00025-P exempt	Joint Petition for authority to transfer real property located at 624 West 132nd Street, New York, NY	Whether to authorize the proposed transfer of real property located at 624 West 132nd Street, New York, NY
*PSC-32-15-00006-P exempt	Development of a Community Solar Demonstration Project.	To approve the development of a Community Solar Demonstration Project.
*PSC-33-15-00009-P exempt	Remote net metering of a demonstration community net metering program.	To consider approval of remote net metering of a demonstration community net metering program.
*PSC-33-15-00012-P exempt	Remote net metering of a Community Solar Demonstration Project.	To consider approval of remote net metering of a Community Solar Demonstration Project.
*PSC-34-15-00021-P exempt	Petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs	To consider the petition by NYCOM requesting assistance with obtaining information on CLECs and ESCOs
*PSC-35-15-00014-P exempt	Consideration of consequences against Light Power & Gas, LLC for violations of the UBP	To consider consequences against Light Power & Gas, LLC for violations of the UBP
*PSC-37-15-00007-P exempt	Submetered electricity	To consider the request of 89 Murray Street Ass. LLC, for clarification of the submetering order issued December 20, 2007
*PSC-40-15-00014-P exempt	Whether to permit the use of the Open Way 3.5 with cellular communications	To consider the use of the Open Way 3.5 electric meter, pursuant to 16 NYCRR Parts 92 and 93

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-42-15-00006-P exempt	Deferral of incremental expenses associated with NERC's new Bulk Electric System (BES) compliance requirements approved by FERC.	Consideration of Central Hudson's request to defer incremental expenses associated with new BES compliance requirements.
*PSC-44-15-00028-P exempt	Deferral of incremental expenses associated with new compliance requirements	Consideration of Central Hudson's request to defer incremental expenses associated with new compliance requirements
*PSC-47-15-00013-P exempt	Whitepaper on Implementing Lightened Ratemaking Regulation.	Consider Whitepaper on Implementing Lightened Ratemaking Regulation.
*PSC-48-15-00010-P exempt	Lightened and incidental regulation of a 55 MW electric and steam generating facility.	Consider the lightened and incidental regulation of a 55 MW electric and steam generating facility.
*PSC-48-15-00011-P exempt	Proposal to retire Huntley Units 67 and 68 on March 1, 2016.	Consider the proposed retirement of Huntley Units 67 and 68.
*PSC-50-15-00006-P exempt	The reduction of rates.	To consider the reduction of rates charged by Independent Water Works, Inc.
*PSC-50-15-00009-P exempt	Notice of Intent to submeter electricity.	To consider the request to submeter electricity at 31-33 Lincoln Road and 510 Flatbush Avenue, Brooklyn, New York.
*PSC-51-15-00010-P exempt	Modification of the EDP	To consider modifying the EDP
*PSC-01-16-00005-P exempt	Proposed amendment to Section 5, Attachment 1.A of the Uniform Business Practices	To consider amendment to Section 5, Attachment 1.A of the Uniform Business Practices
*PSC-04-16-00007-P exempt	Whether Hamilton Municipal Utilities should be permitted to construct and operate a municipal gas distribution facility.	Consideration of the petition by Hamilton Municipal Utilities to construct and operate a municipal gas distribution facility.
*PSC-04-16-00012-P exempt	Proposal to mothball three gas turbines located at the Astoria Gas Turbine Generating Station.	Consider the proposed mothball of three gas turbines located at the Astoria Gas Turbine Generating Station.
*PSC-04-16-00013-P exempt	Proposal to find that three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.	Consider whether three gas turbines located at the Astoria Gas Turbine Generating Station are uneconomic.
*PSC-06-16-00013-P exempt	Continued deferral of approximately \$16,000,000 in site investigation and remediation costs.	To consider the continued deferral of approximately \$16,000,000 in site investigation and remediation costs.
*PSC-06-16-00014-P exempt	MEGA's proposed demonstration CCA program.	To consider MEGA's proposed demonstration CCA program.
*PSC-14-16-00008-P exempt	Resetting retail markets for ESCO mass market customers.	To ensure consumer protections with respect to residential and small non-residential ESCO customers.
*PSC-18-16-00013-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00014-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-18-16-00015-P exempt	Petitions for rehearing of the Order Resetting Retail Energy Markets and Establishing Further Process.	To ensure consumer protections for ESCO customers.
*PSC-18-16-00016-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-18-16-00018-P exempt	Amendments to the Uniform Business Practices of ESCOs.	To ensure consumer protection for ESCO customers.
*PSC-20-16-00008-P exempt	Consideration of consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).	To consider consequences against Global Energy Group, LLC for violations of the Uniform Business Practices (UBP).
*PSC-20-16-00010-P exempt	Deferral and recovery of incremental expense.	To consider deferring costs of conducting leak survey and repairs for subsequent recovery.
*PSC-20-16-00011-P exempt	Enetics LD-1120 Non-Intrusive Load Monitoring Device in the Statewide Residential Appliance Metering Study.	To consider the use of the Enetics LD-1120 Non-Intrusive Load Monitoring Device.
*PSC-24-16-00009-P exempt	Petition to submeter gas service.	To consider the Petition of New York City Economic Development Corp. to submeter gas at Pier 17, 89 South Street, New York, NY.
*PSC-25-16-00009-P exempt	To delay Companies' third-party assessments of customer personally identifiable information until 2018.	To extend the time period between the Companies' third-party assessments of customer personally identifiable information.
*PSC-25-16-00024-P exempt	Pole Attachment Rules.	To determine that the Commission's existing pole attachment rules apply to wireless providers.
*PSC-25-16-00025-P exempt	Acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.	To consider acquisition of all water supply assets of Woodbury Heights Estates Water Co., Inc. by the Village of Kiryas Joel.
*PSC-25-16-00026-P exempt	Use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter, in residential fire service applications.	To consider the use of the Badger E Series Ultrasonic Cold Water Stainless Steel Meter in fire service applications.
*PSC-28-16-00017-P exempt	A petition for rehearing of the Order Adopting a Ratemaking and Utility Revenue Model Policy Framework.	To determine appropriate rules for and calculation of the distributed generation reliability credit.
*PSC-29-16-00024-P exempt	Participation of NYPA customers in surcharge-funded clean energy programs.	To consider participation of NYPA customers in surcharge-funded clean energy programs.
*PSC-32-16-00012-P exempt	Benefit-Cost Analysis Handbooks.	To evaluate proposed methodologies of benefit-cost evaluation.
*PSC-33-16-00001-EP exempt	Use of escrow funds for repairs.	To authorize the use of escrow account funds for repairs.
*PSC-33-16-00005-P exempt	Exemption from certain charges for delivery of electricity to its Niagara Falls, New York facility.	Application of System Benefits Charges, Renewable Portfolio Standard charges and Clean Energy Fund surcharges.
*PSC-35-16-00015-P exempt	NYSRC's revisions to its rules and measurements	To consider revisions to various rules and measurements of the NYSRC

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-36-16-00004-P exempt	Recovery of costs for installation of electric service.	To consider the recovery of costs for installation of electric service.
*PSC-40-16-00025-P exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP).	To consider whether to impose consequences on Smart One for its apparent non-compliance with Commission requirements.
*PSC-47-16-00009-P exempt	Petition to use commercial electric meters	To consider the petition of Itron, Inc. to use the Itron CP2SO and CP2SOA in commercial electric meter applications
*PSC-47-16-00010-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00013-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00014-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-47-16-00016-P exempt	Standby Service rate design	To consider the report filed and the recommendations therein
*PSC-02-17-00010-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for RG&E.
*PSC-02-17-00012-P exempt	Implementation of the four EAMs.	To consider the implementation of EAMs for NYSEG.
*PSC-14-17-00017-P exempt	Petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.	To consider the petition for Full-Scale Deployment of AMI and to Establish an AMI Surcharge.
*PSC-18-17-00024-P exempt	A petition for rehearing or reconsideration of the Order Addressing Public Policy Transmission Need for AC Transmission Upgrades	To determine whether Public Policy Transmission Need/Public Policy Requirements continue to exist.
*PSC-18-17-00026-P exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
*PSC-19-17-00004-P exempt	NYAW's request to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2016.	Consideration of NYAW's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2016.
*PSC-20-17-00008-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid NY regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-20-17-00010-P exempt	Compressed natural gas as a motor fuel for diesel fueled vehicles.	To consider a report filed by National Grid regarding the potential for adoption of compressed natural gas as a motor fuel.
*PSC-21-17-00013-P exempt	The establishment and implementation of Earnings Adjustment Mechanisms.	To consider the establishment and implementation of Earnings Adjustment Mechanisms.
*PSC-21-17-00018-P exempt	Proposed agreement for the provision of water service by Saratoga Water Services, Inc.	To consider a waiver and approval of terms of a service agreement.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-22-17-00004-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives	To consider the proposed Interconnection Survey Process and Earnings Adjustment Mechanisms
*PSC-23-17-00022-P exempt	Changes in regulation of ESCOs, including restrictions on or prohibitions of marketing or offering certain products or services.	To ensure consumer protection for ESCO customers.
*PSC-24-17-00006-P exempt	Development of the Utility Energy Registry.	Improved data access.
*PSC-24-17-00014-P exempt	An alternative methodology for calculating billing adjustments.	To consider an alternative methodology for calculating billing adjustments.
*PSC-26-17-00005-P exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 125 Waverly Street, Yonkers, New York.
*PSC-31-17-00010-P exempt	Notice of intent to submeter electricity	To consider the notice of intent of 11737 Owners Corp. to submeter electricity at 117 East 37th Street, New York, New York
*PSC-34-17-00011-P exempt	Waiver to permit Energy Cooperative of America to serve low-income customers	To consider the petition for a waiver
*PSC-37-17-00005-P exempt	Financial incentives to create customer savings and develop market-enabling tools, with a focus on outcomes and incentives.	To consider the revised Interconnection Survey Process and Earnings Adjustment Mechanisms.
*PSC-37-17-00006-P exempt	Petition to submeter electricity.	To consider the petition of ACC OP (Park Point SU) LLC to submeter electricity at 417 Comstock Avenue, Syracuse, New York.
*PSC-39-17-00009-P exempt	Whether a proposed agreement for the provision of water service by Saratoga Water Services, Inc. is in the public interest.	To consider the terms of a service agreement and waiver.
*PSC-39-17-00011-P exempt	Whether to direct New York State Electric & Gas to complete electric facility upgrades at no charge to Hanehan.	To determine financial responsibility between NYSEG and Hanehan for the electric service upgrades to Hanehan.
*PSC-40-17-00006-P exempt	The aggregation of electric service for the Empire State Plaza and the Sheridan Avenue Steam Plant	To consider a waiver of National Grid's tariff provision requiring all electric delivery points to be on the same premises
*PSC-42-17-00010-P exempt	Petition for rehearing of negative revenue adjustment and contents of annual Performance Report.	To consider NFGD's petition for rehearing.
*PSC-46-17-00013-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries	To consider filings of LDCs and municipalities regarding their Annual Reconciliation of Gas Expenses and Gas Cost Recoveries
*PSC-48-17-00015-P exempt	Low Income customer options for affordable water bills.	To consider the Low Income Bill Discount and/or Energy Efficiency Rebate Programs.
*PSC-50-17-00017-P exempt	New Wave Energy Corp.'s petition for rehearing.	To consider the petition for rehearing filed by New Wave Energy Corp.
*PSC-50-17-00018-P exempt	Application of the Public Service Law to DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-50-17-00019-P exempt	Transfer of utility property.	To consider the transfer of utility property.
*PSC-50-17-00021-P exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*PSC-50-17-00022-P exempt	Data protection rules for DER suppliers.	To determine the appropriate regulatory framework for DER suppliers.
PSC-51-17-00007-P exempt	Opt-out tariff regarding installation of advanced digital metering devices in Central Hudson's service territory.	To determine the appropriate opt-out provisions for Central Hudson customers regarding advanced digital metering devices.
PSC-51-17-00011-P exempt	Petition for recovery of certain costs related to the implementation of a Non-Wires Alternative Project.	To consider Con Edison's petition for the recovery of costs for implementing the JFK Project.
PSC-51-17-00015-P exempt	Opt-out tariff regarding installation of advanced digital metering devices in Central Hudson's service territory.	To determine the appropriate opt-out provisions for Central Hudson customers regarding advanced digital metering devices.
PSC-52-17-00014-P exempt	Oversight and support of Clean Energy Fund and related NYSEERDA activities	To support and monitor the deployment of clean energy technology
PSC-04-18-00003-P exempt	Minor rate filing.	To consider a proposal for an increase in total annual revenues of approximately \$136,634, or 11.4%.
PSC-04-18-00005-P exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Montante/Morgan Gates Circle LLC to submeter electricity.
PSC-05-18-00004-P exempt	Lexington Power's ZEC compliance obligation.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-06-18-00012-P exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-06-18-00017-P exempt	Merger of NYAW and Whitlock Farms Water Corp.	To consider the merger of NYAW and Whitlock Farms Water Company into a single corporate entity
PSC-07-18-00015-P exempt	The accuracy and reasonableness of National Grid's billing for certain interconnection upgrades.	To consider AEC's petition requesting resolution of their billing dispute with National Grid.
PSC-11-18-00004-P exempt	New York State Lifeline Program.	To consider TracFone's petition seeking approval to participate in Lifeline.
PSC-13-18-00014-P exempt	Commission oversight of distributed energy resource suppliers	To protect customers and utilities in the receipt of services from distributed energy resource suppliers
PSC-13-18-00015-P exempt	Eligibility of an ESCO to market to and enroll residential customers.	To consider whether Astral should be allowed to market to and enroll residential customers following a suspension.
PSC-13-18-00023-P exempt	Reconciliation of property taxes.	To consider NYAW's request to reconcile property taxes.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-14-18-00006-P exempt	Petition for abandonment	To consider the abandonment of Willsboro Bay Water Company's water system
PSC-15-18-00008-P exempt	Amendments to the Uniform Business Practices.	Consideration of revised consumer protections and business practices of energy service companies.
PSC-17-18-00010-P exempt	Petition for use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-18-18-00009-P exempt	Transfer of control of Keene Valley Video Inc.	To ensure performance in accordance with applicable cable laws, regulations and standards and the public interest
PSC-19-18-00005-P exempt	Whether Flanders' can market to and enroll new customers.	To protect customers by enforcing compliance with the Uniform Business Practices.
PSC-20-18-00008-P exempt	Proposed major rate increase in O&R's gas delivery revenues of approximately \$4.5 million (or 1.5% in total revenues)	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences
PSC-20-18-00009-P exempt	Proposed major rate increase in O&R's electric delivery revenues of approximately \$20.3 million (or 2.3% in total revenues)	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences
PSC-21-18-00044-P exempt	Electric ratemaking policy for Direct Current Fast Charging (DCFC) facilities used to recharge electric vehicles.	To ensure just and reasonable rates in the context of charging electric vehicles.
PSC-22-18-00007-P exempt	Intent to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-22-18-00008-P exempt	Intent to submeter electricity	To ensure adequate submetering equipment and consumer protections are in place
PSC-23-18-00006-P exempt	Whether to impose consequences on Aspiry for its non-compliance with Commission requirements.	To ensure the provision of safe and adequate energy service at just and reasonable rates.
PSC-23-18-00010-P exempt	Community Distributed Generation project rules.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-23-18-00011-P exempt	Proposed rate filing in Hudson Valley Water Companies, Inc.'s annual revenues of approximately \$24,370 or 13.0%.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-23-18-00014-P exempt	Proposed major rate increase of approximately \$11.7 million to cover its Franklin and St. Lawrence Counties expansion project.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-24-18-00013-P exempt	Implementation of program rules for Renewable Energy Standard and ZEC requirements.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-24-18-00015-P exempt	To determine the use of investments to be made in lieu of a penalty action.	Commission oversight of electric and gas distribution companies and safe and adequate service.
PSC-26-18-00015-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-28-18-00004-P exempt	The 2017 Outcome-based EAM Collaborative Report.	To ensure the establishment of fair and equitable metrics, targets and associated incentive levels.
PSC-28-18-00005-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.
PSC-28-18-00006-P exempt	Roadmap recommendations for the installation of qualified energy storage systems.	To encourage energy storage deployment and establish a 2030 target and deployment program.
PSC-28-18-00011-P exempt	Storm Hardening Collaborative Report.	To ensure safe and adequate gas service.
PSC-28-18-00012-P exempt	Transfer of certain street lighting facilities.	To transfer street lighting facilities for the benefit of ratepayers.
PSC-28-18-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-29-18-00008-P exempt	Participation in Targeted Accessibility Fund	To encourage enhanced services for low-income consumers
PSC-29-18-00009-P exempt	Overvaluing real property tax expense recovery in water rates	To prevent unjust and unreasonable water rates
PSC-30-18-00004-P exempt	Ownership of St. Lawrence Gas Company, Inc.	To consider whether a proposed transfer of ownership interests in St. Lawrence Gas Company, Inc. is in the public interest.
PSC-30-18-00005-P exempt	Petition for use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-30-18-00006-P exempt	Petition for use of electric metering equipment.	To ensure that consumer bills are based on accurate measurements of electric usage.
PSC-31-18-00011-P exempt	Petition for the use of gas metering equipment.	To ensure that consumer bills are based on accurate measurements of gas usage.
PSC-31-18-00012-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-31-18-00013-P exempt	To test rate structures for SC 1 and 2 that more closely align delivery rates with the cost of providing delivery service.	To provide residential and small commercial customers the opportunity to better manage their energy costs.
PSC-32-18-00013-P exempt	Energy efficiency programs and targets for investor-owned utilities.	To encourage energy conservation and the delivery and procurement of energy services by investor-owned utilities.
PSC-32-18-00014-P exempt	Petition for clarification and rehearing of the Rate Order.	To encourage energy efficiency measures and right of way maintenance and to ensure just and reasonable rates.
PSC-32-18-00017-P exempt	Rules for Value Stack compensation of hybrid storage and distributed generation.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-34-18-00010-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-34-18-00011-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-34-18-00014-P exempt	Continued implementation of the Clean Energy Standard.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-34-18-00015-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and energy efficiency protections are in place.
PSC-34-18-00016-P exempt	Deferral of pre-staging and mobilization storm costs.	To ensure just and reasonable rates for ratepayers and utility recovery of unexpected, prudently incurred costs.
PSC-35-18-00003-P exempt	Con Edison's 2018 DSIP and BCA Handbook Update.	To continue Con Edison's transition to a modern utility serving as a Distributed System Platform Provider.
PSC-35-18-00005-P exempt	NYSEG and RG&E's 2018 DSIP and BCA Handbook Update.	To continue NYSEG and RG&E's transition to modern utilities acting as Distributed System Platform Providers.
PSC-35-18-00006-P exempt	National Grid's 2018 DSIP and BCA Handbook Update.	To continue National Grid's transition to a modern utility serving as a Distributed System Platform Provider.
PSC-35-18-00008-P exempt	Central Hudson's 2018 DSIP and BCA Handbook Update.	To continue Central Hudson's transition to a modern utility serving as a Distributed System Platform Provider.
PSC-35-18-00009-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-35-18-00010-P exempt	O&R's 2018 DSIP and BCA Handbook Update.	To continue O&R's transition to a modern utility acting as a Distributed System Platform Provider.
PSC-36-18-00004-P exempt	Update of revenue targets.	To update NYAW's revenue targets and make required balancing revisions to account for changes to the property tax targets.
PSC-36-18-00005-P exempt	Permanent operator of gas wells and certain gas facilities.	To resolve ownership of overlapping gas facilities associated with wells transferred to two gas companies.
PSC-36-18-00006-P exempt	Recording of unbilled revenue.	To correct revenue target discrepancies resulting from changes in billing schedule and net billing days.
PSC-36-18-00007-P exempt	PSC regulation 16 NYCRR § 86.3(a)(1).	To consider a waiver of a certain regulation relating to the content of an application for transmission line siting.
PSC-37-18-00003-P exempt	Service Classification No. 7 - Sale of Standby Service to Customers with On-Site Generation Facilities.	To expand eligibility to customers across multiple buildings connected to a generating facility by a private thermal loop.
PSC-37-18-00004-P exempt	Acceleration of the return of tax savings to ratepayers.	To determine the timetable for returning tax savings to ratepayers.
PSC-37-18-00005-P exempt	Notice of intent to submeter electricity and waiver request.	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place.
PSC-37-18-00006-P exempt	Disposition of tax refunds received by New York American Water Company, Inc.	To determine the disposition of tax refunds and other related matters.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-38-18-00001-P exempt	Waiver request of Opinion No. 76-17 and 16 NYCRR Part 96.	To consider not requiring living units of the facility to be metered.
PSC-39-18-00004-P exempt	To establish Rider J - Smart Home Rate.	To provide residential customers the opportunity to better manage their energy costs.
PSC-39-18-00005-P exempt	Participation in New York State Lifeline Program.	To encourage enhanced services for low-income customers.
PSC-39-18-00006-P exempt	To establish Rider AB - Smart Home Rate.	To provide residential customers the opportunity to better manage their energy costs.
PSC-39-18-00007-P exempt	To implement enhanced safety pilot programs and energy efficiency initiatives.	To provide customers with enhanced safety and environmental benefits.
PSC-39-18-00008-P exempt	Payment of fire protection costs.	To shift the costs of municipal fire protection service from the City of Rye to its residents.
PSC-39-18-00009-P exempt	Authorization for one time credits to displaced customers.	To compensate displaced Con Edison ratepayers for their loss of service.
PSC-40-18-00013-P exempt	Commission programs for meter service providers and meter data service providers.	To prevent confusion from maintaining unnecessary programs.
PSC-40-18-00014-P exempt	Annual Reconciliation of Gas Expenses and Gas Cost Recoveries.	To review the gas utilities' reconciliation of Gas Expenses and Gas Cost Recoveries for 2018.
PSC-40-18-00015-P exempt	Proposed rate filing to increase annual revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-40-18-00016-P exempt	Proposed transfer of the Company's assets to the Town and dissolution of the Company.	To determine if transfer of the water system to the Town of Delaware is in the public interest.
PSC-40-18-00017-P exempt	To modify provisions for Interruptible Gas under SC Nos. 9 and 12, P.S.C. No. 9 - Gas.	To amend certain penalties for non-compliant Interruptible Service Customers.
PSC-40-18-00018-P exempt	Waiver of PSC regulations, 16 NYCRR Sections 86.3(a)(2), (b)(2) and 88.4(a)(4).	To ensure that adequate maps and system studies support the application.
PSC-40-18-00019-P exempt	Issuance of long-term debt securities.	To provide funding for safety and reliability capital projects, maturing debt, and refinancing variable rate to fixed rate debt.
PSC-40-18-00020-P exempt	Issuance of long-term debt securities.	To provide funding for safety and reliability capital projects, maturing debt, and refinancing variable rate to fixed rate debt.
PSC-41-18-00003-P exempt	Initial Tariff Schedule, P.S.C. No. 1 - Water and waiver of rate setting authority	To provide the rates, rules, and regulations under which water service will be provided to the customers of the system
PSC-41-18-00004-P exempt	Internal reorganization and stock transfer	To determine if the proposed reorganization and stock transfer is in the public interest and beneficial to ratepayers
PSC-41-18-00005-P exempt	Authorization to enter into a long-term loan agreement	For system improvements and full repayment of existing loan

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-42-18-00009-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-42-18-00010-P exempt	Rehearing and/or reconsideration of the Tax Charges Rate Treatment Order.	To determine if the Commission was correct to require small telecom utilities to defer ongoing tax savings.
PSC-42-18-00011-P exempt	Voluntary residential beneficial electrification rate design.	To provide efficient rate design for beneficial technologies in New York State that is equitable for all residential customers.
PSC-42-18-00012-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-42-18-00013-P exempt	Petition for clarification and rehearing of the Smart Solutions Program Order.	To address the increased demand for natural gas in the Con Edison's service territory and the limited pipeline capacity.
PSC-42-18-00014-P exempt	The disposition of a refund from NYPA to the Village of Solvay of \$733,000 for overcharge for electricity over several years.	To determine whether the proposed disposition of the NYPA refund is just and reasonable.
PSC-44-18-00008-P exempt	The New York State Reliability Council's revisions to its rules and measurements.	To adopt revisions to various rules and measurements of the New York State Reliability Council.
PSC-44-18-00009-P exempt	Water rates and charges.	To shift fire protection costs from the Town to its residents' water bills.
PSC-44-18-00010-P exempt	Interruptible/Temperature Controlled gas service Collaborative report recommendations and tariff changes.	To consider the terms and conditions applicable to interruptible and temperature controlled gas service.
PSC-44-18-00011-P exempt	Modifications to electric supply reconciliation mechanism.	To improve the reconciliation of supply-related costs for hourly-priced customers.
PSC-44-18-00012-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
PSC-44-18-00013-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
PSC-44-18-00014-P exempt	Waiver of PSC regulations, 16 NYCRR sections 86.3(a)(1), (a)(2) and (b)(2).	To consider a waiver of certain regulations relating to the content of an application for transmission line siting.
PSC-44-18-00015-P exempt	Con Edison's petition for the Non-Pipeline Solutions Portfolio and associated budget.	To pursue projects that continue service reliability and meet customer energy needs while aiding greenhouse gas reduction goals.
PSC-44-18-00016-P exempt	Petition for approval of gas metering equipment.	To ensure that customer bills are based on accurate measurements of gas usage.
PSC-45-18-00003-P exempt	Eliminating a financial incentive for utility performance, the interconnection earnings adjustment mechanism	To consider encouraging utility performance while creating customer savings
PSC-45-18-00004-P exempt	Proposed transfer of two natural gas pipeline operating companies, and for lightened and incidental regulation	To consider transfer if there is no market power or ratepayer harm, incidental regulation, and continuing lightened regulation

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-45-18-00005-P exempt	Notice of intent to submeter electricity and waiver of energy audit	To ensure adequate submetering equipment, consumer protections and energy efficiency protections are in place
PSC-46-18-00005-P exempt	Proposed rate filing to increase annual revenues.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-46-18-00013-EP exempt	Acquisition of cable television assets and franchises.	To ensure continued service to Hamilton County Cable customers.
PSC-47-18-00004-P exempt	Ampersand Cranberry Lake Hydro LLC's 500kw hydroelectric facility in the Town of Clifton, New York.	To promote and maintain renewable electric energy resources.
PSC-47-18-00005-P exempt	Waiver of certain rules pertaining to cable television franchise.	To determine whether to waive any rules and regulations.
PSC-47-18-00006-P exempt	Modification of NMPC Estimating Metric project list.	To reflect an appropriate Estimating Metric project list for NMPC.
PSC-47-18-00007-P exempt	Petition to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.
PSC-47-18-00008-P exempt	Proposed Public Policy Transmission Needs/ Public Policy Requirements, as defined under the NYISO tariff.	To identify any proposed Public Policy Transmission Needs/Public Policy Requirements for referral to the NYISO.
PSC-48-18-00005-P exempt	Purchase of gas safety equipment for Westchester County fire departments	To provide Westchester County fire departments gas safety equipment they state they need to respond to odor reports
PSC-49-18-00006-EP exempt	Appointment of a temporary operator.	To determine if a temporary operator is needed to ensure the safe and adequate provision of water service.
PSC-50-18-00002-P exempt	Waiver of tariff provision	To determine if it is the public interest to waive individual metering requirements for the planned senior housing
PSC-50-18-00003-P exempt	Proposed transfer of interests in an electric generating facility and dedicated natural gas pipeline	To consider the transfer of generating facility and dedicated gas pipeline if there is no market power or ratepayer harm
PSC-50-18-00004-P exempt	Sale of street lighting facilities to the City of Albany	To determine whether to approve the transfer of street lighting facilities in the City of Albany
PSC-50-18-00005-P exempt	Establishment of the regulatory regime applicable to an approximately 100 MW electric generating facility	To ensure appropriate regulation of a new electric corporation
PSC-51-18-00011-P exempt	The 2018 Outcome-Based EAM Collaborative Report.	To ensure the establishment of fair and equitable metrics, targets and associated incentive levels.
PSC-51-18-00012-P exempt	Petition for water metering equipment.	To ensure that customer bills are based on accurate measurements of water usage.
PSC-51-18-00013-P exempt	Notice of intent to submeter electricity.	To ensure adequate submetering equipment and consumer protections are in place.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-51-18-00014-P exempt	Consideration for the use of the expired CDP funds.	To provide potential customers affordable access to natural gas service.
PSC-52-18-00006-P exempt	Standby Service Rates and Buyback Service Rates.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-52-18-00007-P exempt	Transfer of certain street lighting facilities.	To consider the transfer of certain street lighting facilities located in the City of Canandaigua.
PSC-52-18-00008-P exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-52-18-00009-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
PSC-52-18-00010-P exempt	Installed Reserve Margin.	To ensure adequate levels of Installed Capacity.
PSC-52-18-00011-P exempt	LED Street Lighting.	To provide customers with more efficient, lower cost LED street lighting options.
PSC-52-18-00012-P exempt	Minor rate filing.	To ensure safe and adequate service at just and reasonable rates charged to customers without undue preferences.
PSC-52-18-00013-P exempt	Compensation of distributed energy resources.	To ensure just and reasonable rates, including compensation, for distributed energy resources.
STATE UNIVERSITY OF NEW YORK			
SUN-44-18-00003-P 10/31/19	Proposed amendments to the traffic and parking regulations at State University College at Oneonta	Amend existing regulations to update traffic and parking regulations
SUN-49-18-00008-P 12/05/19	University Faculty Senate	To clarify that the vice-president/secretary of the University Faculty Senate ("UFS") shall be a voting member of the UFS
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-48-18-00003-P exempt	Fuel use tax on motor fuel and diesel motor fuel and the art. 13-A carrier tax jointly administered therewith	To set the sales tax component and the composite rate per gallon for the period January 1, 2019 through March 31, 2019
TAF-48-18-00004-EP 11/28/19	Metropolitan Transportation Business Tax Surcharge	To provide metropolitan transportation business tax rate for tax year 2019
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-12-18-00004-P 03/21/19	Reengagement/conciliation and sanction procedures for employment programs	To implement statutory changes relative to public assistance (PA) reengagement/conciliation and sanction procedures
TDA-41-18-00002-EP 10/10/19	Standard Utility Allowances (SUAs) for the Supplemental Nutrition Assistance Program (SNAP)	These regulatory amendments set forth the federally-mandated and approved SUAs as of 10/1/18

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-49-18-00009-EP 12/05/19	Outreach, Homeless Services Plans and Outcome Reporting	To promote effective planning and strategic use of resources by social service districts
TRANSPORTATION, DEPARTMENT OF			
TRN-47-18-00001-P 11/21/19	Regulation of transportation of hazardous materials by commercial motor carriers in New York State	Corrects omissions in State regulations associated with Title 49 CFR provisions related to transport of hazardous materials
TRIBOROUGH BRIDGE AND TUNNEL AUTHORITY			
TBA-49-18-00011-P exempt	A proposal to establish a new crossing charge schedule for use of bridges and tunnels operated by TBTA	A proposal to raise additional revenue
WORKERS' COMPENSATION BOARD			
WCB-52-17-00021-RP 03/27/19	Establishment of Prescription Drug Formulary	Establishment of a drug formulary that includes high-quality and cost-effective preauthorized medication
WCB-49-18-00010-P 12/05/19	Pharmacy Fee Schedule	Update the pricing methodology for prescription drugs

RULE REVIEW

Education Department

Section 207 of the State Administrative Procedure Act (SAPA) requires that each State agency review each of its rules which is adopted on or after January 1, 1997 in the calendar year specified in the notice of adoption for the rule, provided that at a minimum every rule shall be initially reviewed no later than in the fifth calendar year after the year in which the rule is adopted, and, thereafter, every rule shall be re-reviewed at five-year intervals, in order to determine whether such rules should be modified or continued without modification.

Pursuant to SAPA section 207, the State Education Department submits the following list of its rules that were adopted during calendar years 2013, 2008, 2003 and 1998 that the Department has reviewed and determined should be continued without modification. All section and Part references are to Title 8 of the New York Code of Rules and Regulations.

A. CALENDAR YEAR 2013 OFFICE OF P-12 EDUCATION

Section 100.5 of the Commissioner's Regulations relating to Diploma Requirements for Students with Disabilities

Description of Rule: Diploma Requirements for Students with Disabilities

Justification for continuation without modification: Provide new safety net option for students with disabilities to earn a local diploma through the use of compensatory scoring.

Legal Basis of Rule: Education Law sections 101 (not subdivided), 207 (not subdivided), 208 (not subdivided), 209 (not subdivided), 305(1) and (2), 308 (not subdivided) and 309 (not subdivided)

Assessment of public comment: No public comment received.

Sections 100.2(1)(2) and 119.6 of the Commissioner's Regulations relating to Dignity Act Code of Conduct

Description of Rule: The inclusion of Dignity Act components in the Code of Conduct

Justification for continuation without modification: To conform regulations to code of conduct provisions in the Dignity for All Students Act, as amended by Ch.102, L.2012

Legal Basis of Rule: Education Law sections 11(1) -(7), 12(1) and (2), 13(1)-(3), 14(1) and (3), 101 (not subdivided), 207(not subdivided), 305(1) and (2), and 2801(1) -(5), and Chapter 102 of the Laws of 2012

Assessment of public comment: No public comment received

Section 100.2(c) of the Commissioner's Regulations relating to Dignity Act Instruction

Description of Rule: The inclusion of Dignity Act instructional requirements (L. 2010, Ch. 482; L.2012, Ch.102)

Justification for continuation without modification: To prescribe instructional requirements to implement the Dignity Act, as amended by Ch. 102 of the Laws of 2012

Legal Basis of Rule: Education Law sections 101(not subdivided),

207(not subdivided), 305(1) and (2), 801-a(not subdivided) and 2854(1)(b) and Chapter 102 of the Laws of 2012

Assessment of public comment: No public comment received

Section 119.7 of the Commissioner's Regulations relating to Charter School Charter Renewals

Description of Rule: Charter school renewals

Justification for continuation without modification: To clarify standards for charter renewals of charter schools for which the Board of Regents is the authorizing entity

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1), (2) and (20), 2851(4) and 2852(1), (2), (3), (5), (5-a), (5-b) and (6) and 2857(1)

Assessment of public comment: No public comment received

Section 200.18(b) of the Commissioner's Regulations relating to fiscal audits of special education preschool programs and services for which a municipality bears responsibility

Description of Rule: Fiscal audits of special education preschool programs and services for which a municipality bears responsibility

Justification for continuation without modification: To implement L.2013, Ch.57, section 24 by establishing standards and procedures for municipalities to perform fiscal audits

Legal Basis of Rule: Education Law sections 207(not subdivided), 4401(2), 4403(3) and 4410(1)(g), (11)(c)(i) and (ii), and (13) and section 24 of Chapter 57 of the Laws of 2013

Assessment of public comment: No public comment received.

Section 100.2(jj) of the Commissioner's Regulations relating to Policy, Procedures and Guidelines Prohibiting Harassment, Bullying (Including Cyberbullying) and Discrimination Against Students

Description of Rule: Policy, procedures and guidelines prohibiting harassment, bullying (including cyberbullying) and discrimination against students

Justification for continuation without modification: To implement the Ch.102, L.2012 amendments to the Dignity for All Students Act

Legal Basis of Rule: Education Law sections 11(7) and (8), 12(1), 13(1-5), 14(1-5), 101(not subdivided), 207(not subdivided), 305(1) and (2) and 2854(1)(b), and Chapter 102 of the Laws of 2012

Assessment of public comment: No public comment received

Title of Part 8 and Section 8.3 of the Commissioner's Regulations relating to State Student Assessments in the Elementary and Secondary Grades

Description of Rule: State student assessments in the elementary and secondary grades

Justification for continuation without modification: To clarify procedures for establishment of cut scores and performance standards for determining proficiency on State Assessments

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided) and 209(not subdivided)

Assessment of public comment: No public comment received

Sections 200.5(b)(1)(v), (8) & (9) of the Commissioner's Regula-

tions relating to Accessing Public or Private Benefits and Insurance to Pay for Special Education Programs and Services Under the IDEA

Description of Rule: Accessing public or private benefits and insurance to pay for special education programs and services under the IDEA

Justification for continuation without modification: To conform Commissioner's Regulations to federal parental notice and consent requirements in 34 CFR 300.154

Legal Basis of Rule: Education Law sections 207(not subdivided), 4402(2) and 4403(3)

Assessment of public comment: No public comment received.

Sections 200.7(b)(3) and (6) and 200.15 of the Commissioner's Regulations relating to Protection of People with Special Needs Act (L. 2012, Ch.501)

Description of Rule: Protection of People with Special Needs Act (L. 2012, Ch. 501)

Justification for continuation without modification: To conform Commissioner's Regulations relating to students attending residential schools to L. 2012, Ch. 501

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 4002(1)-(3), 4212(a), 4314(a), 4358(a), 4403(11), 4308(3), 4355(3), 4401(2), 4402(1)-(7), 4403(3), (11) and (13), 4410(1)-(13), and Chapter 501 of the Laws of 2012

Assessment of public comment: No public comment received.

Sections 100.5(a), (b), (c) and (g) of the Commissioner's Regulations relating to English Language Arts and Mathematics Common Core Learning Standards

Description of Rule: English Language Arts (ELA) and Mathematics Common Core Learning Standards (CCLS)

Justification for continuation without modification: To establish transition requirements for the Regents ELA and Mathematics examinations aligned to the CCLS

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3)

Assessment of public comment: No public comment received.

Section 135.4(c)(7)(ii)(d) of the Commissioner's Regulations relating to Duration of Competition in High School Athletics

Description of Rule: Duration of competition in high school athletics

Justification for continuation without modification: To eliminate the one additional season limit on waivers for students with disabilities to participate in athletic competition

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) & (2), 803(not subdivided), and 3204(2) & (3)

Assessment of public comment: No public comment received

Sections 155.2(b)(2), 155.12(b)(6) and 200.2(c)(2) and (3), and (g) of the Commissioner's Regulations relating to Special Education Space Plans

Description of Rule: Special education space plans

Justification for continuation without modification: To conform the Commissioner's Regulations to L. 2013, Ch. 57, sections 2-a and 2-b

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1), (2) and (20), 308(not subdivided), 309(not subdivided), 2215(17), 4402(2), 4403(3) and sections 2-a and 2-b of Chapter 57 of the Laws of 2013

Assessment of public comment: No public comment received.

Sections 100.5(g) and 100.18(b) of the Commissioner's Regulations relating to New York State Common Core Learning Standards (CCLS)

Description of Rule: New York State Common Core Learning Standards (CCLS)

Justification for continuation without modification: To provide for transition to the Common Core English Language Arts (ELA) and mathematics examinations in the following areas: (1) students with

disabilities local diplomas; (2) Regents diploma with advanced designation; (3) credit by examination; and (4) transfer credit; to provide an additional opportunity for students to meet diploma requirements by passing either the Regents Comprehensive Examination in English or the Common Core ELA examination at the January 2014 test administration; and to update the names of the performance level descriptors for school accountability purposes

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1) and (2), 308(not subdivided), 309(not subdivided) and 3204(3)

Assessment of public comment: No public comment received

Sections 200.3(a)(2)(v) and 200.5(c)(2)(iv) and (v) of the Commissioner's Regulations relating to Additional Parent Member of a Committee on Preschool Special Education

Description of Rule: Committees on Preschool Special Education (CPSE)

Justification for continuation without modification: To conform Commissioner's Regulations to L. 2013, Ch. 213, relating to the additional parent member on a CPSE

Legal Basis of Rule: Education Laws sections 101(not subdivided), 207(not subdivided), 305(1) and (2) and (20), 4402(1)(b)(1)(b), 4403(3) and 4410(13) and Chapter 213 of the Laws of 2013

Assessment of public comment: No public comment received.

OFFICE OF HIGHER EDUCATION

Sections 80-1.7 and 80-1.8 of the Commissioner's Regulations relating to Renewals of a Provisional SAS Certificate and Reissuances of Initial Certificates

Description of Rule: Renewals of a provisional SAS certificate and reissuances of initial certificates

Justification for continuation without modification: To change the requirements for renewal of a SAS certificate and requirements for a reissuance of an initial certificate

Legal Basis of Rule: Education law sections 207 (not subdivided), 305(1), 3001(2), 3006(1)(b) and 3009(1)

Assessment of public comment: No public comment received.

Sections 80-3.3, 80-3.7 and 80-5.6 of the Commissioner's Regulations relating to Individual Evaluation and Experience Requirements for Level III Teaching Assistant Certificates

Description of Rule: Individual evaluation and experience requirements for Level III teaching assistant certificates

Justification for continuation without modification: To extend the sunset date for individual evaluation and amend experience requirements for level III teaching assistant certificate

Legal Basis of Rule: Education law sections 207 (not subdivided), 305(1), 3001(2), 3006(1)(b) and 3009(1)

Assessment of public comment: No public comment received.

Section 80-5.5(b) of the Commissioner's Regulations relating to Employment of Retired Public Employees

Description of Rule: Employment of Retired Public Employees

Justification for continuation without modification: To implement Retirement and Social Security Law section 212(3), as added by Section 1 of Part Y of Chapter 55 of the Laws of 2013, which provides the Commissioner of Education with discretion to eliminate the earnings limitations for retired police officers employed by a school district as a school resource officer

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided) and 305(1), (2) and (20); Retirement and Social Security Law sections 211(2) and (8); and 212(3); and Section 1 of Part Y of Chapter 55 of the Laws of 2013.

Assessment of public comment: No public comment received.

Section 3.12 and Subpart 4-1 of the Commissioner's Regulations relating to Institutional Accreditation for Title IV Purposes

Description of Rule: Institutional accreditation for Title IV purposes

Justification for continuation without modification: To conform Regents rules to federal regulations relating to voluntary institutional accreditation for Title IV purposes

Legal Basis of Rule: Education Law sections 207(not subdivided), 210(not subdivided), 214(not subdivided), 215(not subdivided) and 305(1) and (2).

Assessment of public comment: No public comment received.

Sections 52.21, Subpart 57-4 and Part 80 of the Commissioner's Regulations relating to Coursework or Training in Harassment, Bullying and Discrimination Prevention and Intervention

Description of Rule: Coursework or training in harassment, bullying and discrimination prevention and intervention.

Justification for continuation without modification: To require that applicants for an administrative or supervisory service, classroom teaching service or school service certificate or license on or after July 1, 2013, shall have completed at least six hours of coursework or training in harassment, bullying and discrimination prevention and intervention as prescribed in the Dignity for All Students Act.

Legal Basis of Rule: Education Law sections 14(5), 207(not subdivided), 212(3), 305(1) and (2), 3004(1), and 3007(not subdivided) and Chapter 102 of the Laws of 2012.

Assessment of public comment: No public comment received.

Sections 83.4(d) & 83.5(b)(1)(iv) of the Commissioner's Regulations relating to Moral Character Hearings Under 8 NYCRR Part 83 for Certified Teachers and Other Certified School Personnel

Description of Rule: Moral character hearings under 8 NYCRR Part 83 for certified teachers and other certified school personnel.

Justification for continuation without modification: To establish a rebuttable presumption that a certified individual who is convicted of any crime relating to the submission of false information, or who has committed fraud, relating to his/her criminal history record check lacks good moral character. The proposed amendment also authorizes the Commissioner to initiate a review of the findings and recommendation of a hearing officer or hearing panel in cases involving convictions for any crimes involving the submission of false information, or the commission of fraud, related to a criminal history check.

Legal Basis of Rule: Education Law sections 207(not subdivided), 305(7) and (30), 3001(2), 3001-d(2), 3004(1), 3004-c(not subdivided), 3006(1), 3009(1), 3010(not subdivided) and 3035(1) and (3).

Assessment of public comment: No public comment received

Sections 80-1.13, 80-3.5, 80-5.14 and 80-5.22 of the Commissioner's Regulations relating to Coursework or Training in Harassment, Bullying and Discrimination Prevention and Intervention

Description of Rule: Coursework or training in harassment, bullying and discrimination prevention and intervention

Justification for continuation without modification: To conform the Commissioner's Regulations to Education Law section 14(5), as amended by Chapter 90 of the Laws of 2013, by making the training requirement on the social patterns of harassment, bullying and discrimination applicable to school professionals applying for a certificate or license on or after December 31, 2013, instead of on or after July 1, 2013.

Legal Basis of Rule: Education Law sections 14(5), 207(not subdivided), 305(1) and (2), 3004(1) and 3007(not subdivided) and Chapter 90 of the Laws of 2013.

Assessment of public comment: No public comment received

Sections 80-3.3, 80-3.4, 80-3.10, 80-5.13, 80-5.15 and 80-5.20(a)(1)(v) of the Commissioner's Regulations relating to Teacher and School District Leader Certification Examinations

Description of Rule: Teacher and school district leader certification examinations

Justification for continuation without modification: To adopt technical changes to the certification examination requirements for certain teachers and school district leaders

Legal Basis of Rule: Education Law sections 207, 305(1), 3001(2), 3006(1)(b) and 3009(1)

Assessment of public comment: No public comment received

Sections 80-1.2(b), 80-1.6 and 80-2.1(a)(2)(i) and (ii) of the Commissioner's Regulations relating to Definition of Date of Issuance of Certificates and Expiration of Certain Permanent Certificates from Expired Provisionals

Description of Rule: Definition of date of issuance of Certificates and Expiration of Certain Permanent Certificates from Expired Provisionals

Justification for continuation without modification: The purpose of the proposed amendment is to amend the definition of effective date of a certificate to allow persons to be employed in their certificate area on the date their certificate is issued, rather than the February 1 or September 1 following the issuance date of their certificates. The proposed amendment also establishes an expiration date of October 1, 2014 for the issuance of a permanent certificate in the classroom teaching service or school administrator and supervisory service for candidates with an expired provisional certificate.

Legal Basis of Rule: Education Law sections 207 (not subdivided), 305(1), 3001(2), 3006(1)(b) and 3009(1).

Assessment of public comment: No public comment received

OFFICE OF THE PROFESSIONS

Section 3.47(d)(2) and 3.50(b)(36) of the Commissioner's Regulations relating to Doctor of Acupuncture and Oriental Medicine (D.A.O.M.) Degree

Description of Rule: Doctor of Acupuncture and Oriental Medicine (D.A.O.M.) Degree.

Justification for continuation without modification: To authorize the conferral in New York State of the degree of Doctor of Acupuncture and Oriental Medicine (D.A.O.M.).

Legal Basis of Rule: Education Law sections 207(not subdivided), 210(not subdivided), 218(1), 224(4), and 305(1) and (2).

Assessment of public comment: No public comment received.

Sections 63.11 and 63.12 of the Commissioner's Regulations relating to Interpretations and Translations for Prescription Drugs, Standardized Labeling and Patient-Centered Data Elements for Medications

Description of Rule: Interpretation and translation for prescription drugs, standardized labeling and patient-centered data elements for medications.

Justification for continuation without modification: To implement Part V of Chapter 57 of the Laws of 2012.

Legal Basis of Rule: Sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 6829(1), (6), (7) and 6830 (1) of the Education Law, and Part V of Chapter 57 of the Laws of 2012.

Assessment of public comment: No public comment received.

Section 60.2(f)(2) of the Commissioner's Regulations relating to Advisory Committee on Long-Term Clinical Clerkships

Description of Rule: Advisory Committee on Long-Term Clinical Clerkships

Justification for continuation without modification: increase from one to two the number of Regents sitting on the Advisory Committee and authorize the Regents Chancellor to appoint additional Committee members, upon consultation with the Board, and to remove and replace members who have been absent for three or more consecutive Committee meetings.

Legal Basis of Rule: Education Law sections 207 (not subdivided), 6501 (not subdivided), 6504 (not subdivided), and 6507(2)(a).

Assessment of public comment: No public comment received.

Sections 79-9.4(c), 79-10.4(c), 79-11.4(c) and 79-12.4(c) of the Commissioner's Regulations relating to Duration of Limited Permits for Applicants Seeking Licensure as Mental Health Practitioners under Article 163 of the Education Law

Description of Rule: Advisory Committee on Long-Term Clinical Clerkships

Justification for continuation without modification: The proposed amendment would increase from one to two the number of Regents sitting on the Advisory Committee and would authorize the Regents Chancellor to appoint additional Committee members, upon consultation with the Board, and to remove and replace members who have been absent for three or more consecutive Committee meetings.

Legal Basis of Rule: Education Law sections 207 (not subdivided), 6501 (not subdivided), 6504 (not subdivided), and 6507(2)(a).

Assessment of public comment: No public comment received.

OFFICE OF ADULT CAREER AND CONTINUING EDUCATION SERVICES (ACCESS)

Section 100.8 of the Commissioner's Regulations relating to Local Diploma Based on Experimental Programs

Description of Rule: Local high school equivalency diplomas based upon experimental programs

Justification for continuation without modification: To extend until 6/30/15 the provision for awarding local high school equivalency diplomas based upon experimental programs

Legal Basis of Rule: Education Law sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1) and (2), 309(not subdivided) and 3204(3).

Assessment of public comment: No public comment received.

Part 126 and Section 145-2.3 of the Commissioner's Regulations relating to Licensure of Non-Degree Granting Private Proprietary Schools

Description of Rule: Licensure of non-degree granting private proprietary schools.

Justification for continuation without modification: To implement the provisions of Chapter 381 of the Laws of 2012.

Legal Basis of Rule: Education Law sections 207 (not subdivided), 212(3), 305(1), 5001 through 5010 and Chapter 381 of the Laws of 2012.

Assessment of public comment: No public comment received.

B. CALENDAR YEAR 2008

OFFICE OF P-12 EDUCATION

175.41 Average Interest Rates Applied to Capital Debt Incurred by the City of New York for School Purposes

Description of rule: The rule provides an appropriate methodology for computation of the true cost of debt issued by New York City for the purpose of financing school construction.

Justification for continuation without modification: The rule is needed to align the Commissioner's regulations with statute and so that New York City can plan its capital expenditures and issue debt to fund them.

Legal basis for rule: Education Law sections 207(not subdivided) and 3602(6)(e)(1).

Assessment of public comment: No public comment received

100.16 Reasonable and necessary expenses of distinguished educators

Description of rule: The rule establishes criteria for the determination of reasonable and necessary expenses of members of school quality review teams and joint intervention teams, and distinguished educators, who are appointed by the Commissioner to assist low performing districts in improving their academic performance.

Justification for continuation without modification: The rule is necessary to implement Chapter 57 of the Laws of 2007, which requires the development of an enhanced accountability system for New York State's schools and districts and includes the development of a system of support and intervention in low performing schools. The rule is consistent with statutory authority and Regents policy.

Legal basis for rule: Education Law sections 207 (not subdivided) and 211-b(2)(a) and (b) and 211-c(7) and Chapter 57 of the Laws of 2007.

Assessment of public comment: No public comment received

156.3(h) Idling school buses

Description of rule: The rule prescribes requirements for minimizing the idling of school buses and other vehicles owned or leased by school districts.

Justification for continuation without modification: The rule is necessary to implement Education Law section 3637, as added by Chapter 670 of the Laws of 2007, which requires the Commissioner to promulgate regulations requiring school districts to minimize, to the extent practicable, the idling of the engine of any school bus and other vehicles owned or leased by the school district while such bus is parked or standing on school grounds, or in front of any school.

Legal basis for rule: Education Law sections 207(not subdivided), 3624(not subdivided) and 3627(1), (2) and (3) and Chapter 670 of the Laws of 2007.

Assessment of public comment: No public comment received

Parts 175, 100, 110 & 144 State aid

Description of rule: The rule implements the Foundation Aid provisions enacted by Chapter 57 of the Laws of 2007, brings the Commissioner's Regulations into compliance with other statutory changes to the law, and eliminates obsolete provisions.

Justification for continuation without modification: The rule is needed to repeal obsolete State Aid provisions and conform the Commissioner's regulations with the statutory changes to Education Law section 3602 made by Chapter 57 of the Laws of 2007, which changed the school funding system by replacing approximately 30 State Aid categories with a single Foundation Aid.

Legal basis for rule: Education Law sections 101(not subdivided), 207 (not subdivided), 305(1), (2) and (20) and 3602, and Chapter 57 of the Laws of 2007.

Assessment of public comment: No public comment received

177.1, 200.1, 200.3 through 200.7, 200.16 and 201.11 Special education programs and services for students with disabilities

Description of rule: The rule ensures that chairpersons of committees on special education are appropriately qualified, and establishes procedures when a district receives a request for referral of a student for an initial evaluation for special education services.

Justification for continuation without modification: The rule conforms the Commissioner's Regulations to Chapter 378 of the Laws of 2007, the Individuals with Disabilities Education Act (IDEA) (20 USC 1400 et seq.), as amended by Public Law 108-446, and the amendments to 34 CFR Part 300.

Legal basis for rule: Education Law sections 207 (not subdivided), 3208 (1-5), 3214(3), 3602-c, 3713(1) and (2), 4002(1-3), 4308(3), 4355(3), 4401(1-11), 4402 (1-7), 4403(3), 4404(1-5), 4404-a(1-7), and 4410(13).

Assessment of public comment: No public comment received

177.2 Disputes of Reimbursement Claims for Special Education Services Provided to Nonresident Parentally-Placed Nonpublic School Students with Disabilities

Description of rule: The rule prescribes a dispute resolution mechanism regarding claims for reimbursement of costs for special education provided to a nonresident student with a disability, who is parentally placed in a nonpublic school located in a school district other than the school district in which the student legally resides.

Justification for continuation without modification: The rule implements Education Law section 3602-c(7), as amended by Chapter 378 of the Laws of 2007.

Legal basis for rule: Education Law sections 207(not subdivided) and 3602-c(7) and section 4 of Chapter 378 of the Laws of 2007.

Assessment of public comment: No public comment received

200.4 & 200.5 State forms for Individualized Education Programs, Meeting Notice and Prior Written Notice (Notice of Recommendation)

Description of rule: The proposed amendment was first adopted as an emergency action at the October 2008 Regents meeting to extend from January 1, 2009 to September 1, 2009, the initial effective date for required use of State forms for IEPs, meeting notice and prior written notice (notice of recommendation). In response to public comment, the rule was subsequently revised and permanently adopted in March 2009 to further extend the initial effective date to commence with the 2011-12 school year, in order to provide additional time for cost-effective conversion to the State's required forms and for the State to make professional development available through no-cost means such as informational materials, web-conferencing and professional development through its technical assistance networks.

Justification for continuation without modification: The rule is consistent with statutory authority and ensures consistency in procedural safeguards.

Legal basis for rule: Education Law sections 207 (not subdivided), 4402 (1-7), 4403(3), and 4410(13).

Assessment of public comment: No public comment received
100.14 Excelsior Scholars

Description of rule: The rule clarifies procedures for the nomination of eligible students in mathematics and science who have completed seventh grade to participate in the Excelsior Scholars program pursuant to Education Law section 3641-a.

Justification for continuation without modification: The rule is necessary to implement Education Law section 3641-a, as added by Chapter 57 of the Laws of 2007.

Legal basis for rule: Education Law sections 101(not subdivided), 207(not subdivided), 215(not subdivided), 305(1) and (2) and 3641-a(1), (2) and (3).

Assessment of public comment: No public comment received
OFFICE OF HIGHER EDUCATION

80-5.5 Waivers of teacher certification requirements

Description of rule: The rule strengthens the current regulatory standards relating to the approval process for the employment of retired persons in public school districts other than the City of New York, boards of cooperative educational services and county vocational educational and extension boards prescribed under Section 211 of the Retirement and Social Security Law.

Justification for continuation without modification: The rule is needed to ensure that such standards conform with legislative intent and to provide transparency and effectiveness in the approval process.

Legal basis for rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1) and (2), 3003(1), 3004(1) and Retirement and Social Security Law sections 210(not subdivided) and 211(2) and (8).

Assessment of public comment: No public comment received
3.50(c) Honorary degrees

Description of rule: The rule establishes the list of honorary associate degrees that community colleges and other New York degree-granting institutions may award.

Justification for continuation without modification: The rule implements the provisions of Chapter 324 of the Laws of 2006 that amended Education Law § 6306 by adding a new subdivision 5-b to authorize honorary degrees “[s]ubject to the approval of the Board of Regents.”

Legal basis for rule: Sections 207 (not subdivided), 210 (not subdivided), 214 (not subdivided), 215 (not subdivided), 305 (not subdivided) and 6306(5-b) of the Education Law.

Assessment of public comment: No public comment received
52.21, 80-1.12 and Subpart 57-3 Autism training

Description of rule: The rule requires teachers seeking certification in special education titles to have course work or training in the needs of students with autism and establishes standards for Education Department approval of providers of course work or training in autism.

Justification for continuation without modification: The rule implements the requirements of Education Law section 3004 (4) and (5), as added by Chapter 143 of the Laws of 2006.

Legal basis for rule: Education Law sections 207(not subdivided), 215(not subdivided), 208 (not subdivided), 212(3), 305(1) and (2), 3004(1),(4) and (5) and 3007 (not subdivided).

Assessment of public comment: No public comment received
52.36 and 52.37 Speech/language pathology

Description of rule: The rule updates the education, experience, examination and endorsement provisions for licensure of speech-language pathologists and audiologists.

Justification for continuation without modification: The rule conforms New York State requirements for licensure as a speech pathologist or audiologist to federal Medicaid requirements, expands opportunities for qualified speech-language pathologists and audiologists in other jurisdictions to become licensed in New York State, and addresses shortages in the number of speech-language pathologists that exist in New York State school districts.

Legal basis for rule: Education Law sections 207(not subdivided), 212(3), 6504(not subdivided), 6506(5) and (6), 6507(1), (2)(a) and (4)(a), 8206(2), (3) and (4).

69.1, 69.2 and 69.3

Assessment of public comment: No public comment received
OFFICE OF THE PROFESSIONS

69.1, 69.2 and 69.3 Architectural endorsement

Description of rule: The rule aligns the New York State requirements for admission into the Architect Registration Examination with national standards and modifies the endorsement provisions for applicants licensed in another jurisdiction prior to 1983 to conform to current practice.

Justification for continuation without modification: The rule is consistent with statutory authority and aligns with national standards.

Legal basis for rule: Education Law sections 207(not subdivided); 6504(not subdivided); 6506(1) and (6)(c); 6507(2)(a); and 7304(1)(3), (2) and (3).

Assessment of public comment: No public comment received.

52.38, 52.39, 52.40, 79-13.1, 79-14.1 and 79-15.1 Clinical Lab Technology

Description of rule: The rule establishes educational requirements for licensure as a clinical laboratory technologist or cytotechnologist and for certification as a clinical laboratory technician, and standards for registered college preparation programs for these professions.

Justification for continuation without modification: The rule is necessary to implement Education Law sections 8605(2)(b), which authorizes the State Education Department to establish implementing standards for education that must be successfully completed by an applicant to qualify for a license as a cytotechnologist, and section 8606(2), which authorizes the State Education Department to establish implementing standards for education that must be successfully completed to qualify for certification as a clinical laboratory technician.

Legal basis for rule: Education Law sections 207 (not subdivided); 210 (not subdivided); 6501 (not subdivided); 6504(not subdivided); 6507(2)(a), (3)(a), and (4)(a); 6508(1); 8605(1)(b) and (2)(b); 8606(2).

Assessment of public comment: The Department received comment that was submitted on behalf of the American Medical Technologists (AMT) and the New York State Society of AMT (NYSSAMT) (collectively, AMT). The commenter asserts that AMT is a leading certification organization and professional society for clinical laboratory professionals and other allied health personnel, whose certification programs are fully accredited by the National Commission for Certifying Agencies (NCCA), the accrediting arm of the Institute for Credentialing Excellence. The commenter further maintains that AMT was established in 1939 and has over 80,500 active member-certificants, including approximately 12,000 Medical Technologists (MTs) and Medical Laboratory Technicians (MLTs), as well as around 6,700 registered phlebotomy technicians and clinical laboratory assistants. The commenter alleges that, with the exception of New York State, every state that licenses clinical laboratory personnel, multiple organizations' certification examinations, including AMT's, are accepted by the state licensing authority for purposes of qualifying a laboratory technologist or technician for a license. The commenter maintains that AMT has never fully understood the Department's policy of limiting its acceptance of private-sector certification exams to a single "vendor," to the exclusion of all other organization's exams. The commenter also states that, to date, the Department has accepted only exams at the technologist and technician levels administered by the ASCP Board of Certification and has declined to dually accept AMT's corresponding MT and MLT exams. The commenter states that, as a result, individuals who take and pass the MT(AMT) and MLT(AMT) exams are not qualified for licensing in New York State.

The commenter alleges that Department's policy works a hardship on individuals who wish to take AMT's exams and work in New York State, and those who have previously passed an AMT exam and wish to relocate to New York State. The commenter also asserts that this policy contributes to a serious ongoing workforce shortage of qualified medical technologists and technicians in New York State. Thus, on behalf of AMT, commenter urges the Department to revisit its policy of accepting only a single certifying agency's exams for licensure of clinical laboratory technologists and technicians, which is

codified in sections 79-13.2 and 79-15.2. The commenter maintains that there is no statutory prohibition that would preclude the Department from recognizing more than a single certification exam for each licensure category, and as noted above, every other licensing state accepts all major national certifications, not just ASCP-BOC's.

Response to Comment: Sections 8605(1)(c) and 8606(3) of the Education Law establish the requirements for licensure in the professions of clinical laboratory technologist and certified clinical laboratory technician, which include the requirement that an applicant "pass an examination satisfactory to the Board and in accordance with the Commissioner's regulations." For both professions, the regulatory examination requirements, under sections 79-13.2 and 79.15.2 require, that the "candidate shall pass a general examination for clinical laboratory technologists that is determined by the department to measure the applicant's knowledge, judgment, and skills concerning practice as a clinical laboratory technologist, as defined in section 8601(2)(a) of the Education Law, and to be offered by an organization that has satisfactory administrative and psychometric procedures in place to offer the examination." The commenter's citation to section 79-14.1 does not appear relevant here because it addresses cytotechnologists, not clinical laboratory technologists or certified clinical laboratory technicians.

In response to the comment regarding the Department's policy of limiting its acceptance of private-sector examinations to a single vendor to the exclusion of all other organizations' examinations, the Department establishes a process to establish a contract for a general examination that is determined by the department to measure the applicant's knowledge, judgment, and skills concerning practice as a clinical laboratory technologist, as defined in section 8601(2)(a) of the Education Law, and to be offered by an organization that has satisfactory administrative and psychometric procedures in place to offer the examination. Through a competitive request for proposals process, the Department selects one examination to be met by all applicants to ensure fairness, and common knowledge, skills and the use of good judgment. From the outset, during the process of selecting and using a licensing examination, all organizations that offer these examinations were canvassed and provided an opportunity to bid for the examination. AMT has unsuccessfully bid for the examinations on the occasions that the contracts offered for a five-year period were published, with the last bid occurring in 2014.

61.15 and 61.19 Dental continuing education

Description of rule: The rule increases the amount of continuing education required of licensed dentists during each triennial registration period and requiring certification in cardiopulmonary resuscitation and completion of coursework in New York State jurisprudence and ethics.

Justification for continuation without modification: The rule is consistent with statutory authority and conforms the Commissioner's regulations to section 4 of Chapter 183 of the Laws of 2007.

Legal basis for rule: Education Law sections 207(not subdivided); 6506(1); 6507(2)(a), 6604-a(2), 6604-a(6), 6611(10), and section 4 of Chapter 183 of the Laws of 2007.

Assessment of public comment: No public comment received.

62.5 Veterinarian technology

Description of rule: The rule allows students completing registered or accredited programs of education for veterinary technology admission to the licensing examination for veterinary technicians within the final six months of professional study.

Justification for continuation without modification: The rule is needed to align examination admission requirements in this field with practice in other states and thereby remove the competitive disadvantage that New York students confront.

Legal basis for rule: Education Law sections 207(not subdivided); 6504 (not subdivided); 6506(1); 6507(2)(a) and (3)(a); and 6711(5).

Assessment of public comment: No public comment received.

52.41 and Subparts 79-13, 79-14 & 79-15 Clinical laboratory technology

Description of rule: The rule establishes standards for licensure as a clinical laboratory technologist or a cytotechnologist and certification as a clinical laboratory technician or a histological technician

Justification for continuation without modification: The rule is consistent with statutory authority and implements the provisions of Chapter 204 of the Laws of 2008, which amended Article 165 of the Education Law.

Legal basis for rule: Education Law sections 207(not subdivided); 210 (not subdivided); 212(3); 6501 (not subdivided); 6504(not subdivided); 6507(2)(a), (3)(a), and (4)(a); 6508(1), 8606-a(2) and (3); 8610(3).

Assessment of public comment: No public comment received.

150.4 High needs nursing

Description of rule: The rule permits online nursing programs to be eligible for state aid

Justification for continuation without modification: The rule is consistent with statutory authority and conforms to Chapter 57 of the Laws of 2008, which authorizes the Commissioner of Education to award state aid to certain eligible independent colleges and universities for high needs nursing programs, including those institutions that offer online nursing programs via the internet.

Legal basis for rule: Education Law sections 207, 215 and 6401-a and Chapter 57 of the Laws of 2008.

Assessment of public comment: No public comment received.

24-7 Professional license restoration

Description of rule: The rule specifies that an applicant's response to the report and recommendation made by the Committee on the Professions (COP) shall not contain any new evidentiary material.

Justification for continuation without modification: The rule is consistent with statutory authority and is needed to provide a more orderly and effective review of evidentiary information submitted in support of a restoration application.

Legal basis for rule: Education Law sections 207, 6506(1) and 6511.

Assessment of public comment: No public comment received.

OFFICE OF CULTURAL EDUCATION

Section 3.27 of the Rules of the Board of Regents, regarding museum collections management policies

Description of rule: The rule clarifies restrictions on deaccessioning of items in an institution's collections, consistent with generally accepted professional and ethical standards within the museum and historical society communities.

Justification for continuation without modification: rule is necessary to implement Regents policy to protect the public's interest in collections held by chartered museums and historical societies.

Legal basis for rule: Education Law sections 101(not subdivided), 207(not subdivided), 215(not subdivided), 216(not subdivided) and 217(not subdivided).

Assessment of public comment: No public comment received.

90.7 Public librarian professional certificates

Description of rule: The rule ensures that public librarian professional certificate holders certified on or after January 1, 2010 will participate in continuous professional development.

Justification for continuation without modification: The rule is consistent with Regents policy to promote excellence in New York's library workforce at all stages and levels

Legal basis for rule: Education Law sections 207(not subdivided), 208(not subdivided), 254(not subdivided), 272(1)(k)(3) and 279(not subdivided)

Assessment of public comment: No public comment received.

90.18 School library systems

Description of rule: The rule amends terminology primarily relating to the functions of school library systems to accurately reflect the current operations of such library systems and to omit references to obsolete practices and terms; amends certain terms relating to State aid for school library systems to accurately reflect the legislative intent of section 284 of the Education Law; amends certain terminology relating to school library systems to conform such provisions of the Commissioner's Regulations to other corresponding sections of such regulations; amends the definition of a "coordinator of a school library

system” to clarify that such a coordinator must possess a valid certificate as either a school administrator and supervisor (S.A.S.) or a school building leader (S.B.L.); and provides for the uniform application of the title of “Communications Coordinator” to persons serving such role in both BOCES and the Big Five city school districts, and clarifies the role of such persons, which is to effectuate two-way communication between districts and school library systems.

Justification for continuation without modification: The rule updates and clarifies certain terminology relating to the functions of and State aid for school library systems.

Legal basis for rule: Education law sections 282, 283 and 284.

Assessment of public comment: No public comment received.

OFFICE OF OPERATIONS AND MANAGEMENT SERVICES

Parts 275, 276 and section 100.2(y) Ed Law § 310 appeal procedures

Description of rule: the rule revises the procedures relating to appeals to the Commissioner of Education pursuant to Education Law section 310.

Justification for continuation without modification: The proposed rule is needed to clarify, update and prescribe appeal procedures and requirements, consistent with established practice.

Legal basis for rule: Education Law sections 101(not subdivided), 207(not subdivided), 215(not subdivided), 305(1) and (2), 310(not subdivided) and 311(not subdivided).

Assessment of public comment: No public comment received

OFFICE OF STATE REVIEW

Part 279 State Level Review of Impartial Hearing Officer Determinations Regarding Services for Students with Disabilities

Description of rule: The rule revises the procedures for state-level review of impartial hearing officer determinations regarding services for students with disabilities

Justification for continuation without modification: The rule is needed to clarify the procedures concerning appeals of impartial hearing officer decisions to a State Review Officer, correct citations and references and expedite and otherwise facilitate the processing of petitions for review to State Review Officers

Legal basis for rule: Education Law sections 101(not subdivided), 207(not subdivided), 311(not subdivided), 4403(1) and (2), 4404(2) and 4410(13)

Assessment of public comment: No public comment received.

B. CALENDAR YEAR 2003

OFFICE OF P-12 EDUCATION

Section 135.4 – Certified Athletic Trainers.

Description of Rule: The rule requires athletic trainers employed by school districts to be certified by New York State pursuant to Article 162 of the Education Law and to more specifically detail the scope of duties and responsibilities of Athletic Trainers employed by school districts.

Justification for continuation without modification: The previous regulations did not reflect provisions for New York State Certification of certified athletic trainers pursuant to Article 162 of the Education Law, thereby decreasing the incentive for some trainers to obtain such certification and for schools to hire qualified personnel. The rule allows New York State Education Department oversight and control over the professional practice of certification related to athletic trainers in high schools, and enables school districts to hire the most qualified candidates for athletic trainer positions.

Legal Basis for Rule: Education Law §§ 101, 207, 305(1) and (2), 803(5), 917(1) and (2), 3204(2), 8351 and 8352.

Assessment of public comment: No public comment received

Section 107.2 – Driver Education.

Description of Rule: The rule establishes a certification process by driver education courses of the amount of time a holder of a class DJ or class MJ learner’s permit has spent operating a motor vehicle while under the immediate supervision of a driver education teacher.

Justification for continuation without modification: The rule is needed to implement Education Law section 806-a, as added by

Chapter 644 of the Laws of 2002, by establishing a certification process by driver education courses of the amount of time a holder of a class DJ or class MJ learner’s permit has spent operating a motor vehicle while under the immediate supervision of a driver education teacher. The rule provides that the driver education teacher in a driver and traffic safety education course approved by the Commissioner shall, upon the request of his or her student who is the holder of a class DJ or class MJ learner’s permit, certify on a form prescribed by the Commissioner of Motor Vehicles, the number of hours such student has spent operating a motor vehicle while under the immediate supervision of such driver education teacher.

Legal Basis for Rule: Education Law §§ 207, 305(1) and (2) and 806-a(2) and § 13 of Chapter 644 of the Laws of 2002

Assessment of public comment: No public comment received

Sections 247.1, 247.2, 247.3 and 247.4 – Vocational Rehabilitation Program

Description of Rule: The rule conforms the Commissioner’s Regulations pertaining to the Department’s operation of the vocational rehabilitation program to recent amendments to the Federal vocational rehabilitation regulations governing that program, and makes certain technical corrections.

Justification for continuation without modification: In recent years, The State Education Department’s Office of Vocational and Educational Services for Individuals with Disabilities (VESID) has implemented mediation as part of its due process system. The time to arrange and conduct a mediation session impinges upon the deadline for arranging for an impartial hearing. The previous Commissioner’s regulation reflected the 4 day time limit contained in the original, draft Federal regulation. When that regulation was finalized, the Secretary of Education discussed the need to allow time for mediation and also cited the overwhelming, nationwide support for extending that 45 day period. This rule allows VESID to use mediation, when appropriate, while preserving a due process system that is timely, quick and equitable. The rule also restates the criteria for determining eligibility in terms of the standards in the Commissioner’s regulations, and eliminates an obsolete reference to the possible review of a hearing officer decision by the deputy commissioner, that is no longer available under Federal law. In addition, the title of section 247.3 is revised to reflect the addition of mediation as a dispute resolution tool.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided) and 1004(1).

Assessment of public comment: No public comment received

Sections 200.1, 200.4, 200.16 and 201.10 – State alignment with federal regulations and technical amendments relating to special education.

Description of Rule: The rule aligns the State regulations with Federal regulations and technical amendments relating to special education.

Justification for continuation without modification: The rule is necessary to align State regulations consistent with Part 300 of the Code of Federal Regulations relating to the definition of mediator and to make technical corrections to the definition of independent educational evaluations, the contents of the individualized education program (IEP) for preschool students and to certain cross citations.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 3214(3), 4403(3), 4404(not subdivided) and 4410(5).

Assessment of public comment: No public comment received

OFFICE OF HIGHER EDUCATION

Sections 3.47 and 3.50 – Authorization of degrees.

Description of Rule: The rule authorizes the conferral in New York State of the degree, Bachelor of Social Work (B.S.W.), for completion of a baccalaureate program in social work.

Justification for continuation without modification: Section 3.50 lists the titles and abbreviations of degrees authorized to be conferred in New York State and Section 3.47(c) classifies such degrees. The amendment arose from an institution of higher education’s request to confer the Bachelor of Social Work (B.S.W.) degree for completion of

a baccalaureate program in social work. The degree is commonly used in other states, and the amendment benefits students in New York by affording them the opportunity to earn a baccalaureate degree that is specific to the field of social work. Since the amendment benefits New York students and was supported by the State Board for Social Work and representatives of professional associations and institutions of higher education, the regulation will be continued without modification.

Legal Basis for Rule: Education Law §§ 207, 210, 218(1), and 224(4).

Assessment of public comment: No public comment received

Section 52.21 – Requirements for educational leadership programs.

Description of Rule: The rule improves the preparation of education leaders in New York State by establishing new requirements for college programs that prepare school building leaders, school district leaders, and school district business leaders.

Justification for continuation without modification: Section 52.21(c) was amended effective July 13, 2006, to clarify and strengthen requirements relating to the three educational leadership certifications. For registered School Building Leader (SBL) programs only, the 2006 amendment specified that programs must inform applicants, in writing, prior to admission, that the Department requires candidates to have completed three years of classroom teaching service and/or pupil personnel service experience, in public or non-public schools N-12, to qualify for initial SBL certification.

For registered School District Leader (SDL) programs only, the 2006 amendment specified that programs must inform applicants in writing, prior to admission, that the Department requires candidates to have completed three years of classroom teaching service and/or educational leadership service and/or pupil personnel service experience, in public or non-public schools N-12, to qualify for professional SDL certification.

The 2006 amendment pertaining to SDL certification also specified that candidates serving as school district leaders under “Transitional D” certificates must complete all program requirements to be recommended for professional SDL certification and that programs must support and supervise candidates as they complete the experience needed for professional certification. As a result of the 2006 amendment, the requirements for recommending candidates for SDL professional certification (alternative route) are described under Section 52.21(c)(4)(vii) of the Commissioner’s Regulations, in lieu of the repealed subparagraph (viii) of that Part.

For registered SDL and School District Business Leader (SDBL) programs, the 2006 amendment required non-certification SDL and SBL companion programs to meet all requirements for the respective certificates, except for completion of the certification exam. In addition, the 2006 amendment specified that the requirement to achieve a satisfactory level of performance on the New York State assessment for SDL or SDBL certification shall be waived if the candidate completes the registered SDL or SDBL program prior to the availability of the appropriate New York State assessment.

Legal Basis for Rule: Education Law §§ 207, 210, 215, 305(1), (2) and (7), 3004(1) and 3006(1).

Assessment of public comment: No public comment received

OFFICE OF THE PROFESSIONS

Sections 29.7(c), 63.6 and 63.8 – Pharmacy and the registration of New York pharmacies and Nonresident Establishments.

Description of Rule: The rule establishes requirements for the registration of nonresident establishments that ship, mail, or deliver prescription drugs and/or devices into New York State, remove unnecessary requirements for faxing a prescription to a New York pharmacy that is under contract to a hospital or nursing home, and delete outdated references to registered stores in the regulations.

Justification for continuation without modification: The rule is needed to establish standards for the registration of nonresident establishments that are pharmacies, and wholesalers and manufacturers of prescription drugs and devices, in accordance with section 6808-b of the Education Law, including the requirements that a non-resident establishment must meet in order to be registered in New

York; standards and procedures for taking disciplinary action against a nonresident establishment, including revoking or suspending the registration of such establishments; to define a standard for an exception to the registration requirement for nonresident establishments that engage in isolated transactions in New York; to remove an unnecessary registration requirement for New York pharmacies; to delete unnecessary requirements for faxing a prescription to a pharmacy serving as a vendor of pharmaceutical services, based upon a contractual arrangement with an institution, such as a hospital or nursing home; and to remove outdated requirements for the registration of registered stores, since these stores no longer exist, and the statutory authority to register them was repealed by Chapter 538 of the Laws of 2001.

Legal basis for rule: Education Law §§ 207, 6504, 6506(1), 6507(2)(a), 6509(9), 6801, 6808(1) and 6808-b(2), (4)(c), (6), (8) and (9).

Assessment of public comment: No public comment received.

Sections 61.2 and 61.18 – Residency option pathway for dental licensure.

Description of Rule: The rule establishes requirements for a residency option pathway for dental licensure that would permit a candidate to substitute successful completion of an acceptable dental residency program for the licensure examination in clinical dentistry.

Justification for continuation without modification: In accordance with statute, the residency program must include an outcome assessment evaluation of the resident’s competence to practice dentistry, acceptable to the State Education Department. The rule is needed to establish requirements for that outcome assessment evaluation. In addition, the rule is needed to establish requirements that define and clarify the residency programs that may be successfully completed by a candidate in lieu of the clinical licensing examination.

Legal Basis for Rule: Education Law §§ 207, 6506(1), 6507(2)(a), 6601(not subdivided) and 6604(3) and (4).

Assessment of public comment: No public comment received.

52.10, 72.1[c], 72.2[b] and [c], 72.4, and 72.6 - Licensure of Psychologists

Description of rule: The rule establishes requirements for limited permits to practice psychology, remove outdated registration requirements for educational programs leading to licensure in this profession, delete a provision concerning professional study for admission to the licensure examination, and repeal the regulatory definition of the practice of psychology which is now established in statute.

Justification for continuation without modification: The amendment is needed to implement the requirements of Chapter 676 of the Laws of 2002. This Chapter established a new route for obtaining a limited permit to practice psychology in section 7604(1-a) of the Education Law. This route permits an individual who has arranged for an acceptable supervised experience required for licensure to obtain a limited permit to participate in the experience.

Legal Basis for Rule: Sections 207(not subdivided), 210(not subdivided), 6506(1), 6507(2)(a) and (4)(a), 7601-a(1) and (2), 7603(2), and 7604(1) and (1-a) of the Education Law.

Assessment of public comment: No public comment received.

Sections 29.7(a), 63.6(b) and 63.8(b) – The practice of pharmacy and the registration of pharmacies.

Description of Rule: The rule establishes requirements relating to the counseling of patients by pharmacists and the maintenance of drug retail price lists by pharmacies.

Justification for continuation without modification: The rule requires that a pharmacist or pharmacy intern shall counsel patients in specified cases when prescriptions are delivered to the patient on the premises of the pharmacy. Such requirement is applicable in cases in which a prescription is dispensed for the first time for a new patient of the pharmacy or a prescription for a new medication for an existing patient of the pharmacy and/or a change in the dose, strength, route of administration or directions for use of an existing prescription previously dispensed for an existing patient of the pharmacy. The previous rule required the pharmacist or pharmacy intern to offer counseling to every patient for whom a prescription is delivered on the premises of the pharmacy. The rule is needed to improve efficiency in pharmacy

practice, while strengthening the requirement in instances when counseling is appropriate. The rule is also needed to implement the requirements of section 6826 of the Education Law concerning drug retail price lists that must be maintained by pharmacies and made available to any person upon request. The rule is needed to specify the content of the sign that must be posted in the pharmacy advising the public of the retail drug price list and notice requirements for pharmacies that offer to dispense prescription drugs to consumers through an Internet website and/or through mail order.

Legal Basis for Rule: Education Law §§ 207, 6504, 6506(1), 6507(2)(a), 6509(9), 6801, 6806, 6808-b(2) and (6) and 6826(6).

Assessment of public comment: No public comment received.

Sections 61.9 and 61.13 – The practice of the profession of certified dental assisting and the profession of dental hygiene.

Description of Rule: The rule establishes additional dental supportive services that certified dental assistants may perform while under the direct personal supervision of a licensed dentist, and additional services that licensed dental hygienists may perform in the practice of dental hygiene while under the supervision of a licensed dentist as prescribed.

Justification for continuation without modification: Education Law section 6608 authorizes the Commissioner of Education to establish in regulation additional dental supportive services that a certified dental assistant may perform in the practice of certified dental assisting. The rule is needed to establish such appropriate additional dental supportive services that may be performed by certified dental assistants. The rule will benefit dental practice in the State by enabling the licensed dentist to use his or her staff more efficiently. The dentist will be able to delegate appropriate dental supportive services to trained staff, under the dentist's direct personal supervision. The State Board for Dentistry recommended that these additional supportive services be added to the scope of practice for certified dental assisting. In accordance with section 6608 of Education Law, all dental supportive services within the scope of practice of certified dental assisting may be performed by registered dental hygienists while under a dentist's supervision as defined in Regulations of the Commissioner of Education. Therefore, the rule is also needed to include the additional services in the scope of practice of dental hygiene and to establish the appropriate level of supervision for those services. The rule was subsequently modified in 2007.

Legal Basis for Rule: Education Law §§ 207, 6506(1), 6507(2)(a), 6606(1) and (2) and 6608.

Assessment of public comment: The Department received public comment from the Dental Assisting National Board, Inc. (DANB), the American Dental Association recognized national certification board for dental assistants. DANB states that, since approximately 1994, section 6608 of the Education Law has contained provisions that refer to dental assistants, who hold a credential from New York State as "certified dental assistants" and section 61.13 of the Regulations of the Commissioner of Education also refers to these dental assistants in the same manner. According to DANB this has and continues to create confusion and conflict because, prior to the enactment of this statute and promulgation of this regulation, DANB had trademarked the term "certified dental assistant" and the abbreviation "CDA" for its dental assistant certification. While DANB thanks Department staff and the New York State Board of Dentistry for its cooperation in addressing the issues created by the similarity between the terms used in the statute and regulation and DANB's dental assistant certification terms, it stresses the need to amend the statute and then the regulation to eliminate confusion created by this similarity.

Department Response: The regulation implements Education Law § 6608. Therefore, no change is warranted.

Section 63.7(c)(1) – Mandatory continuing education for licensed pharmacists.

Description of Rule: The rule requires licensed pharmacists to complete, as part of the existing 45-hour continuing education requirement that they must complete in each registration period, at least three hours in the processing and strategies that may be used to reduce medication and/or prescription errors.

Justification for continuation without modification: The rule speci-

fies certain necessary areas of continuing education to foster safe pharmacy practice.

Legal Basis for Rule: Education Law §§ 207, 6502(1), 6504, 6507(2)(a) and 6827(2).

Assessment of public comment: No public comment received.

Sections 52.9 and 61.17 – Dental hygiene restricted local infiltration anesthesia/nitrous oxide analgesia certificate.

Description of Rule: The rule establishes procedures and education and training requirements for licensed dental hygienists to be certified to administer and monitor local infiltration anesthesia and nitrous oxide analgesia in the practice of dental hygiene under the personal supervision of a licensed dentist and requirements that college programs must meet to be registered by the State Education Department as leading to certification in this field.

Justification for continuation without modification: The rule is needed to ensure that licensed dental hygienists receive education and training sufficient to ensure the competent administration and monitoring of local infiltration anesthesia and nitrous oxide analgesia in the practice of dental hygiene. In addition, the rule is needed to establish standards for college programs leading to certification in this field. The amendment establishes specific content requirements for such programs.

Legal Basis for Rule: Education Law §§ 207, 6506(1), 6507(2)(a), 6605-b(1),(2) and (3) and 6606.

Assessment of public comment: No public comment received.

Sections 52.15 and 78.4 – Licensure in Massage Therapy.

Description of Rule: The rule clarifies clock hour requirements for programs leading to licensure in massage therapy and requirements for the endorsement of a license in massage therapy issued by another state, country, or territory.

Justification for continuation without modification: The rule is needed to clarify the intent of the Commissioner's regulations. It requires programs leading to licensure in massage therapy to include at least 1,000 clock hours of classroom instruction or the semester equivalent. The previous language of the regulation required the program to include 1,000 hours (50 minutes each) of classroom instruction. This led to confusion because the State Education Department has required programs leading to licensure to include at least 1,000 clock hours of classroom instruction. All such programs have met this requirement. The rule is needed to conform the language of the regulation to existing practice.

Legal Basis for Rule: Education Law §§ 207, 210, 6506(1) and (6), 6507(2)(a) and (4)(a), 7802 and 7804(2).

Assessment of public comment: No public comment received.

Section 68.11 – Mandatory Continuing Education Requirements for Professional Engineers.

Description of Rule: The rule sets forth the continuing education requirements and standards that licensed professional engineers must meet to be registered to practice in New York State and requirements for approval of sponsors of such continuing education.

Justification for continuation without modification: The rule is needed to clarify and implement the requirements of section 7211 of the Education Law, as added by Chapter 146 of the Laws of 2002. As required by statute, the rule is also needed to establish continuing education requirements when there is a lapse in practice, requirements for licensees under conditional registration, and standards for the approval of sponsors of continuing education to licensed professional engineers. In addition, the rule is needed to establish a fee for the review by the State Education Department of sponsors of courses of learning or self-study programs in order to defray the cost of such review.

Legal Basis for Rule: Education Law §§ 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1), 7211(1)(a), (b), (c) and (d), (2),(3), (4), (5), and (6) and § 2 of Chapter 146 of the Laws of 2002.

Assessment of public comment: No public comment received.

Section 68.12 – Mandatory Continuing Education Requirements for Licensed Land Surveyors.

Description of Rule: The rule sets forth the continuing education

requirements and standards that licensed land surveyors must meet to be registered to practice in New York State and requirements for approval of sponsors of such continuing education.

Justification for continuation without modification: The rule is needed to clarify and implement the requirements of section 7212 of the Education Law, as added by Chapter 135 of the Laws of 2002 and renumbered and amended by Chapter 410 of the Laws of 2003. As required by statute, the proposed rule is also needed to establish continuing education requirements when there is a lapse in practice, requirements for licensees under conditional registration, and standards for the approval of sponsors of continuing education to licensed land surveyors. In addition, the rule is needed to establish a fee for the review by the State Education Department of sponsors of courses of learning or self-study programs in order to defray the cost of such review.

Legal Basis for Rule: Education Law §§ 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1), 7212(1)(a), (b), (c) and (d), (2), (3), (4), (5), and (6) and § 1 of Chapter 410 of the Laws of 2003.

Assessment of public comment: No public comment received.

OFFICE OF CULTURAL EDUCATION

Part 179 – Apportionment of Funds to Educational Broadcast Councils.

Description of Rule: Apportionment of Funds to Educational Broadcast Councils.

Justification for continuation without modification: The rule is necessary to prescribe requirements regarding how the annual appropriation for public television is apportioned among New York's nine funded public television stations; to specify the reporting requirements to remain eligible to receive public funding; and to update language from "instructional" services to "educational telecommunications" services to reflect the current practices and trends in public broadcasting in New York State.

Legal Basis for Rule: Education Law §§ 207(not subdivided) and 236(3), (4) and (5).

Assessment of public comment: No public comment received.

Sections 185.5 and 185.11 – Local Government Records Management.

Description of Rule: The rule makes necessary changes and additions in order to update Records Retention and Disposition Schedule MU-1 and corrects the name and address of the State Archives to which one can submit requests for records retention and disposition schedules.

Justification for continuation without modification: The rule revised Records Retention and Disposition Schedule MU-1, thus providing cities, towns, villages and fire districts with means to dispose of records not listed on the previous schedule, to maintain voluminous records no longer than the records are needed, and to make the schedule easier to understand. In addition, the rule is needed to provide the correct name and address of the State Archives to ensure that requests for copies of records retention and disposition schedules are handled in a timely manner.

Legal Basis for Rule: Education Law § 207(not subdivided) and Arts and Cultural Affairs Law § 57.25(2).

Assessment of public comment: No public comment received.

OFFICE OF MANAGEMENT SERVICES

C. CALENDAR YEAR 1998

OFFICE OF P-12 EDUCATION

155.16 Energy Performance Contracts

Description of Rule: The regulation establishes criteria for the development and approval of energy performance contracts of school districts and BOCES in accordance with Energy Law section 9-103(8) and in consultation with the State Energy Research and Development Authority and enables school districts and BOCES to reduce energy consumption and improve efficiency.

Justification for continuation without modification: The regulation is necessary to comply with sections 1 and 78 of Part A of section 1 of Chapter 436 of the Laws of 1997.

Legal Basis for Rule: Education Law sections 101, 207 and 305(27), Energy Law section 9-103(8) and sections 1 and 78 of Part A of section 1 of Chapter 436 of the Laws of 1997.

Assessment of public comment: No public comment received

100.7(i) and 116.4 Alternative High School Equivalency Preparation Programs

Description of Rule: The regulation makes residential facilities operated by the State Office of Children and Family Services eligible to operate approved alternative high school equivalency preparation programs for students at least 16 years of age and under the age of 18. It also permits students in these facilities to take the GED test at the same age as students in local school districts or BOCES. It allows students to be eligible to take the GED test when they are released from these facilities should they be unable or unwilling to return to the public school system. The regulation was amended in 1999 to expand the age range of students and subdivision 100.7 (i) was renumbered as subdivision 100.7 (h).

Justification for continuation without modification: the rule ensures equal access for students in facilities operated by the Office of Children and Family Services to participate in programs leading to a high school equivalency diploma.

Legal Basis for Rule: Education Law sections 207, 208, 209 and 3205(1), (2) and (3).

Assessment of public comment: No public comment received

100.13 Operating Standards Aid

OFFICE OF CULTURAL EDUCATION

3.27 and 3.30 Museums and Historical Societies chartering and registration

Description of Rule: Every Regents-chartered museum and historical society must adopt a collections management policy which conforms to generally accepted professional and ethical standards; collecting must follow the specific purposes of the institution as enumerated in its charter; only those institutions which have collecting as one of the stated purposes in their charter shall hold collections; donors must be given a clear understanding of what will happen to their gifts to the collection; and the use of funds derived from the sale (deaccession) of collections is restricted to acquisition, preservation, protection or care of collections, with certain exceptions if warranted.

Justification for continuation without modification: The rule protects collections, the public and chartered institutions by ensuring that artifacts held in trust for the public are gathered, maintained, preserved and made available according to accepted professional and ethical standards, including standards enumerated by the American Association of Museums, the American Association for State and Local History, and the International Council of Museums. Adoption of a Collection Management Policy means that each institution will collect only as appropriate to its corporate purposes; the public will be informed as to what each institution collects; each institution's trustees and staff will have a framework in which to make informed decisions about adding items to and removing items from the collection; and the temptation is removed to sell collections in order to finance general operations rather than to enhance or protect the collection.

Legal Basis for Rule: Education Law sections 207 and 216.

Assessment of public comment: No public comment received.

90.2(a)(9) Library Registration

Description of Rule: To provide minimum standards for equipment that better accommodates rapidly changing developments in new technology.

Justification for continuation without modification: The Commissioner of Education has determined that revisions were necessary in the part of the regulation relating to equipment because the current language did not reflect the technological environment in which libraries exist today. The rule eliminated the requirement for a microform reader, as many smaller, rural libraries found this requirement expensive and duplicative. The rule also requires public and association libraries to have the capability to provide telefacsimile transmissions and electronic communications, rather than requiring a specific type of equipment to perform those functions.

Legal Basis for Rule: Education Law sections 207, 215, 254 and 273(1)(f)(5).

Assessment of public comment: No public comment received.

90.3 Public Library System Plan of Service

Description of Rule: the rule requires each public library system to include in its plan of service a direct access provision for the total library resources within the system to all individuals residing within the system boundaries, and procedures for modification of its direct access conditions. The plan of service also includes procedures whereby libraries may modify direct access conditions of the system or of individual libraries.

Justification for continuation without modification: The rule reaffirms the commitment of no direct charge to an individual for public library services, requires a specific plan from the public library system for providing library services to unserved and underserved areas, helps reduce the burdens on overused libraries, allows flexibility for library systems to respond to local patterns of use and modify free direct access at the public library system level, and provides a procedure for waivers when remedies were needed outside of those listed in the regulation.

Legal Basis for Rule: Education Law sections 207, 254, 255(1), (2) and (3), 272(1)(g) and (h) and 273(1).

Assessment of public comment: No public comment received.

179.2 Operating Aid to Public Broadcasting Councils

Description of Rule: the rule amended the provision of the Commissioner's Regulations regarding public broadcasting council organization and funding to allow two or more councils to consolidate into one council and to provide for an up to 3 year transition period during which time the newly consolidated council receives the amount of State operational aid the individual councils would have received if they had not consolidated. In 1998, subsection (e) was added to address what would happen if two or more public television stations were to merge.

Justification for continuation without modification: the rule eliminates disincentives for the consolidation of public broadcasting councils, and thereby encourages the consolidation of councils, resulting in increased efficiency and cost savings to the State.

Legal Basis for Rule: Education Law sections 207, 263(3) and 263(4).

Assessment of public comment: No public comment received.

OFFICE OF THE PROFESSIONS

Sections 3.47 and 3.50 - Master of Physical Therapy Degree and Abbreviations of Pharmacy Degrees

Description: These sections of Regents Rules were amended to authorize the conferral of a new degree, Master of Physical Therapy (M.P.T.), for completion of a professionally oriented master's degree program in physical therapy and to conform the abbreviations of three professional pharmacy degrees to current national usage.

Justification for continuation without modification: The need for schools to be able to award the M.P.T. degree arose from a request by a university to offer a physical therapy program leading to this degree. The M.P.T. degree benefits students by affording them the opportunity to earn a degree specific to the profession of physical therapy. The amendment to conform the abbreviations of the three professional pharmacy degrees to nationally accepted usage was proposed by the State Board of pharmacy, pharmacy educators, and licensed professionals in New York State.

Legal Basis for Rule: Education Law sections 207, 210, 218(1); 224(4); and 6734(b).

Assessment of public comment: No public comment received.

Section 52.28 and Part 67 - Ophthalmic Dispensing Education and Licensure Requirements

Description: This rule sets forth in regulations the existing standards for registered programs leading to licensure in ophthalmic dispensing and certification in the fitting of contact lenses; strengthen the alternative training and experience requirements for applicants who have not completed a registered program in ophthalmic dispensing or its equivalent; and clarify the examination requirements for licensure and certification.

Justification for continuation without modification: the rule is needed to strengthen the alternative training and experience requirements for applicants who have not completed a registered program in ophthalmic dispensing by ensuring adherence to a common curriculum which has been determined by a national body of opticians to be equivalent to the didactic course work provided in registered programs in ophthalmic dispensing. The requirement of on-site supervision by a licensee is needed to ensure the on-site presence of a licensed practitioner when services are provided by an applicant-trainee. Moreover, the provision requiring a ratio of one applicant-trainee to one supervising licensee will ensure that appropriate and adequate supervision and training is provided to the applicant. Finally, limiting renewal of the training permit to a maximum of three years will help to ensure that supervisors provide appropriate learning experiences for an applicant-trainee within a reasonable time period.

Legal Basis for Rule: Education Law sections 207, 210, 6501, 6504, 6506(1), 6507(2)(a), (4)(a), 6508(1), 7121, 7124(a)(2) and (3) and (b) and 7125(c).

Assessment of public comment: No public comment received.

Section 66.5 - Phase Two Therapeutic Pharmaceutical Agents

Description: This rule implements requirements relating to the certification of optometrists, to use phase two therapeutic pharmaceutical agents, including clarifying clinical training requirements, examination requirements, reporting requirements and continuing education requirements.

Justification for continuation without modification: The regulation is needed to implement section 7101-a of Education Law. The regulation establishes standards for clinical training and the examination necessary for certification, establishes requirements for the reporting of the use of phase two drugs, and establishes requirements for continuing education.

Legal Basis for Rule: Education Law sections 207, 6502(1), 6504, 6507(2)(a)(3)(a) and 4(a), 6508(1) and (2), 7101, 7101-a(1)(f), (3), (4), (7), (9), (9a) and (11); and Ch. 517, L. 1995, sections 3 and 4(b).

Assessment of public comment: No public comment received.

Section 67.6 - Ophthalmic Dispensing Continuing Education Requirements

Description: This rule specifies the manner in which licensed ophthalmic dispensers and those certified to dispense contact lenses shall meet the continuing education requirements specified in Education Law for triennial registration. This regulation includes provisions for exemptions, conditional registrations and other procedures necessary to implement the law.

Justification for continuation without modification: The regulation is needed to implement Education Law section 7128 by establishing standards for what constitutes acceptable formal continuing education, educational requirements when there is a lapse in practice, requirements for licensees under conditional registration and standards for the approval of sponsors of continuing education to licensed ophthalmic dispenser.

Legal Basis for Rule: Education Law sections 207, 212(3), 6502(1), 6504, 6507(2)(a), 6508(1) and 7128(1)-(6).

Assessment of public comment: No public comment received.

Section 24.7 - Fee for Review of Application for Restoration of Professional License

Description: This rule establishes fee requirements for the filing of petitions for restoration of professional licenses that have been revoked or surrendered.

Justification for continuation without modification: The Board of Regents is authorized to restore a license which has been revoked (Education Law § 6511). This rule is necessary to implement the processes by which the Board of Regents considers petitions for the restoration of a professional license that was either revoked or surrendered.

Legal Basis for Rule: Education Law sections 207, 6504, 6506(1) and (10), 6508(4) and 6511.

Assessment of public comment: No public comment received.

Section 52.29, 63.1, 63.4 and 63.5 - Pharmacy Education and Licensure Requirements

Description: These regulations define educational and examination requirements for licensure in the profession of pharmacy. The regulations provide curriculum detail, define what constitutes an acceptable accrediting body, and provide a basis for licensure of pharmacists that graduate from non-accredited programs.

Justification for continuation without modification: The rule provides needed clarity since there are no other definitions of an acceptable educational curriculum for pharmacists in New York State. Additionally, the rule is required as a foundation for comparison of foreign non-accredited programs of study.

Legal Basis for Rule: Education Law sections 207, 210, 6501, 6506(6), 6507(2)(a) and (4)(a), 6508(1), 6805(1)(2) and 6806(1).

Assessment of public comment: No public comment received.

OFFICE OF HIGHER EDUCATION

145-9 Scholarships for Academic Excellence Program

Description of Rule: the rule changed the name of the Merit Scholarship for Academic Excellence program to the Scholarships for Academic Excellence program and corrected a citation to the Education Law relating to the school allocation formula for the scholarship program.

Justification for continuation without modification: the rule is necessary to comply with the statutory name of the scholarship program and to provide a correct citation to the Education Law relating to the school allocation formula set forth in statute. Section 83 of Part C of Chapter 58 of the Laws of 1998 amended sections 605-a and 670-b of the Education Law to change the name of the Merit Scholarships for Academic Excellence to the Scholarships for Academic Excellence.

Legal Basis for rule: Education Law sections 207, 605-a(1)(b), 670-b(1), section 12 of Chapter 309 of the Laws of 1996, and section 83 of Part C of Chapter 58 of the Laws of 1998.

Assessment of public comment: No public comment received.

D. CALENDAR YEAR 2015 (3 Year Review)

OFFICE OF P-12 EDUCATION

Section 100.2(c)(11) CPR/AED Instruction

Description: Instruction in Cardiopulmonary Resuscitation (CPR) and Use of Automated External Defibrillators (AEDs)

Justification for continuation without modification: To require hands-only instruction in CPR and instruction in the use of AEDs in senior high schools.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 305(1), (2), (20) and (52), 308(not subdivided), 804-c(2), 804-d(not subdivided) and Chapter 417 of the Laws of 2014.

Assessment of public comment: No public comment received

Section 200.9 SEIS Reimbursement

Description: Special Education Itinerant Services (SEIS)

Justification for continuation without modification: To revise the SEIS tuition reimbursement methodology to: (1) provide that reimbursement is to be paid upon the actual provision of SEIS to the student, in conformity with Chapter 56 of the Laws of 2014; (2) allow flexibility in how the minimum billable units of service adjustment are applied; and (3) clarify that consultation with a student's regular early childhood provider is expressly included as a potential function of a special education itinerant teacher.

Legal Basis for Rule: Education Law sections 101 (not subdivided), 207(not subdivided), 305(1), (2) and (20), 4003(1) and (2), 4401(5), 4405(4) and 4410(10), and section 11 of Part A of Chapter 56 of the Laws of 2014

Assessment of public comment: No public comment received

OFFICE OF HIGHER EDUCATION

Section 145-2.2 Tuition Assistance Program Academic Standing

Description: Tuition Assistance Program.

Justification for continuation without modification: Establishment of standards for a student to regain good academic standing for the purposes of receiving awards under TAP.

Legal Basis for Rule: Education Law sections 101, 207 (not subdivided), 305(1) and (2), 602(2), 661(2) and 665(6).

Assessment of public comment: No public comment received

Sections 30-1.3, 82-1 and 83-3 Probationary Appointments and Tenured Teacher Hearings

Description: Probationary Appointments and Tenured Teacher Hearings

Justification for continuation without modification: To Implement Subparts D and G of Part EE Chapter 56 of the Laws of 2015

Legal Basis for Rule: Education Law sections 207(not subdivided), 215(not subdivided), 305(1) and (2), 2509(1) and (2), 2573(1), (5) and (6), 3001(2), 3004(1), 3009(1), 3012(1) and (2), 3012-c(1-10), 3012-d(1-15), 3014(1) and (2), 3020(3) and (4), 3020-a(2) and 3020-b(1-6), and Subparts D and G of Part EE of Chapter 56 of the Laws of 2015.

Assessment of public comment: No public comment received

OFFICE OF THE PROFESSIONS

Sections 3.47 and 3.50 Doctorate in Occupational Therapy (O.T.D.)

Description: Doctor of Occupational Therapy (O.T.D.) degree.

Justification for continuation without modification: To authorize the conferral in New York State of the degree of Doctor of Occupational Therapy (O.T.D.).

Legal Basis for Rule: Education Law sections 207(not subdivided), 210 (not subdivided), 214 (not subdivided), 215 (not subdivided), 218(1), 224(4), and 305(1) and (2).

Assessment of public comment: No public comment received.

OFFICE OF CULTURAL EDUCATION

Section 230.2 Cultural Education Center Facilities

Description: Use of Department Facilities in the Cultural Education Center

Justification for continuation without modification: To prescribe standards for the use of Cultural Education Center facilities

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided) and 305(1), (2), (6) and (20)

Assessment of public comment: No public comment received.

E. CALENDAR YEAR 2014 (4 YEAR REVIEW)

OFFICE OF P-12 EDUCATION

Sections 154.2 and 154.3 of the Regulations of the Commissioner relating to Examination Requirements for Identifying Pupils with Limited English Proficiency

Description: Pupils with Limited English Proficiency

Justification for continuation without modification: To specify the NYS Identification Test for English Language Learners (NYSITELL) for purposes of identifying LEP pupils.

Legal Basis for Rule: Education Law sections 207(not subdivided), 208(not subdivided), 215(not subdivided), 305(1) and (2), 2117(1) and 3204(2), (2-a), (3) and (6).

Assessment of public comment: No public comment received

Sections 200.7 and 200.15 of the Regulations of the Commissioner of Education Relating to Chapter 501 of the Laws of 2012 ("Protection of People with Special Needs Act")

Description: Protection of People with Special Needs Act (L. 2012, Ch. 501)

Justification for continuation without modification: To conform Commissioner's Regulations relating to students attending residential schools to L. 2012, Ch. 501.

Legal Basis for Rule: Education Law sections 101(not subdivided), 207(not subdivided), 4002(1)-(3), 4212(a), 4314(a), 4358(a), 4403(11), 4308(3), 4355(3), 4401(2), 4402(1)-(7), 4403(3), (11) and (13), 4410(1)-(13), and Chapter 501 of the Laws of 2012

Assessment of public comment: No public comment received

ADVERTISEMENTS FOR BIDDERS/CONTRACTORS

SEALED BIDS

REPAIR FLOOD WALL Binghamton, Broome County

Sealed bids for Project No. 45281-C, for Construction Work, Flood Wall Repairs, Binghamton, (Broome County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Environmental Conservation, until 2:00 p.m. on Wednesday, January 9, 2019, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$46,700 for C.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$1,000,000 and \$2,000,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 484 days after the Agreement is approved by the Comptroller.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 10:30 a.m. on December 27, 2018 at Kirkwood DEC Office, 1679 US Route 11, Kirkwood, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Luanne Vaughn, (607) 721-8716 a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 30% for MWBE participation, 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <http://www.ogs.ny.gov/bu/dc/esb/acquirebid.asp>

For questions about purchase of bid documents, please send an e-mail to DC.Plans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

REHABILITATE ELEVATORS Ten Eyck Office Building Albany, Albany County

Sealed bids for Project Nos. 45635-C, 45635-H, 45635-E, 45635-U, comprising separate contracts for Construction Work, HVAC Work, Electrical Work and Elevator Work, Rehabilitate Elevators, Ten Eyck Office Building, 40 North Pearl Street, Albany, (Albany County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Office of General Services, until 2:00 p.m. on Wednesday, January 9, 2019, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$22,200 for C, \$5,700 for H, \$17,200 for E, and \$94,200 for U.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law,

each for 100% of the amount of the Contract estimated to be between \$250,000 and \$500,000 for C, between \$50,000 and \$100,000 for H, between \$100,000 and \$250,000 for E, and between \$3,000,000 and \$4,000,000 for U.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 765 days after the Agreement is approved by the Comptroller.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 9:00 a.m. on December 27, 2018 at Ten Eyck Office Building, 40 North Pearl Street, Albany, NY. Prospective bidders are urged to visit the site at this time. Prospective bidders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Don Gailor, (518) 486-9122 a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises ("MWBEs") and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 16% for MWBE participation, 8% for Minority-Owned Business Enterprises ("MBE") participation and 8% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Construction Work and an overall goal of 10% for MWBE participation, 10% for Minority-Owned Business Enterprises ("MBE") participation and 0% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs) for Electrical Work. The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link at the OGS website for ordering and payment instructions: <http://www.ogs.ny.gov/bu/dc/esb/acquirebid.asp>

For questions about purchase of bid documents, please send an e-mail to DC.Plans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By John D. Lewyckyj, Deputy Director
OGS - Design & Construction Group

REPLACE HEATING SYSTEM Department of Transportation Region 5 Collins, Erie County

Sealed bids for Project No. 45875-H, for HVAC Work, Replace Heating System, DOT Region 5, 14299 Gowanda State Road, Collins (Erie County), NY, will be received by the Office of General Services (OGS), Design & Construction Group (D&C), Division of Contract Management, 35th Fl., Corning Tower, Empire State Plaza, Albany, NY 12242, on behalf of the Department of Transportation, until 2:00 p.m. on Wednesday, January 9, 2019, when they will be publicly opened and read. Each bid must be prepared and submitted in accordance with the Instructions to Bidders and must be accompanied by a certified check, bank check, or bid bond in the amount of \$15,600 for C.

Further, Wicks Exempt Projects require a completed form BDC 59 (Wicks Exempt List of Contractors) be filled out and submitted (included in a separate, sealed envelope) in accordance with Document 002220, Supplemental Instructions to Bidders – Wicks Exempt. Failure to submit this form correctly will result in a disqualification of the bid.

All successful bidders will be required to furnish a Performance Bond and a Labor and Material Bond in the statutory form of public bonds required by Sections 136 and 137 of the State Finance Law, each for 100% of the amount of the Contract estimated to be between \$100,000 and \$250,000 for C.

Pursuant to State Finance Law §§ 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS D&C and a bidder during the procurement process. A bidder is restricted from making contacts from the earliest posting, on the OGS website, in a newspaper of general circulation, or in the Contract Reporter of written notice, advertisement or solicitation of offers through final award and approval of the contract by OGS D&C and the Office of the State Comptroller ("Restricted Period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law § 139-j(3)(a). Designated staff are Jessica Hoffman, Carl Ruppert, and Pierre Alric in the Division of Contract Management, telephone (518) 474-0203, fax (518) 473-7862 and John Lewyckyj, Deputy Director, Design & Construction Group, telephone (518) 474-0201, fax (518) 486-1650. OGS D&C employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period, the bidder is debarred from obtaining governmental Procurement Contracts. Bidders responding to this Advertisement must familiarize themselves with the State Finance Law requirements and will be expected to affirm that they understand and agree to comply on the bid form. Further information about these requirements can be found within the project manual or at: <http://www.ogs.ny.gov/aboutOGS/regulations/defaultAdvisoryCouncil.html>

The substantial completion date for this project is 164 days after the Agreement is approved by the Comptroller.

The only time prospective bidders will be allowed to visit the job site to take field measurements and examine existing conditions of the project area will be at 11:00 a.m. on December 27, 2018 at DOT Region 5, Intersection Route 62 and Middle Road, Collins, NY. Prospective bidders are urged to visit the site at this time. Prospective bid-

ders or their representatives attending the pre-bid site visit will not be admitted on facility grounds without proper photo identification. Note that parking restrictions and security provisions will apply and all vehicles will be subject to search.

Phone the office of Kim Himes, (716) 532-5151 a minimum of 48 hours in advance of the date to provide the names of those who will attend the pre-bid site visit.

Pursuant to New York State Executive Law Article 15-A and the rules and regulations promulgated thereunder, OGS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority- and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of OGS contracts. All bidders are expected to cooperate in implementing this policy. OGS hereby establishes an overall goal of 16% for MWBE participation, 8% for Minority-Owned Business Enterprises (“MBE”) participation and 8% for Women-Owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs). The total contract goal can be obtained by utilizing any combination of MBE and /or WBE participation for subcontracting and supplies acquired under this Contract.

The Office of General Services reserves the right to reject any or all bids.

The Bidding and Contract Documents for this Project are available on compact disc (CD) only, and may be obtained for an \$8.00 deposit per set, plus a \$2.00 per set shipping and handling fee. Contractors and other interested parties can order CD's on-line through a secure web interface available 24 hours a day, 7 days a week. Please use the following link for ordering and payment instructions: <http://www.ogs.ny.gov/bu/dc/esb/acquirebid.asp>

For questions about purchase of bid documents, please send an e-mail to DC.Plans@ogs.ny.gov, or call (518) 474-0203.

For additional information on this project, please use the link below and then click on the project number: <https://online.ogs.ny.gov/dnc/contractorConsultant/esb/ESBPlansAvailableIndex.asp>

By *John D. Lewyckyj, Deputy Director*
OGS - Design & Construction Group

MISCELLANEOUS NOTICES/HEARINGS

Notice of Abandoned Property Received by the State Comptroller

Pursuant to provisions of the Abandoned Property Law and related laws, the Office of the State Comptroller receives unclaimed monies and other property deemed abandoned. A list of the names and last known addresses of the entitled owners of this abandoned property is maintained by the office in accordance with Section 1401 of the Abandoned Property Law. Interested parties may inquire if they appear on the Abandoned Property Listing by contacting the Office of Unclaimed Funds, Monday through Friday from 8:00 a.m. to 4:30 p.m., at:

1-800-221-9311
or visit our web site at:
www.osc.state.ny.us

Claims for abandoned property must be filed with the New York State Comptroller's Office of Unclaimed Funds as provided in Section 1406 of the Abandoned Property Law. For further information contact: Office of the State Comptroller, Office of Unclaimed Funds, 110 State St., Albany, NY 12236.

PUBLIC NOTICE

Department of Civil Service

PURSUANT to the Open Meetings Law, the New York State Civil Service Commission hereby gives public notice of the following:

Please take notice that the regular monthly meeting of the State Civil Service Commission for January 2019 will be conducted on January 9 and January 10 commencing at 10:00 a.m. This meeting will be conducted at NYS Media Services Center, Suite 146, South Concourse, Empire State Plaza, Albany, NY with live coverage available at <https://www.cs.ny.gov/commission/>

For further information, contact: Office of Commission Operations, Department of Civil Service, Empire State Plaza, Agency Bldg. One, Albany, NY 12239, (518) 473-6598

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services. The following changes are proposed:

Non-Institutional Services

Effective on or after January 1, 2019, the State will implement a pilot program to cover doula services, as part of a larger State initiative to target maternal morbidity and reduce racial disparities in health outcomes for pregnant women. A doula is a trained childbirth coach who provides non-medical physical, emotional, and informational support to clients before, during, and after birth.

Doulas will provide support during labor and birth, along with prenatal and postpartum visits. Services will include up to 3 prenatal, 4 postpartum visits, and support during the labor and delivery process. During the pilot program, payment for services rendered will be limited to a subset of zip codes in Brooklyn (Kings County) and Buf-

falo (Erie County) that have the highest prevalence of maternal and infant mortality rates in New York State (as per NYS' Bureau of Vital Statistics).

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2018/2019 is \$3,822,705.00.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact: Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, or e-mail: spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services to revise provisions of the Ambulatory Patient Group (APG) reimbursement methodology on and after January 1, 2019. The following changes are proposed:

The Ambulatory Patient Group (APG) reimbursement methodology is extended for the period January 1, 2019 through December 31, 2019. Such methodology is revised to include recalculated weight and component updates that will become effective on and after January 1, 2019.

The estimated annual net aggregate increase in gross Medicaid

expenditures attributable to this initiative contained in the budget for state fiscal year 2019/2020 is \$1,908,000.

The public is invited to review and comment on this proposed State Plan Amendment. Copies of which will be available for public review on the Department's website at: http://www.health.ny.gov/regulations/state_plans/status

Copies of the proposed State Plan Amendments will be on file in each local (county) social services district and available for public review.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, or e-mail: spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for long term care services to comply with Public Health Law Section 2808 (2-c)(d). The following changes are proposed:

Long Term Care Services

Effective on and after January 1, 2019, the quality incentive program for non-specialty nursing homes will continue to recognize improvement in performance and provide for other minor modifications.

There is no additional estimated annual change to gross Medicaid expenditures attributable to this initiative for State Fiscal year 2019/2020.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99 Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY 12210, or e-mail: spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health and Office for People With Developmental Disabilities (OPWDD), hereby give public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for non-institutional services to make New York, Systemic, Therapeutic Assessment, Resources and Treatment (NYSTART) available as a Medicaid State Plan service. This action is being taken based on (OPWDD)'s statutory responsibility to provide and encourage the provision of appropriate programs, supports, and services in the areas of care, treatment, habilitation, rehabilitation, and other education and training of persons with developmental disabilities (NYS Mental Hyg. Law § 13.07). OPWDD also has the authority to plan, promote, establish, develop, coordinate, evaluate, and conduct programs and services for prevention, diagnosis, examination, care treatment, rehabilitation, training, and research for the benefit of individuals with developmental disabilities, to take all actions necessary, desirable, or proper to implement the purposes of the Mental Hygiene Law, and to carry out its purposes and objectives within available funding (Mental Hyg. Law § 13.15(a)).

The following changes are proposed:

Non-Institutional Services

NYSTART is a community-based program that provides crisis prevention and response services to individuals with intellectual and developmental disabilities who present with complex behavioral and mental health needs, and will be available to those individuals, their families and others in the community who provide support, effective on or after Jan 1, 2019. NYSTART uses a person-centered, positive, evidence-informed approach to help individuals, families, caregivers, agencies, and other providers.

NYSTART offers training, consultation and technical assistance on the use of positive behavioral supports services and other therapeutic tools. The program builds on existing resources by providing clinical assessments (including psychiatric, behavioral and medical), consultation, education and training, crisis response and therapeutic intervention. NYSTART services are available to individuals age 6 or over who have intellectual and developmental disabilities and present with behavioral and mental health concerns. An OPWDD eligibility determination is required to receive the full array of NYSTART services, including clinical team support, In Home stabilization supports and short term Resource Center (site-based) stabilization services. Services are provided based on clinical assessment and individual needs.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2018/2019 is \$22 million.

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at <http://www.health.ny.gov/regulations/>

state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

New York County
250 Church Street
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Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99
Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY
12210, or e-mail: spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of Health

Pursuant to 42 CFR Section 447.205, the Department of Health and the Office of Alcoholism and Substance Abuse Services hereby gives public notice of the following:

The Department of Health proposes to amend the Title XIX (Medicaid) State Plan for institutional services to comply with Title 14 NYCRR, Chapter XXI, Parts 818, 817, 816. The following changes are proposed:

Institutional Services

Effective on or after January 1, 2019, The New York State Office of Alcoholism and Substance Abuse Services will change the Medicaid reimbursement for freestanding chemical dependence inpatient rehabilitation services (Title 14 NYCRR, Chapter XXI, Part 818), chemical dependence residential rehabilitation services for youth (Part 817), and freestanding chemical dependence medically supervised inpatient withdrawal services (Part 816) to a new fee-based methodology effective January 1, 2019. The new fee methodology will apply only to freestanding facilities that are certified solely under Article 32 of the New York State Mental Hygiene Law and shall not apply to facilities certified under Article 28 of the Public Health Law. The new Medicaid fees will be per diem fees established using a cost-based fee methodology that is inclusive of both operating and capital reimbursement. There shall be no capital add-on to these fees or any separate Medicaid reimbursement for capital costs.

The fees will be established using a regression model based on the relationship between normalized cost and program capacity. The calculated statewide fees, based on program capacity, will then be adjusted using regional cost factors (see below). Separate fee schedules will apply to each of the three program types.

Any changes in certified program capacity will result in a rate change effective on the same date, except that for medically supervised inpatient withdrawal, bed size will not be based on certified program capacity and instead shall be based on the reported all payer units of service. For new Medically Supervised Inpatient Withdrawal (MSIW) facilities, the "bed size" shall be based on 90% of the certified capacity rounded up to the next integer. Once actual service volume data is received for a new MSIW facility, the fee shall be revised retroactively

to the opening date, based on the reported actual all payer units of service. Thereafter the MSIW fee shall be based on the reported all payer units of service for the period two years prior to the fee period (or base year if a rebasing applies), unless the certified capacity changes in which case the fee shall be based on 90% of the new certified capacity, effective on the date of the capacity change, and reconciled to actual service volume once that information becomes available.

The geographic regions and regional cost factors for the three services will be as follows:

Region	Factor	Counties
1	1.2267	NYC
2	1.2001	Westchester
3	1.1825	Nassau, Suffolk, Rockland, Orange
4	1.1009	Dutchess, Putnam
5	1.0317	Erie, Niagara
6	0.9710	Madison, Onondaga, Oswego, Tompkins, Jefferson, Herkimer, Oneida
7	0.9192	Rest of State

The estimated all shares impact (cost) of this proposal is \$6.8 million per year. The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2018/2019 is \$1.7 Million (all shares).

The public is invited to review and comment on this proposed State Plan Amendment, a copy of which will be available for public review on the Department's website at http://www.health.ny.gov/regulations/state_plans/status. Individuals without Internet access may view the State Plan Amendments at any local (county) social services district.

For the New York City district, copies will be available at the following places:

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New York, New York 10018

Queens County, Queens Center
3220 Northern Boulevard
Long Island City, New York 11101

Kings County, Fulton Center
114 Willoughby Street
Brooklyn, New York 11201

Bronx County, Tremont Center
1916 Monterey Avenue
Bronx, New York 10457

Richmond County, Richmond Center
95 Central Avenue, St. George
Staten Island, New York 10301

For further information and to review and comment, please contact:
Department of Health, Division of Finance and Rate Setting, 99
Washington Ave., One Commerce Plaza, Suite 1432, Albany, NY
12210, or e-mail: spa_inquiries@health.ny.gov

PUBLIC NOTICE

Department of State F-2018-1042

Date of Issuance – December 26, 2018

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act (CZMA) of 1972, as amended.

The applicant has certified that the proposed activities comply with and will be conducted in a manner consistent with the federally approved New York State Coastal Management Program (NYSCMP). The applicant's consistency certification and accompanying public information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue, in Albany, New York, and are available for review at: <http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2018-1042ForPN>

In F-2018-1042, Angelo Ingrassia is proposing the installation of a 50 foot long by 4 foot wide dock extension off of an existing 16.5 foot by 10 foot deck, and the installation of a 59 foot long by 28 foot wide roofed covering over a proposed pile-supported boat hoist system, adjacent to the new dock extension. In addition, the applicant proposes to install new vinyl sheet piling refacing directly in front of an existing deteriorating steel sheet piling bulkhead and the installation of protective toe rock at the base of the vinyl sheet piling and to replace wooden deck boards on the existing deck with new thru-flow permeable decking. The work is proposed at the applicant's property at 697 Summit Drive, in the Town of Webster, on Irondequoit Bay.

The stated purpose of the of the proposal is to repair the breakwall and construction of a dock for personal watercraft.

Any interested parties and/or agencies desiring to express their views concerning any of the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 30 days from the date of publication of this notice or January 25, 2019.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
F-2018-1238 (DA)

Date of Issuance – December 26, 2018

The New York State Department of State (DOS) is required by Federal regulations to provide timely public notice for the activities described below, which are subject to the consistency provisions of the Federal Coastal Zone Management Act of 1972, as amended.

The U.S. Army Corps of Engineers - Buffalo District (ACOE) has determined that the proposed activity will be undertaken in a manner consistent to the maximum extent practicable with the enforceable policies of the New York State Coastal Management Program. The applicant's consistency determination and accompanying supporting information and data are available for inspection at the New York State Department of State offices located at One Commerce Plaza, 99 Washington Avenue in Albany, New York.

In F-2018-1238 (DA), The Environmental Protection Agency and Department of Defense proposed performance standards for the 11 Uniform National Discharge Standards Phase II Batch Two discharges incidental to the normal operation of a vessel of the Armed Forces into the navigable waters of the United States, the territorial seas, and the contiguous zone.

The National Consistency Determination for the Uniform National Discharge Standards (UNDS) Phase II Batch Two Discharges can be found at: https://www.epa.gov/sites/production/files/2018-11/documents/final_batch_two_czma_ncd_2018-11-7.pdf

Any interested parties and/or agencies desiring to express their views concerning the above proposed activities may do so by filing their comments, in writing, no later than 4:30 p.m., 15 days from the date of publication of this notice, or, January 10, 2019.

Comments should be addressed to: Department of State, Office of Planning and Development and Community Infrastructure, Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000. Electronic submissions can be made by email at: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

PUBLIC NOTICE

Department of State
Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2009-0105 In the matter of MTA-New York City Transit, Two Broadway, D4.112, New York, NY 10004, for a variance concerning roof insulation. Involved is re-roofing of the Coney Island Yard Maintenance Shop at X Avenue, Metropolitan Transit Authority contract C-34773 1B, City of New York, Borough of Brooklyn, County of Kings, State of New York.

2009-0607 In the matter of MTA-New York City Transit, Two Broadway, D3.131, New York, NY 10004, for a variance concerning headroom obstructions via protruding objects, egress width and ADA fixture height. Involved is alteration of a mechanical piping, egress aisle width in the boiler room and ADA water closet seat height at the portal building and Police District #34 at Stillwell Avenue Terminal, Metropolitan Transit Authority contract C-33281, City of New York, Borough of Brooklyn, County of Kings, State of New York.

2010-0013 In the matter of MTA-New York City Transit, Two Broadway, D3.131, New York, NY 10004, for a variance concerning stairway projections via protruding side handrails. Involved is alteration of a four existing stairways at Dekalb Avenue Station of BMT Brooklyn, Metropolitan Transit Authority contract A-35820, City of New York, Borough of Brooklyn, County of Kings, State of New York.

PUBLIC NOTICE

Department of State
Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0587 In the matter of McCune Family Properties, LLC, David and Sally McCune, 260 Coy Glen Road, Ithaca, NY 14850 concerning safety requirements including a variance for reduction in required height of existing handrails and guardrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, two stories in height, located at 114 West Seneca Street, City of Ithaca, County of Tompkins, New York.

PUBLIC NOTICE

Department of State
Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0588 In the matter of Brooks Washburn Architect, PC., 22 Depot Street, Suite 16, Potsdam, NY 13676 for Robert and Mollee Ashley, for an appeal concerning fire safety requirements including the requirement to provide an automatic fire sprinkler system.

Involved is the construction of a residential guesthouse occupancy, located at 6371 State Highway 37, Town of Oswegatchie, St. Lawrence County, New York.

PUBLIC NOTICE

Department of State Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0591 In the matter of West Shore Apartments, LLC. Robert Terry, 107 Worth Street, Ithaca, NY concerning safety requirements including a variance for reduction in required height of existing handrails and guardrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, three stories in height, located at 206 Prospect Street, City of Ithaca, County of Tompkins, New York.

2018-0592 In the matter of Andrew and Elizabeth Simkin, P.O. Box 31, Poplar Ridge, NY 13139 concerning safety requirements including a variance for reduction in required height of existing exterior porch guardrails.

Involved is the certificate of compliance inspection of an existing residential occupancy, two stories in height, located at 204 South Corn Street, City of Ithaca, County of Tompkins, New York.

PUBLIC NOTICE

Department of State Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0593, Venetta Thompson, 71 Hornbeck Road, Poughkeepsie, NY 12603; matter of a variance at the address mentioned at 71 Hornbeck Road in the Town of Poughkeepsie, NY 12603 for a ceiling height in basement.

2018-0595, Greeman-Pedersen Inc., 50 Glenmaura National Blvd., Suite 102, Scranton, PA 18505; matter of a variance for the Energy Conservation Code concerning duct installation at the address of 8820 Transit Road, Amherst, NY 14051.

PUBLIC NOTICE

Department of State Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0594 In the matter of William Bishop, 258 Kartes Drive, Rochester, NY concerning safety requirements including an appeal of the code enforcement refusal to issue an order to remedy regarding installation of electrical wiring across Quad Road, a common private right of way, and proper burial of said wiring.

Involved is the existing installation of electrical materials, components and equipment alleged to not be in accordance with the 2015 International Residential Code and the National Electrical Code. The installation is located at 86 Dillon Point Road and at Klose Quad Road Property, Town of Hammond, St. Lawrence County, New York.

PUBLIC NOTICE

Department of State Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0596 Matter of Hampton Inn Penn Yan located at 110 Mace Street, Village of Penn Yan (Yates County), NY, for a variance concerning Fire Apparatus Access Lane Requirements. (Routine Variance).

PUBLIC NOTICE

Department of State Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0598 Matter of Nolan's Restaurant located at 726 South Main Street, City of Canandaigua (Ontario County), NY, for a variance concerning stairway requirements. (Routine Variance).

PUBLIC NOTICE

Department of State Uniform Code Variance / Appeal Petitions

Pursuant to 19 NYCRR Part 1205, the variance and appeal petitions below have been received by the Department of State. Unless otherwise indicated, they involve requests for relief from provisions of the New York State Uniform Fire Prevention and Building Code. Persons wishing to review any petitions, provide comments, or receive actual notices of any subsequent proceeding may contact Brian Tollisen or Neil Collier, Building Standards and Codes, Department of State, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-4073 to make appropriate arrangements.

2018-0599 Matter of Starpoint School District located at 4363 Mapleton Road, Town of Lockport (Niagara County), NY, for a variance concerning Area Limitations. (Routine Variance).

FINANCIAL REPORTS



Department of
Taxation and Finance

Depositories for the Funds of the State of New York

Month End: November 30, 2018

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Nonie Manion
Executive Deputy Commissioner

**ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF
TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER**

Unemployment Insurance Funding Account	Key Bank	2,626,564.39
Occupational Training Act Funding Account	Key Bank	115,168.25
Unemployment Insurance Exchange Account	Key Bank	0.00
Exchange Account	Key Bank	0.00
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(282,240,161.11)
General Checking	Key Bank	(395,745,044.05)
Direct Deposit Account	Wells Fargo	40,993.76
TOTAL		(279,457,434.71)
01000 - EXECUTIVE CHAMBER		
Executive Chamber Advance Account	Key Bank	No report received
01010 - DIVISION OF BUDGET		
Advance Account	Bank of America, N.A.	5,000.00
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	1,909.71
01050 - OFFICE OF GENERAL SERVICES		
Exec Mansion Official Function	Key Bank	No report received
NY ISO Account	Key Bank	No report received
OGS Binghamton Office Bldg	Key Bank	No report received
SNY Office of General Services	JPMorgan Chase Bank, N.A.	No report received
State of New York OGS Escrow II	Key Bank	No report received
State of New York OGS Petty Cash	Key Bank	No report received
State of New Your OGS Escrow	Key Bank	No report received
State of NY Office Of General Services	Key Bank	No report received
01060 - DIVISION OF STATE POLICE		
CNET Confidential Account	Key Bank	24,000.00
Div Headquarters - Petty Cash	Key Bank	1,128.25
Key Advantage Account	Key Bank	81,192.12
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	2,273,785.03
NYSP CTIU Confidential Fund	Key Bank	4,000.00
SIU Confidential Fund Account	Key Bank	7,055.39
Special Fund	Key Bank	48,349.93
State Police Receipts Account	Bank of America, N.A.	957,870.43
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,000.00
Troop A Batavia-Confidential	Bank of America, N.A.	1,765.00
Troop B Confidential	Key Bank	5,600.00
Troop B Petty Cash	Community Bank	891.76
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	1,000.00
Troop D Oneida - Confidential	Alliance Bank	1,443.00
Troop D Oneida Petty Cash	Alliance Bank	821.56
Troop E Canandaigua Confidential	Canandaigua National Bank	2,000.00
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	4,450.00
Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	413.92
Troop G Petty Cash	Bank of America, N.A.	1,000.00
Troop K Petty Cash	Bank of Millbrook	826.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	3,140.91
Troop L Confidential Fund	Bank of America, N.A.	5,180.00
01070 - DIVISION OF MILITARY & NAVAL AFFAIRS		
Advance For Travel	Key Bank	No report received
SNY Camp Smith Billeting Fund	JPMorgan Chase Bank, N.A.	No report received
01077 - OFFICE OF HOMELAND SECURITY		
Academy Of Fire Science	Chemung Canal Trust	No report received
01080 - DIVISION OF HOUSING & COMMUNITY RENEWAL		
Albany Office Of Financial Administration		
Maximum Base Rent Fee Account	JPMorgan Chase Bank, N.A.	40,924.53
Revenue Account	JPMorgan Chase Bank, N.A.	2,258,639.58
01090 - DIVISION OF HUMAN RIGHTS		
Petty Cash Fund Account	JPMorgan Chase Bank, N.A.	No report received
01150 - OFFICE OF EMPLOYEE RELATIONS		
1986 Panel Administration Esc	Key Bank	3,830.07
GOER/LMC Advance Account	Key Bank	1,911.93
NYS Dependent Care Acct	Key Bank	57,293.62
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,521.30

01300 - ADIRONDACK PARK AGENCY		
General Fund	Community Bank	2.00
Petty Cash	Community Bank	3,807.42
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	9,117.39
Emergency Award Account	M&T Bank	0.00
Emergency Claims	Key Bank	8,623.18
Petty Cash Account	Key Bank	1,186.05
REST/SUBROG Escrow Account	Key Bank	389.66
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,893.00
FBI Fee Account	Bank of America, N.A.	7,493.71
Fingerprint Fee Account	Bank of America, N.A.	2,500.00
01530 - STATE COMMISSION OF CORRECTION		
Advance Account	Bank of America, N.A.	2,000.00
01540 - STATE BOARD OF ELECTIONS		
Revenue Account	Key Bank	No report received
01620 - OFFICE FOR PREVENTION OF DOMESTIC VIOLENCE		
NYS Prevention Domestic Violence	Bank of America, N.A.	No report received
02000 - OFFICE OF THE STATE COMPTROLLER		
Admissions	Bank of America, N.A.	598,771.27
Alcohol Beverage	Bank of America, N.A.	195,446.35
Alcoholic Bev Control License	Wells Fargo Bank	112,522.25
Alcoholic Beverage Control License	M&T Bank	221,853.91
Assessments Bulk	JPMorgan Chase Bank, N.A.	106,126.73
Assessments Receivable	JPMorgan Chase Bank, N.A.	6,451,033.55
Assessments Receivable (EFT)	Wells Fargo Bank	342,582.02
Boxing And Wrestling Tax	Bank of America, N.A.	4,549.96
Check 21 Corporation Tax	JPMorgan Chase Bank, N.A.	739,499.95
Check 21 Estate Tax	JPMorgan Chase Bank, N.A.	0.00
Check 21 Highway Use	JPMorgan Chase Bank, N.A.	843,912.08
Check 21 PIT	JPMorgan Chase Bank, N.A.	1,064,672.08
Check 21 Real Estate Transfer	JPMorgan Chase Bank, N.A.	0.00
Check Sales Tax	JPMorgan Chase Bank, N.A.	668,212.04
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	9,000.00
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	5,055,963.11
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	290,321.84
Cigarette Tax Tobacco Products	Bank of America, N.A.	48,662.91
Congestion Surcharge	Wells Fargo Bank	70.50
Corporation Tax	Wells Fargo Bank	430.50
Corporation Tax - Art 9	Bank of America, N.A.	0.00
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	70,562.60
Educational Charitable Account	Wells Fargo Bank	0.00
Employer Compensation Expense	Wells Fargo Bank	0.00
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	213,479.40
Estate Tax	Bank of America, N.A.	4,087,477.57
Estate Tax Article 10 Section 241	Key Bank	0.01
Estimated Tax	JPMorgan Chase Bank, N.A.	6,161,650.37
Gift Tax	Bank of America, N.A.	0.00
Hazardous Waste	Key Bank	19,204.53
Health Charitable Account	Wells Fargo Bank	0.00
Highway Use - Permits & Reg.	Bank of America, N.A.	121,584.94
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	686,770.15
Hudson River-Black River	Bank of America, N.A.	0.00
Hudson River-Black River	Community Bank	0.00
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	85,789.50
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	36,084.26
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	70,696.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	7,092.00
IFTA-Fuel Use	Bank of America, N.A.	30,636.24
Income Tax - LLC	JPMorgan Chase Bank, N.A.	204,355.40
Justice Court	Key Bank	643,949.03
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	14,681.50
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	242,936.25
Medical Marijuana Tax Collections	Bank of America, N.A.	41,025.66
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	30,446.51
Ogdensburg Bridge & Port	Community Bank	0.00
Payroll Revolving Exchange Acct.	Key Bank	0.00
Personal Income Tax	Wells Fargo Bank	45,264.14
Petroleum Business Tax (EFT)	Wells Fargo Bank	299,975.40
Petroleum Products Tax	Bank of America, N.A.	3,497,147.99
PIT Bulk	JPMorgan Chase Bank, N.A.	443,745.00
Port Of Oswego	Key Bank	(142,345.58)

Promptax - MCTMT	Wells Fargo Bank	959,119.79
Promptax - Petroleum Business Tax	Wells Fargo Bank	511.18
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	316.55
Promptax - Withholding	Wells Fargo Bank	2,530,550.84
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	49,926.74
Real Estate Transfer Tax	Key Bank	379,225.08
Revenue Holding	First Niagara Bank	3,192,000.00
Sales Tax	JPMorgan Chase Bank, N.A.	682.66
Sales Tax	Wells Fargo Bank	1,819.70
SUNY Concentration	First Niagara Bank	328,000.00
TNC Assessment (EFT)	Wells Fargo Bank	1,195.49
Troy Debt Service Reserve Fund	Bank of America, N.A.	246,650.67
Uncashed Winning Tickets	Bank of America, N.A.	88,938.82
Unclaimed Funds	JPMorgan Chase Bank, N.A.	321,343.02
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	26,666.40
Withholding	Wells Fargo Bank	37.36
Withholding Tax	JPMorgan Chase Bank, N.A.	14,567,441.59
Cash Advance Accounts		
Advance For Travel Account	Key Bank	3,701.30
ERS Petty Cash Acct	Key Bank	5,100.00
Petty Cash Account	Key Bank	3,700.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	(2,264.29)
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	12,431,880.17
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	8.34
Employees Retirement System - General	JPMorgan Chase Bank, N.A.	0.00
Employees Retirement System - Pension	JPMorgan Chase Bank, N.A.	0.00
Group Term Life		
Group Term Life - General	JPMorgan Chase Bank, N.A.	0.00
Municipal Assistance Corporation Accounts		
City Of Troy - MAC	JPMorgan Chase Bank, N.A.	0.00
Police and Fire		
Retirement Police & Firemen's - EFT	JPMorgan Chase Bank, N.A.	3.56
Retirement Police & Firemen's - General	JPMorgan Chase Bank, N.A.	0.00
Retirement Police & Firemen's - Pension	JPMorgan Chase Bank, N.A.	0.00
03000 - DEPARTMENT OF LAW		
Albany Filing Fees Account	Key Bank	No report received
Albany Petty Cash	Bank of America, N.A.	No report received
Albany Revenue Account	Key Bank	No report received
Assessment Account	JPMorgan Chase Bank, N.A.	No report received
Attorney General Account	Key Bank	No report received
Civil Recoveries Account	Key Bank	No report received
Dept Of Law Controlled Disb	M&T Bank	No report received
Marie Roberts	JPMorgan Chase Bank, N.A.	No report received
NYC Filing Fees Account	JPMorgan Chase Bank, N.A.	No report received
NYC Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
NYC Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Restitution Account	M&T Bank	No report received
Special Account	Key Bank	No report received
US Justice Dept - Shared Forfeiture	Key Bank	No report received
US Treas Dept - Shared Forfeiture	Key Bank	No report received
03010 - OFFICE OF THE ATTORNEY GENERAL		
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
OCTF - Confidential Fund Checking	JPMorgan Chase Bank, N.A.	No report received
03020 - MEDICAID FRAUD CONTROL		
dept atty gen vs john doe	Key Bank	11,923,691.90
National Global Settlement	JPMorgan Chase Bank, N.A.	52,226,487.21
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	39,800.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,218.32
04020 - NYS ASSEMBLY		
Advance For Travel	Bank of America, N.A.	No report received
Petty Cash Account Dist Off	Bank of America, N.A.	No report received
Petty Cash New York City	JPMorgan Chase Bank, N.A.	No report received
Public Information Office	Key Bank	No report received
04030 - ASSEMBLY WAYS & MEANS COMMITTEE		
Advance For Travel	Key Bank	No report received
Petty Cash	Key Bank	No report received
04040 - LEGISLATIVE BILL DRAFTING COMMISSION		
NY LBDC - Legislative Computer Services Fund	Key Bank	60,935.11
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	2,000.00
04250 - REAPPORTIONMENT		
NYS Taskforce On Demo Res & Reapp	JPMorgan Chase Bank, N.A.	No report received
05000 - OFFICE OF COURT ADMINISTRATION		

Attorney Registration Fees - Revenue	JPMorgan Chase Bank, N.A.	900,870.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	3,577,490.00
Finger Print Account	JPMorgan Chase Bank, N.A.	3,825.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	1,000.00
05005 - OCA OFFICE OF BUDGET & FINANCE		
Petty Cash Account	Key Bank	2,500.00
05008 - LAWYERS FUND FOR CLIENT PROTECTION		
Client Security Fund - Bail	Key Bank	1,080,830.43
Lawyers Fund For Client Protection - Bail	Key Bank	699.43
Petty Cash	Key Bank	1,533.27
05023 - ATTORNEY GRIEVANCE COMMITTEE, THIRD JUDICIAL DEPARTMENT		
Attorney Grievance Committee	M&T Bank	750.00
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	3,085.38
Clerk Of The Court Of Appeals	Key Bank	6,105.00
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	2,302,900.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	58,977.40
1st Jud Dept Petty Cash Appellate	JPMorgan Chase Bank, N.A.	293.28
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	113,011.00
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	20,898.58
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	13,393.09
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	4,525.25
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court Bail	Wells Fargo Bank	No report received
Glen Cove City Court Revenue	Wells Fargo Bank	No report received
Long Beach City Court		
Long Beach City Court Revenue	Wells Fargo Bank	No report received
Long Beach Court Bail	Wells Fargo Bank	No report received
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	No report received
Nassau District Court - Criminal		
Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	No report received
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	No report received
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	No report received
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	18,683.00
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	162,549.25
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	351,203.27
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	201,075.43
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	18,801.00
05210 - NYC-CIVIL COURT		
Bronx Civil Court - Civil		
Bronx Civil Court - Revenue	JPMorgan Chase Bank, N.A.	No report received
Harlem Community Justice Court		
Harlem Community Justice - Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Kings Civil Court- Civil		
Kings Civil Court- Civil Revenue	JPMorgan Chase Bank, N.A.	No report received
New York Civil Court - Civil		
New York Civil Court Revenue Acct	JPMorgan Chase Bank, N.A.	No report received
Queens Civil Court - Civil		
Queens Civil - Revenue	JPMorgan Chase Bank, N.A.	No report received
Richmond Civil Court - Civil		
Richmond Civil Ct Revenue Acct	JPMorgan Chase Bank, N.A.	No report received
05215 - NYC-CRIMINAL COURT		
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Bail	JPMorgan Chase Bank, N.A.	97,094.10
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	41,518.35
Kings County Criminal Court		
Kings Criminal Court	Citibank	68,903.00

New York County Criminal Court	JPMorgan Chase Bank, N.A.	41,730.00
New York Criminal Court	JPMorgan Chase Bank, N.A.	70,228.00
New York Criminal Court- State Funds		
Queens County Criminal Court	JPMorgan Chase Bank, N.A.	53,494.00
Queens Criminal Court	JPMorgan Chase Bank, N.A.	66,877.00
Queens Criminal Court - State Funds		
Richmond County Criminal Court	JPMorgan Chase Bank, N.A.	24,169.00
Richard Criminal Court-City Funds	JPMorgan Chase Bank, N.A.	22,100.00
Richmond Criminal Court-State Funds		
05220 - NYC-FAMILY COURT		
Family Citywide Administration	JPMorgan Chase Bank, N.A.	310.00
NYC Family Court		
05231 - SUPREME COURT - BRONX COUNTY	JPMorgan Chase Bank, N.A.	5,570.00
Bronx County Supreme - NYS OCA		
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme	JPMorgan Chase Bank, N.A.	7,004.30
Supreme Court Kings County-Revenue		
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme	JPMorgan Chase Bank, N.A.	20,011.50
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
Queens County Supreme Court		
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	894,606.45
05255 - BRONX COUNTY CLERK		
Bronx County Clerk	JPMorgan Chase Bank, N.A.	525,977.61
Bronx Cnty Clerk Revenue Acct		
05260 - KINGS COUNTY CLERK		
Kings County Clerk	Flushing Commercial Bank	1,055,339.10
Kings County Clerk Revenue Account		
05265 - QUEENS COUNTY CLERK	Sterling Bank	59,241.75
Queens County Clerk-Revenue Acct		
05270 - RICHMOND COUNTY CLERK	JPMorgan Chase Bank, N.A.	7,948,018.67
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	419.11
Richmond County Clerk DEC		
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate	JPMorgan Chase Bank, N.A.	60,121.00
New York Surrogate Court		
05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate	JPMorgan Chase Bank, N.A.	19,369.80
Bronx Surrogate Court Revenue Acct		
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate	Bank of America, N.A.	39,239.00
Kings Co. Surrogate Revenue Acct		
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate	Signature Bank	59,241.75
Queens Co Revenue Acct Surrogate		
05295 - RICHMOND COUNTY SURROGATES COURT	Victory State Bank	18,293.00
Richmond County Surrogate Court Revenue Account		
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)	Wells Fargo Bank	17,789.38
Albany City Civil - Revenue		
Albany City Court - (Crim-Bail)	Wells Fargo Bank	31,487.28
Albany City Criminal - Bail		
Albany City Court - (Traffic)	Wells Fargo Bank	223,442.00
Albany City Traffic-Revenue	Bank of America, N.A.	0.00
Albany Traffic Court - Bail		
Albany City Court - Civil Part	Trustco Bank	0.00
Albany City Court Civil - Revenue		
Albany City Court - Crim	Wells Fargo Bank	11,440.80
Albany City Court-Crim		
Albany City Court - Traffic-Bail	Wells Fargo Bank	1,300.59
Albany City Traffic - Bail		
Albany County Surrogate	Bank of America, N.A.	13,838.00
Albany Cty Surrogates Court - Revenue		
Albany Police Court	Key Bank	0.00
Albany Police Court Bail Account		
Cohoes City Court	Key Bank	6,673.00
Cohoes City Court Bail	Key Bank	29,827.65
Cohoes City Court Fees/Fines Account		
Columbia County Surrogate	Key Bank	4,026.00
Columbia Co Surrogate Ct Fees - Revenue		
Greene Surrogate	Wells Fargo Bank	3,156.25
Greene Surrogate-Revenue		
Hudson City Court		

Hudson City Bail	Wells Fargo Bank	30,661.80
Hudson City Court Bail Acct	Trustco Bank	0.00
Hudson City Court Revenue Acct - Revenue	Trustco Bank	0.00
Hudson City Revenue	Wells Fargo Bank	6,875.00
Kingston City Court		
Kingston City Court Bail	Key Bank	9,204.00
Kingston City Court Bail	Wells Fargo Bank	2,700.00
Kingston City Court Revenue	Wells Fargo Bank	34,108.71
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	8,413.00
Rensselaer City Court Bail Acct	Key Bank	7,166.70
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	15,789.00
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	1,224.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	3,905.00
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	99,189.65
Troy Police Court Bail Account	Bank of America, N.A.	36,854.46
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	4,688.75
Watervliet City Court		
Watervliet Bail	Pioneer Savings Bank	53,496.50
Watervliet Revenue	Pioneer Savings Bank	43,384.77
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	84,310.03
Amsterdam City Court - Revenue	Key Bank	31,393.20
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	1,607.50
Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	2,026.75
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	371.00
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	654.25
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	16,499.13
Glens Falls City Court Bail Acct	Glens Falls National	44,041.94
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	73,851.29
Gloversville City Court Revenue	NBT Bank	15,053.93
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	3.50
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	30,279.43
Johnstown City Court Fines/Fees - Revenue	Key Bank	7,700.00
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	16,946.24
Mechanicville City Ct Revenue Acct	TD Bank	7,139.22
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	238.50
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	27,283.98
Ogdensburg City Court Revenue	Community Bank	5,348.91
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	93,708.76
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	19,870.15
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	3,982.00
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	62,025.90
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	22,656.08
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	58,565.77
Schenectady City Court Revenue	Bank of America, N.A.	51,413.72
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	7,123.00
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	2,077.75
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	1,870.00
Washington Surrogates		

Washington Surrogate Revenue	TD Bank	1,608.75
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	9,486.25
Fulton City Court Revenue	Key Bank	8,815.08
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	1,708.50
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	3,029.00
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	0.00
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	0.00
Little Falls City Court Revenue	M&T Bank	3,514.06
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	8,946.50
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	25,960.75
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	13,566.75
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	13,095.01
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	17,432.40
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	16,550.25
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	68,950.50
Rome City Court - Revenue	Bank of America, N.A.	54,065.84
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	250.00
Sherrill City Court Fees - Revenue	Alliance Bank	1,234.00
Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	355,235.98
Syracuse City Court - Fees - Revenue	Alliance Bank	42,633.66
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	52,264.72
Utica City Court Revenue Account	Key Bank	40,608.38
Watertown City Court		
Watertown City Court Bail	Key Bank	83,890.30
Watertown City Court Fees & Fines - Revenue	Key Bank	9,341.00
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	18,826.34
Binghamton City Court Revenue	M&T Bank	50,705.00
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	7,127.75
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	3,652.25
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	314.25
Cortland City Court		
Court City Court Bail	NBT Bank	22,825.33
Court City Court- Revenue	NBT Bank	14,067.19
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	1,572.00
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	1,369.50
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	20,319.79
Elmira City Court Bail	Chemung Canal Trust	46,655.50
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	37,900.00
Ithaca City Court Revenue	Tompkins County Trust	24,414.89
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	2,058.50
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	18,920.00
Norwich City Court Revenue Acct	NBT Bank	5,035.36
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	14,305.50
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	10,810.39
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	8,077.00
Oneonta City Court Bail Account	Community Bank	12,430.00

Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	1,089.25
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	1,123.25
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	3,239.50
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	2,528.25
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	43,545.00
Auburn City Court Fees & Fines - Revenue	Key Bank	24,039.21
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	35,172.99
Canandaigua City Court Revenue	Canandaigua National Bank	20,716.08
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	1,350.25
Corning City Court		
Corning City Court - Revenue	Community Bank	10,226.39
Corning City Court Bail	M&T Bank	45,131.38
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	31,352.50
Geneva City Court Revenue Account	Wells Fargo Bank	18,867.71
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	16,141.68
Hornell City Court Revenue	Steuben Trust Co.	5,144.89
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	279.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	31,438.00
Ontario County Surrogates		
Ontario Surrogate Court	Wells Fargo Bank	7,944.00
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	571,460.88
Rochester City Revenue	M&T Bank	49,732.83
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	3,351.75
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	929.75
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	1,051.00
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	2,274.00
05860 - 8TH JUDICIAL DISTRICT ADMINISTRATION		
Allegany County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Allegany Surrogate Court	Wells Fargo Bank	1,133.50
Batavia City Court		
Batavia City Bail Account	M&T Bank	23,824.50
Batavia City Court Revenue	M&T Bank	13,789.00
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	246,645.07
Buffalo City Revenue Account	M&T Bank	44,174.45
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	2,981.25
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	3,781.00
Dunkirk City Court		
Dunkirk City - Revenue	Key Bank	11,068.34
Dunkirk City Court - Bail	Key Bank	15,881.50
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	76.75
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	56,115.65
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	671.25
Jamestown City Court		
Jamestown City Court Special Bail	Key Bank	0.00
State of New York Office of Court Administration Jamestown City Court Bail	Key Bank	23,326.00
State of New York Office of Court Administration Jamestown City Court Revenue	Key Bank	11,033.64
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	21,735.75
Lackawanna City Court Revenue Account	Key Bank	26,763.00
Lockport City Court		
Lockport City - Bail	Key Bank	60,803.00

Lockport City HESC EFT Account - Revenue	Key Bank	20,705.30
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	67,671.80
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	26,473.80
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	5,812.00
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	44,660.50
N. Tonawanda City Court Revenue	M&T Bank	42,742.60
Olean City Court		
Olean City Court Bail Account	Community Bank	9,102.20
Olean City Court Revenue Account	Community Bank	7,953.55
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	1,076.25
Salamanca City Court		
Salamanca City Court Bail	Community Bank	5,913.75
Salamanca City Court City Judge - Revenue	Community Bank	7,597.00
Tonawanda City Court		
Tonawanda City Court Bail	M&T Bank	67,243.10
Tonawanda City Court Revenue	M&T Bank	36,053.60
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	295.00
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	28,775.00
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	26,121.98
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	31,799.75
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	107,528.80
Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	35,785.70
Mt Vernon City Court		
Mt Vernon City Court State Bail	Wells Fargo Bank	125,134.99
Mt Vernon City Court State Revenue	Wells Fargo Bank	75,532.85
Mt. Vernon City Court		
Mt Vernon City Trust - Bail	JPMorgan Chase Bank, N.A.	489.47
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	353,735.13
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	32,959.00
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	47,540.33
Newburgh City Court Revenue	Wells Fargo Bank	27,187.19
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	3,794.50
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	24,334.48
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	103,847.06
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	41,300.00
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	17,097.00
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	138,762.36
Poughkeepsie City Court -Revenue	Wells Fargo Bank	63,503.44
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	17,755.75
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	6,429.50
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	16,625.18
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	28,107.00
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	68,815.00
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	9,641.93
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	159,731.69
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	90,344.48
Yonkers City Court		
Yonkers City Bail Account - Bail	Wells Fargo Bank	369,558.06
Yonkers City Bail Account- Bail	Sterling Bank	1.87
Yonkers City Revenue Account - Revenue	Wells Fargo Bank	110,856.73
Yonkers City State Account - Revenue	Sterling Bank	0.00

Yonkers City Court - Escrow		
Yonkers City Escrow Account - Bail	Sterling Bank	0.00
Yonkers City Court - State Fund		
Yonkers City State Fund Account - Revenue	Sterling Bank	0.00
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	17,954.24
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	38,312.00
Animal Population Control Account	Key Bank	10,528.69
Apple Marketing Order Fund	Key Bank	0.00
Consumer Food Industry Account	Key Bank	95,172.28
Dairy Industry Services Account	Key Bank	48,999.92
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products Grading	JPMorgan Chase Bank, N.A.	0.00
Milk Producers Security Fund	Key Bank	63,794.49
NYS Farmers Market Program	Key Bank	833,730.21
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	153.21
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	8,398.85
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	318.91
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	47,954.01
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	51,476.05
Weights & Measures Account	Key Bank	22,085.09
NYS Dept Agriculture & Markets		
Apple Marketing Order Fund	Key Bank	0.00
Dairy Promotion Order Fund	Key Bank	0.00
Farm Products	Key Bank	48,523.82
State Fair		
NYS Fair Operating Account	Solvay Bank	182,814.10
NYS Fair Petty Cash/Travel	Solvay Bank	1,399.62
NYS Fair Special Account	Solvay Bank	228.74
State Fair Premium Award Account	Solvay Bank	0.00
08000 - DEPARTMENT OF CIVIL SERVICE		
Agency Advance Account	Bank of America, N.A.	3,000.00
Examination Application Fees Account	Bank of America, N.A.	5,862.00
Examination Application Fees Account	Key Bank	13,890.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	38,613,818.36
08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	479.13
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	34,003.36
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	490,224.22
Conservation Petty Cash Account	M&T Bank	29,371.74
DEC/Exchange Account	M&T Bank	20,044.89
ENCON License Issuing Office	M&T Bank	444.00
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,153.90
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,757.13
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,550,680.47
Hunting Trapping & Fishing Account	M&T Bank	20,611.78
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	234,616.37
Lockbox Account	Wells Fargo Bank	277,973.60
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,319.66
NY Conservationist	Bank of America, N.A.	87,282.63
Program Fee	JPMorgan Chase Bank, N.A.	5,724.62
Revenue Account	Bank of America, N.A.	1,993,706.90
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,255,996.85
State of New York	Key Bank	96,154.77
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,087.88
Westhampton Project Escrow	JPMorgan Chase Bank, N.A.	254,536.72
Region 1		
Marine Permit Account	Bank of Smithtown	116,280.00
Region 3		
Revenue Region 3 Account	Bank of America, N.A.	0.00
Region 4		
Bear Spring Revenue Account	National Bank of Delaware	0.00
Region 4	Greene County Commercial Bank	0.00
Region 4 Camping	NBT Bank	0.00
Region 5		
Campsite Revenue Account	Glens Falls National	11.65
Land & Forest Region 5W	TD Bank	23,585.55

NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	2,163.91
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	129,953.50
Tree Nursery	Bank of America, N.A.	0.00
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	0.00
Lands & Forests District #6	Community Bank	1,456.60
Lands And Forests District 10	M&T Bank	70.20
SNY Dept Of Environmental Conserv	Community Bank	14.04
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	816.31
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	20,690.25
General Cash Fund	Five Star Bank	15,770.94
Inmate Occupational Therapy Fund	Five Star Bank	106,274.97
Inmate Savings Account	Five Star Bank	253,481.03
Spendable Fund	Five Star Bank	173,090.00
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Bank of America, N.A.	No report received
Advance Account	Key Bank	No report received
Certificate of Deposit	Bank of America, N.A.	No report received
Certificate of Deposit	Bank of America, N.A.	No report received
Certificate of Deposit	Bank of America, N.A.	No report received
Inmate Occupational Therapy Fund	Bank of America, N.A.	No report received
Inmate Occupational Therapy Fund	Key Bank	No report received
Inmate Spendable Account	Bank of America, N.A.	No report received
Inmate Spendable Account	Key Bank	No report received
Inmate Spendable Savings CD	Key Bank	No report received
Misc Receipts	Bank of America, N.A.	No report received
Misc Revenue	Key Bank	No report received
Money Market	Bank of America, N.A.	No report received
10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	10,975.67
Employee Benefit Fund	Key Bank	15,143.29
General Fund	Key Bank	2,003.20
Inmate Funds	Key Bank	186,171.16
Inmate Funds Money Market Account	Key Bank	692,254.07
Inmate Occupational Therapy Acct	Key Bank	91,053.82
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	2,400.00
Inmate Occupational Therapy Fund	Key Bank	16,976.66
Inmate Spendable Funds	Key Bank	57,971.26
Inmate Spendable Savings Account	Key Bank	90,471.56
Miscellaneous Receipts	Key Bank	14,638.58
10040 - GREAT MEADOW CORRECTIONAL FACILITY		
Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Certificate of Deposit	Glens Falls National	100,000.00
Facility Advance	Key Bank	6,250.00
General Fund	Key Bank	0.00
Inmate Fund	Key Bank	81,041.37
Inmate Fund Savings Account	Glens Falls National	152,500.00
Miscellaneous Account	Key Bank	11,694.30
Occupational Therapy	Key Bank	15,175.51
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	1,047.64
Employee Benefits	M&T Bank	14,358.88
Inmate Spending Account	M&T Bank	710,655.24
Inmates Account	M&T Bank	462,529.14
Inmates Benefit	M&T Bank	29,947.68
Misc Receipts	M&T Bank	53,849.48
Occupational Therapy Account	M&T Bank	30,469.06
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,473.78
Employee Benefit	Key Bank	1,088.08
Inmate Occupational Therapy Fund	Key Bank	43,698.61
Inmate Savings Account	Key Bank	87,943.37
Inmates Fund Account	Key Bank	175,891.02
Misc. Receipts	Key Bank	34,752.34
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	JPMorgan Chase Bank, N.A.	5,314.87
Inmate Funds	JPMorgan Chase Bank, N.A.	197,252.17

Inmate Interest Funds	JPMorgan Chase Bank, N.A.	452,380.48
Misc Receipts	JPMorgan Chase Bank, N.A.	10,075.91
Occupational Therapy	JPMorgan Chase Bank, N.A.	116,875.77
Quality Work Life	JPMorgan Chase Bank, N.A.	27,591.83
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,779.24
General Fund	Key Bank	10,475.40
Inmates Money Market	Key Bank	287,066.81
Inmates Now Checking	Key Bank	741,077.38
Occupational Therapy Fund	Key Bank	123,315.53
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	4,950.00
Employee Benefit Fund	Bank of America, N.A.	10,553.86
Inmate Funds	Bank of America, N.A.	173,512.44
Inmate Funds Savings	Bank of America, N.A.	103,707.35
Misc Receipts	Bank of America, N.A.	4,865.08
Occupational Therapy	Bank of America, N.A.	26,441.32
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	(591.60)
Employee Benefit Fund	Sterling Bank	14,319.74
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	398,333.40
Inmate Occupational Therapy Account	Sterling Bank	26,392.80
Misc. Receipts	Sterling Bank	2,299.15
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	1,854.39
ECF Clubhouse	Chemung Canal Trust	29,873.05
Employee Benefit Fund	Chemung Canal Trust	10,958.15
Inmate CD Account	M&T Bank	213,481.46
Inmates Fund	Chemung Canal Trust	445,509.28
Miscellaneous Receipts	Chemung Canal Trust	1,504.79
Occupational Therapy Fund	Chemung Canal Trust	57,315.14
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	2,312.41
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	4,563.38
Inmate Funds	JPMorgan Chase Bank, N.A.	158,521.79
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	21,016.72
Misc. Receipts	JPMorgan Chase Bank, N.A.	4,845.03
Occupational Therapy	JPMorgan Chase Bank, N.A.	43,481.81
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	2,533.25
Employee Benefits Fund	National Bank of Coxsackie	11,143.36
Inmates Fund	National Bank of Coxsackie	130,858.42
Inmates Fund Savings Acct	National Bank of Coxsackie	23,627.27
Misc. Revenue	National Bank of Coxsackie	4,012.07
Money Market Acct	National Bank of Coxsackie	160,238.65
Occupational Therapy Acct	National Bank of Coxsackie	14,392.86
10140 - WOODBOURNE CORRECTIONAL FACILITY		
CD - Inmate Funds	First National Bank of Jeffersonville	95,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
WCF Agency Advance	Jeff Bank	1,328.11
WCF General Fund	Jeff Bank	9,899.58
WCF Inmate Fund	Jeff Bank	165,359.04
WCF Occupational Therapy Fund	Jeff Bank	21,426.84
10160 - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION		
Agency Advance Account	Key Bank	24,326.05
Employee Benefit Fund	Key Bank	25,769.73
Inmate Escrow Account	Key Bank	374,465.06
Misc. Receipts Account	Key Bank	88,854.15
Special Account	Key Bank	1,300.00
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	5,594.43
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	7,225.35
Inmate Funds Account	JPMorgan Chase Bank, N.A.	116,939.72
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	605.91
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	3,115.29
Savings Account	JPMorgan Chase Bank, N.A.	15,501.01
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	7,643.17
Agency Advance	Community Bank	772.99
Diversity Management	Community Bank	826.10
Employee Benefit Fund	Community Bank	3,198.92
General Fund	Community Bank	870.77

Inmate Funds	Community Bank	1,090.33
Inmate Occupational Therapy Fund	Community Bank	8,014.23
Inmate Savings Money Market	Community Bank	0.00
Make A Difference Day	Community Bank	0.00
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	2,085.10
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	11,554.29
Inmate Fund	JPMorgan Chase Bank, N.A.	288,159.85
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	79,767.07
Misc. Receipts	JPMorgan Chase Bank, N.A.	24,451.71
Occupational Therapy	JPMorgan Chase Bank, N.A.	77,743.98
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	139,204.92
Misc. Revenue	JPMorgan Chase Bank, N.A.	6,812.61
Money Market	JPMorgan Chase Bank, N.A.	30,749.91
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	15,070.43
Taconic Advance Account	JPMorgan Chase Bank, N.A.	3,612.95
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,536.75
Employee Benefit Fund Account	Key Bank	5,258.64
Inmate Funds Account	Key Bank	31,402.15
Inmate Key Advantage Account	Key Bank	50,225.88
Inmate Occupational Therapy Account	Key Bank	8,474.81
Miscellaneous Receipts Account	Key Bank	1,557.02
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	499.18
General Fund	Jeff Bank	3,022.45
Inmate Funds	Jeff Bank	182,507.54
Inmate Occupational Therapy	Jeff Bank	37,793.27
Inmate Savings	Jeff Bank	51,265.14
Inmate Savings CD	Hometown Bank	76,776.57
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,704.50
Employee Recreation Fund	M&T Bank	1,078.92
Inmate Deposit Account	M&T Bank	87,233.82
Inmate Occupational Therapy	M&T Bank	26.26
Misc Fees	M&T Bank	0.00
Work Release Advance Account	M&T Bank	5,208.50
10320 - EDGEcombe CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	462.50
Employee Benefit Account	JPMorgan Chase Bank, N.A.	840.69
Inmate Cash Account	JPMorgan Chase Bank, N.A.	56,028.20
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	3,384.42
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	2,626.70
Inmate Fund	Community Bank	73,761.78
Inmate Savings	Community Bank	45,202.39
Misc. Receipts	Community Bank	354.23
Occupational Therapy	Community Bank	17,049.74
10360 - LINCOLN CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	932.85
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	7,699.03
General Fund	JPMorgan Chase Bank, N.A.	2,859.58
Inmate Funds	JPMorgan Chase Bank, N.A.	218,541.26
Inmate Savings	JPMorgan Chase Bank, N.A.	59,838.91
Lincoln Work Release Account	JPMorgan Chase Bank, N.A.	2,343.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	3,890.31
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,049.11
EBF Checking	Five Star Bank	28,713.96
EBF Savings	Five Star Bank	41,750.59
Inmate Savings	Five Star Bank	257,840.85
Inmate Spendable	Five Star Bank	117,029.96
Misc Receipts	Five Star Bank	861.79
Occupational Therapy	Five Star Bank	22,228.16
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	2,315.62
Employee Benefit Fund Checking	Bank of America, N.A.	25,329.18
Inmate Funds Checking	Key Bank	388,874.24
Inmate Funds Savings	Key Bank	313,653.31
Miscellaneous Revenue	Key Bank	1,235.79
Occupational Therapy	Key Bank	24,341.72

10430 - WENDE CORRECTIONAL FACILITY

Consolidated Advance
Employee Benefit Account
Inmate Savings
Inmates Funds
Misc. Receipts
Occupational Therapy

Alden State Bank 3,768.64
Alden State Bank 37,418.37
Alden State Bank 195,687.00
Alden State Bank 185,720.49
Alden State Bank 10,831.61
Alden State Bank 71,384.51

10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER

Office of Nutritional Services
Miscellaneous Receipts

Key Bank No report received

10450 - GOWANDA CORRECTIONAL FACILITY

Advance Account
Employee Benefit Fund
Inmate Funds
Inmate Funds - CD
Inmate Funds Savings
Miscellaneous Revenue
Occupational Therapy

Evans National Bank 1,575.06
Evans National Bank 17,545.08
Evans National Bank 133,750.29
Evans National Bank 135,040.87
Evans National Bank 123,651.63
Evans National Bank 11,838.55
Evans National Bank 18,897.49

10460 - GROVELAND CORRECTIONAL FACILITY

Agency Advance Account
Employee Commission Account
Inmate Funds Account
Inmate Funds Account - Savings
Miscellaneous Receipts Account
Occupational Therapy Account

Five Star Bank 2,103.36
Five Star Bank 16,551.70
Five Star Bank 200,507.87
Five Star Bank 108,016.63
Five Star Bank 13,283.13
Five Star Bank 17,302.89

10470 - COLLINS CORRECTIONAL FACILITY

Agency Advance
Employee Activities
Inmate Fund Checking
Inmate Savings
Miscellaneous Revenue
Occupational Therapy

Community Bank 1,983.89
Community Bank 45,644.37
Community Bank 131,072.67
Community Bank 130,506.40
Community Bank 6,723.91
Community Bank 19,949.23

10480 - MID-STATE CORRECTIONAL FACILITY

Agency Advance
Employee Benefit Fund
Inmate Funds
Inmate Savings
Misc. Revenue
Occupational Therapy

Key Bank 598.40
Bank of America, N.A. 34,687.95
Key Bank 227,168.16
Key Bank 198,228.60
Key Bank 11,229.37
Key Bank 46,358.41

10490 - MARCY CORRECTIONAL FACILITY

Agency Advance Account
Employee Benefit Fund Account
Inmate Fund Account
Misc receipts Acct
NYS DOCS Marcy CORR Facility
Occupational Therapy fund Acct

Key Bank 18,547.92
Bank of America, N.A. 69,540.17
Key Bank 1,169,682.96
Key Bank 50,489.74
Key Bank 0.00
Key Bank 807,957.85

10500 - NYC CENTRAL ADMINISTRATION

Agency Advance Acct
Misc Receipts

JPMorgan Chase Bank, N.A. 2,394.76
JPMorgan Chase Bank, N.A. 509.17

10501 - CENTRAL PHARMACY

NYS Docs Central Pharmacy Advance Acct

Bank of America, N.A. No report received

10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY

Moriah Shock Incarceration Advance Acct
Moriah Shock Incarceration Employee Benefit Fund
Moriah Shock Incarceration Occ Therapy
Moriah Shock Misc Receipts
NYS Moriah Shock Incarceration Inmate Checking

Glens Falls National No report received
Glens Falls National No report received
Glens Falls National No report received
Glens Falls National No report received
Glens Falls National No report received

10530 - FRANKLIN CORRECTIONAL FACILITY

Advance Account
Employee Benefit Account
Inmate Funds
Inmate Occupational Therapy
Inmate Savings
Misc. Receipts

Key Bank 4,291.38
Key Bank 10,147.99
Key Bank 132,041.78
Key Bank 15,350.65
Key Bank 217,083.01
Key Bank 4,891.70

10540 - ALTONA CORRECTIONAL FACILITY

Cons Adv Travel Petty Cash
Employees Vending Benefit
Inmates Funds
Misc Revenues General Fund
Occupational Therapy

NBT Bank 3,278.20
NBT Bank 9,760.30
NBT Bank 110,684.30
NBT Bank 511.33
NBT Bank 8,495.65

10550 - CAYUGA CORRECTIONAL FACILITY

Agency Advance
Cert Of Deposit
Employee Benefit Fund

First National Bank of Groton 1,736.94
First National Bank of Groton 86,656.89
First National Bank of Groton 6,796.34

Inmate Occupational Therapy Account	First National Bank of Groton	31,613.41
Inmate Spendable	First National Bank of Groton	0.00
Inmate Spendable	First National Bank of Groton	172,188.02
Misc Receipts	First National Bank of Groton	2,011.87
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,769.50
Employee Benefit Fund	Key Bank	10,789.71
Inmate Spendable Funds	Key Bank	77,506.09
Key Public Money Market Checking	Key Bank	363,424.46
Miscellaneous Receipts	Key Bank	343.34
Occupational Therapy	Key Bank	20,542.11
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,326.50
Inmate Accounts	Key Bank	184,979.10
Inmate Savings Account	Key Bank	105,366.89
Miscellaneous Receipts Account	Key Bank	10,151.65
Occupational Therapy	Key Bank	18,891.16
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,702.16
Employee Benefit Fund	Community Bank	39,855.06
Inmate Occupation Therapy Acct	Community Bank	30,782.53
Inmate Savings	Community Bank	146,613.61
Inmate Spendable Account	Community Bank	125,363.38
Miscellaneous Receipts Account	Community Bank	3,199.28
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	2,579.77
Employee Benefit Fund	Community Bank	12,429.66
Inmate Funds	Community Bank	31,750.67
Inmate Funds - Sav	Community Bank	94,644.67
Miscellaneous Revenue	Community Bank	2,298.23
Occupational Therapy	Community Bank	2,406.90
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	0.00
Agency Advance	M&T Bank	1,401.98
Employee Benefit Fund	Bank of America, N.A.	0.00
Employee Benefit Fund	M&T Bank	5,729.76
Inmate Fund	Bank of America, N.A.	0.00
Inmate Fund	M&T Bank	149,342.91
Inmate Funds Savings	Bank of America, N.A.	0.00
Inmate Funds Savings	M&T Bank	12,293.87
Misc Receipts	M&T Bank	2,001.58
Misc. Receipts	Bank of America, N.A.	0.00
Occupational Therapy	Bank of America, N.A.	0.00
Occupational Therapy	M&T Bank	9,740.89
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	351.49
Employee Benefit Fund	Chemung Canal Trust	18,748.90
Inmate Funds	Chemung Canal Trust	82,591.48
Inmate Funds Account	Chemung Canal Trust	40,012.95
Misc. Receipts Account	Chemung Canal Trust	573.52
Occupational Therapy Account	Chemung Canal Trust	26,674.04
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	2,224.21
Employee Benefit Fund	Bank of America, N.A.	7,082.65
Inmate Funds	Bank of America, N.A.	346,440.30
Inmate Savings	Bank of America, N.A.	157,724.71
Miscellaneous Receipts	Bank of America, N.A.	15,746.78
Occupational Therapy	Bank of America, N.A.	28,092.02
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,434.02
General Account	Key Bank	0.00
Inmate Account	Key Bank	217,788.59
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,478.85
Inmate Savings Account	Key Bank	14,331.46
Occupational Therapy Account	Key Bank	24,960.30
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	6,241.97
Employee Benefit Fund	Five Star Bank	14,254.34
Inmate Occupational Therapy	Five Star Bank	47,251.12
Inmate Savings - Certificate of Deposit	Five Star Bank	75,000.00
Inmate Savings - Certificate of Deposit	Five Star Bank	75,000.00
Inmate Savings Account	Five Star Bank	51,340.29
Inmate Savings-Certificate of Deposit	Five Star Bank	75,000.00
Inmate Spendable	Five Star Bank	494,864.92

Misc. Receipts Account	Five Star Bank	10,896.34
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	914.81
Inmate Accounts	National Bank of Coxsackie	107,656.96
Inmate Savings	National Bank of Coxsackie	297,864.50
Misc. Receipts	National Bank of Coxsackie	6,016.28
Occupational Therapy	National Bank of Coxsackie	68,213.43
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	1,140.92
Inmate Funds	Key Bank	150,085.18
Inmates Funds Account	Key Bank	42,548.87
Misc. Receipts Account	Key Bank	1,378.15
Occupational Therapy Acct	Key Bank	27,800.86
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Key Bank	2,286.85
Inmate Checking	Key Bank	7,897.75
Inmate Savings	Key Bank	253,769.14
Miscellaneous	Key Bank	21,394.36
Occupational Therapy	Key Bank	100,235.80
10800 - LIVINGSTON CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,559.15
Employee Benefit Fund	Five Star Bank	6,439.18
Inmate Funds CD	Five Star Bank	100,529.34
Inmate Funds Checking	Five Star Bank	70,124.99
Inmate Savings	Five Star Bank	20,245.31
Miscellaneous Receipts	Five Star Bank	837.14
Occupational Therapy	Five Star Bank	13,284.34
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	2,351.45
Inmate Occupational Therapy	Community Bank	29,559.54
Inmate Savings	Community Bank	309,918.03
Inmate Spendable Fund	Community Bank	87,047.47
Misc Receipts	Community Bank	13,293.58
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	989.83
Employee Benefit Fund	Community Bank	17,817.23
Inmate Funds	Community Bank	69,013.76
Inmate Occupational Therapy	Community Bank	8,142.72
Misc Receipts	Community Bank	3,456.66
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,900.00
Facility Committees	Key Bank	16,418.87
Inmate Fund	Key Bank	219,718.86
Inmate Fund Savings	Key Bank	0.00
Inmate Occupational Therapy Fund	Key Bank	10,070.16
Miscellaneous Account	Key Bank	398.90
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	444.70
Employee Benefit Fund	Bank of America, N.A.	11,257.37
Inmate Funds	Key Bank	60,032.15
Inmate Interest Bearing Account	Key Bank	15,003.76
Misc Receipts	Key Bank	7,726.96
Occupational Therapy	Key Bank	23,463.23
10890 - CORRECTIONS AND COMMUNITY SUPERVISION		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	277,342.76
Parole Supervision Fee	Wells Fargo Bank	46,739.64
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	4,000.00
Div of Ind Revenue Acct	Key Bank	394,142.63
11000 - EDUCATION DEPARTMENT		
Consolidated Advance Account	Key Bank	No report received
Consolidated Advance Account (Control Disbursement)	Key Bank	No report received
Revenue Account	Key Bank	No report received
11100 - NYS HIGHER EDUCATION SERVICES CORPORATION		
EFT Disbursement	Key Bank	No report received
Operating	Key Bank	No report received
Retail Lockbox	US Bank	No report received
TAP	Key Bank	No report received
Wholesale Lockbox	US Bank	No report received
11260 - BATAVIA SCHOOL FOR THE BLIND		
Misc. Receipts	M&T Bank	1,408.71
Petty Cash	M&T Bank	3,412.19
Student Spending Account	Bank of America, N.A.	11,460.60
11270 - ROME SCHOOL FOR THE DEAF		

Miscellaneous Receipts	NBT Bank	5,123.97
Petty Cash	NBT Bank	1,160.00
Student Activity Fund	NBT Bank	7,878.12
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,554,224.30
Endowment - Special Account	Janney Montgomery Scott LLC	No report received
Trust's Board Project Account	Key Bank	82,528.41
12000 - DEPARTMENT OF HEALTH CENTRAL ADMINISTRATION		
Conf Narcotic Investigation	M&T Bank	No report received
Consolidated Advance Acct	M&T Bank	No report received
CSA Rebate Account	Bank of America, N.A.	No report received
EPIC Benefit Recovery Program	Bank of America, N.A.	No report received
EPIC Provider Receipt Account	Bank of America, N.A.	No report received
General Account	M&T Bank	No report received
Indian Health Disbursement Account	Bank of America, N.A.	No report received
Medicaid	Key Bank	No report received
Medicaid Audit Recoveries Acct	Key Bank	No report received
Medicaid Buy-In Account	Bank of America, N.A.	No report received
Medicaid Insurance Recoveries Acct	Bank of America, N.A.	No report received
Nursing Home Fees Account	Bank of America, N.A.	50,061.13
12010 - ROSWELL PARK MEMORIAL INSTITUTE		
Office Of Patient Accounts	M&T Bank	1,596,072.52
12030 - HELEN HAYES HOSPITAL		
Misc. Receipts	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
Rental Deposit Acct	JPMorgan Chase Bank, N.A.	No report received
12120 - NYS VETERANS HOME-OXFORD		
Agency Advance	NBT Bank	No report received
Exchange Account	NBT Bank	No report received
Maintenance Fund	NBT Bank	No report received
Resident Advance Savings	NBT Bank	No report received
12150 - NYS VETERANS HOME-ST ALBANS		
NYC Veteran Home Agency Advance	JPMorgan Chase Bank, N.A.	No report received
St Albans NYC Vet Home Resid Funds	JPMorgan Chase Bank, N.A.	No report received
St Albans Vet Home Maintenance Acct	NBT Bank	No report received
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	5,513.99
Exchange Account	Bank of America, N.A.	67,946.21
Maintenance Account	NBT Bank	99,121.97
Resident Funds	Bank of America, N.A.	64,957.84
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	No report received
Maintenance Acct	NBT Bank	133,410.37
Residence Account	Bank of America, N.A.	No report received
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	254.59
Albany Petty Cash Account	Key Bank	429.08
NYC Confidential Account	JPMorgan Chase Bank, N.A.	370.04
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	27,925.55
Exchange Account	Bank of America, N.A.	119,102.17
Fee And Permit Account	Key Bank	633,088.12
Min Wage & Claim Funding Acct	Key Bank	163,223.11
Minimum Wage & Wage Claim Acct	Key Bank	1,196,560.93
Misc Receipts	Bank of America, N.A.	89,584.33
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	5,698,571.94
UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
14010 - WORKERS COMPENSATION BOARD		
DTF/WCB MAC 14	JPMorgan Chase Bank, N.A.	147,618,977.94
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	6,728.56
Petty Cash Account	Key Bank	3,550.00
Special Fee Account	Key Bank	106,038.39
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	7,669.25
Driver Improvement Program (DIP)	Key Bank	17,064.31
Main Office Advance For Travel	Key Bank	51,651.30
PARTNERS DOT -HOOCs	Key Bank	1,919,317.34
Revenue Unit	Key Bank	164,196.68
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	140,103.64
19000 - DEPARTMENT OF STATE		
Athletic	M&T Bank	35,112.00
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	608,855.00

Main	M&T Bank	113,478.21
Petty Cash Account	Key Bank	16,291.89
Summons	M&T Bank	1,705,299.35
19001 - TUG HILL COMMISSION		
Agency Advance Account	Key Bank	No report received
19002 - LAKE GEORGE PARK COMMISSION		
Petty Cash Account	Glens Falls National	No report received
Revenue Transfer Account	Glens Falls National	No report received
19005 - COMMISSION ON PUBLIC INTEGRITY		
JCOPE Petty Cash Account	Bank of America, N.A.	330.00
JCOPE Revenue Account	Bank of America, N.A.	25,774.42
20000 - DEPARTMENT OF TAXATION & FINANCE		
Exchange	Bank of America, N.A.	124,793.50
Fee Account	Key Bank	351,036.48
IFTA Funding	JPMorgan Chase Bank, N.A.	96,154.00
Misc Tax Account - Exchange	Bank of America, N.A.	78,279.42
Petty Cash	Bank of America, N.A.	12,551.64
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	58,900.00
Waste Tire Fee (EFT)	Wells Fargo Bank	38,693.80
Waste Tire Tax	JPMorgan Chase Bank, N.A.	27,725.34
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	246,771.47
Custody Account	US Bank	10,118.27
Fingerprint Concentration Account	Key Bank	29,651.00
License Revenue Account	Bank of America, N.A.	25,064.81
Lottery Concentration Account	Key Bank	187,045.15
Lottery Prize Payment Account	Key Bank	1,450.62
Lottery Subscriptions Account	Key Bank	672,631.87
Petty Cash Account	Key Bank	927.75
Racing Refund Account	Key Bank	1,336,582.07
Video Gaming Revenue Account	Key Bank	10,838,045.54
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	15,070.00
Confidential Fund	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
21110 - OFFICE OF REGULATORY REFORM		
Petty Cash	Key Bank	No report received
21290 - HUDSON RIVER-BLACK RIVER REGULATING DISTRICT		
Checking- General Fund Acct.	Community Bank	(63,269.83)
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	259,288.44
Money Market	Bank of America, N.A.	0.00
Petty Cash Fund	Bank of America, N.A.	6,500.00
21700 - OFFICE OF THE STATE INSPECTOR GENERAL		
Office Of The State Inspector General Pass Thru Account	Key Bank	56,204.23
OSIG Petty Cash Account	Key Bank	1,292.40
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	30,589.15
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	567.25
Petty Cash Account	Key Bank	368.01
Petty Cash Fund	JPMorgan Chase Bank, N.A.	294.58
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Albany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	807,753.54
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	36,800.87
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	25,217.46
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	100,657.72
Administrative Adj	M&T Bank	0.00
Albany-Region 3		
Confidential Inv Subpoena - Albany	Key Bank	1,500.00
Allegany-Belmont		
County Clerk Fee Allegany	Steuben Trust Co.	No report received
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	137,657.58
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	1,500.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	120,279.09

Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	104,277.26
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	127,576.43
Chautauqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	66,155.10
Chautauqua County		
Holding Acct-Chautauqua County	Community Bank	No report received
Holding Acct-Chautauqua County	Key Bank	No report received
Holding Acct-Chautauqua County	M&T Bank	No report received
Concentration (CTY)(OSC)		
Concentration (CTY)(OSC)	Key Bank	383,000.00
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	1,769,463.00
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	No report received
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	752,864.47
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	21,264.69
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	2,655,819.42
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received
Downstate		
Revenue Account - Downstate	Wells Fargo Bank	968,899.39
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	98,926.43
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	68,273.99
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	102,807.33
Genesee County		
Genesee County Clerk - DMV	Bank of Castile	185,313.00
Greene County		
Fee Account - Greene	Greene County Commercial Bank	No report received
Hudson Valley		
County Fee Acct	JPMorgan Chase Bank, N.A.	122,255.41
IRP (Albany Central Office)		
International Registration	M&T Bank	2,942,936.95
International Registration	Wells Fargo Bank	401,112.40
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	245,631.43
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	267,304.98
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	711,628.27
Long Island/Staten Island JP		
Long Island/Staten Island (Mass/Med)	JPMorgan Chase Bank, N.A.	84,285.79
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	42,079.84
Office Fee (Albany Central Office)		
Office Fee	Wells Fargo Bank	215,877.86
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	119,306.92
Oneida County Fee Account	NBT Bank	110,699.25
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	No report received
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	2,280.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	132,160.08
Search Exchange (Albany Central Office)		
MV Search	Key Bank	60,653.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	116,522.19
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	1,185.00
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	324,348.16
TLC/DOCCS		
TLC/DOCCS	JPMorgan Chase Bank, N.A.	223,396.00

Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	No report received
TVB Acct		
TVB Acct	Wells Fargo Bank	No report received
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	772,143.61
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	193,557.73
Utica D.O.		
Exchange Account	Bank of Utica	No report received
Revenue Utica	Bank of Utica	No report received
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	No report received
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	950.00
Brentwood Residents' Account	JPMorgan Chase Bank, N.A.	584.15
Brooklyn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	1,722.29
Brookwood Resid Residential Cash	Key Bank	12,371.47
Check Exchange	Bank of America, N.A.	4,560.41
CO Independent Living Acct	Bank of America, N.A.	1,570.00
Co. Training Employment Dev (Youth Stipend)	Bank of America, N.A.	25,000.00
Columbia Girls Secure Center-Advance Acct	Key Bank	400.00
Columbia Girls Secure Center-Youth Savings	Key Bank	2,748.36
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	3,088.88
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	3,318.84
Goshen Cash Advance	Bank of America, N.A.	2,600.00
Goshen Residents Account	Bank of America, N.A.	13,942.78
Harriet Tubman Advance Account	Key Bank	0.00
Harriet Tubman Residents' Account	Key Bank	124.45
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,585.49
Highland Res Ctr Residents Acct	Bank of America, N.A.	2,079.95
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,372.25
Industry Res Account	JPMorgan Chase Bank, N.A.	2,185.07
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	820.00
MacCormick Cash Advance	Tompkins County Trust	1,934.80
MacCormick Residents' Account	Tompkins County Trust	6,633.90
Medicaid Reimbursement Exchange	Bank of America, N.A.	167,223.49
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,299.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	15,400.00
Parker Training Academy Cash Advance	Key Bank	0.00
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	600.00
Red Hook Res Ctr Resident Cash	Key Bank	236.78
Red Hook Resid Ctr Cash Advance	Key Bank	300.00
Rochester Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	724.50
SCR Credit Card Revenue Account	Bank of America, N.A.	25,175.00
State Central Register	Bank of America, N.A.	91,783.60
Taberg Cash Advance	NBT Bank	695.72
Taberg Residents Account	NBT Bank	623.94
Youth Leadership Academy	NBT Bank	443.71
Youth Leadership Cash Advance	NBT Bank	750.00
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	0.70
Title IV D Of Social Security	Key Bank	205,715.73
Travel Advance	Key Bank	10,000.00
28010 - SUNY ALBANY		
Fee Account	Key Bank	(494,297.87)
Loan Services Center Account	Key Bank	35,068.00
Petty Cash/Travel Advance	Key Bank	0.00
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	326,273.19
SUNY Binghamton - Controlled Disb	M&T Bank	0.00
SUNY Binghamton - Petty Cash	M&T Bank	0.00
28030 - SUNY BUFFALO		
Controlled Disbursement Account	Bank of America, N.A.	0.00
General Revenue Account	Bank of America, N.A.	0.00
General Revenue Account	Key Bank	476,187.93
Imprest Account	Key Bank	6,960.69
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	964,552.66
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	1,436,331.41

LISVH Fees Depository	JPMorgan Chase Bank, N.A.	286,291.74
LISVH Fees Depository	Sterling Bank	1,120,289.58
LISVH Residence Fund	Sterling Bank	385,032.15
Payroll Advance	JPMorgan Chase Bank, N.A.	9,491.74
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	47,942.65
SUNY Eastern Long Island Hospital Depository	JPMorgan Chase Bank, N.A.	1.00
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	1,233,403.04
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	12,625,456.49
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,631.05
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	418,382.71
EFT Federal Deposits Acct	JPMorgan Chase Bank, N.A.	0.00
Hospital Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Hospital Revenue	JPMorgan Chase Bank, N.A.	10,827,245.82
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	74,175.34
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	32,331.74
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	9,317,643.69
Parking	Key Bank	31,770.13
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	9,392.36
Concentration Acct	M&T Bank	634,848.06
Controlled Disb	M&T Bank	0.00
28160 - SUNY BUFFALO STATE COLLEGE		
Controlled Disb	M&T Bank	0.00
Dept Public Safety	M&T Bank	0.00
Special Grant Account	M&T Bank	3,423.14
Students Acct Office	M&T Bank	113,158.19
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	301,435.18
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	76,110.24
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	369,652.22
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	170,191.67
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	393,619.97
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	1,014,882.09
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	2,789,253.59
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	3,188,605.39
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	59,417.27
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	291,775.95
28270 - SUNY INSTITUTE OF TECHNOLOGY UTICA/ROME		
Advance Account	Bank of America, N.A.	0.00
Controlled Disbursement Account	Bank of America, N.A.	0.00
Revenue	Bank of America, N.A.	55,641.00
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	326,221.94
Distribution Center Account	Key Bank	30,453.98
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	2,319,237.76
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	138,752.99
Dental Hygiene	NBT Bank	2,464.00

Income Fund	Key Bank	185,892.03
International Program Account	Key Bank	143,199.64
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	121,016.86
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	180,203.53
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	383,194.65
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	500,386.00
Revenue Account	NBT Bank	5,540.33
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	0.00
ESF/GSA	Key Bank	0.00
Forestry	Community Bank	308.72
Regular Account	Key Bank	144,158.47
Student Government	Key Bank	32,915.98
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	92,403.95
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	197,816.36
Revenue EFT Account	JPMorgan Chase Bank, N.A.	14,289.72
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	110,185.21
Medical Transportation	JPMorgan Chase Bank, N.A.	85.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00
NYS Iso	Key Bank	1,284,021.53
Revenue	Key Bank	153,688.05
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	8,028.22
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,859.54
Fire Tax Account (Main)	Key Bank	6,209.35
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	793,936.97
General Fund	Key Bank	356,881.34
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	92,992,381.18
Miscellaneous Account	JPMorgan Chase Bank, N.A.	2,992,275.18
Petty Cash	Key Bank	5,943.37
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,039.99
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Contractors Bid (SA)	Bank of America, N.A.	80,000.68
Revenue (SA)	Glens Falls National	32,410.95
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	50,480.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	889,823.54
Revenue (LI)	People's United Bank	275,145.75
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	52,771.77
Revenue (GE)	Bank of Castile	2,519,562.66
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	4,621.37
Revenue (NIA)	Evans National Bank	184,027.55
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	10,437.21
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	79,062.00
Main Office Account (ALB)	Key Bank	1,400.00
OPRHP Concentration Account	Key Bank	363,277.45
Petty Cash (ALB)	Key Bank	39,925.86
Revenue (NI, GE, AL, CE, TA)	M&T Bank	42,144.24
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	21,321.63
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	96,129.39
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	96,205.95
Revenue (various)	Wells Fargo Bank	66,619.92
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	419,450.02
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	189,617.48
Statewide Housing Security Deposits	Key Bank	173,271.25
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	18,054.78
Revenue (FL)	Savannah Bank	441,924.17

Revenue (FL-Multi)	Community Bank	11,097.83
Revenue (FL-Multi-Facilities)	Tompkins County Trust	1,770,523.29
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	6,616.00
Regional Account (AL)	Five Star Bank	102,150.73
Revenue (AL)	Five Star Bank	337,857.50
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	18,319.27
Revenue (CE, SA, TI)	NBT Bank	642,834.07
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	3,963.52
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI -Long Point River)	Citizens Bank	0.00
Revenue (TI)	Citizens Bank	59,792.53
Revenue (TI-Multi)	Community Bank	4,229.99
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	21,865.19
Iterim Assistance Agreement	Bank of America, N.A.	0.00
OMH Medication Grant Program Acct	Bank of America, N.A.	91,401.72
Reimbursement Account	Bank of America, N.A.	1,280,014.35
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	5,064.50
Facility Holding Account	JPMorgan Chase Bank, N.A.	24,828.39
Patient Cash Funds	JPMorgan Chase Bank, N.A.	447,444.38
Patients Cash Account	JPMorgan Chase Bank, N.A.	203,806.19
Security Deposit	JPMorgan Chase Bank, N.A.	2,747.30
50020 - KINGSBORO PSYCHIATRIC CENTER		
Advance Account	Banco Popular	No report received
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	202,157.72
Medicaid Outpatient Travel	Banco Popular	335.17
Patient Cash Acct (MM)	Banco Popular	200,158.42
Patient Checking Account	Citibank	36,996.48
Patient Savings Account	Banco Popular	333,795.52
Security Deposit	Banco Popular	2,488.76
Urban Oasis/EBT	Banco Popular	47,065.32
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	40,961.39
Facility Holding	Key Bank	15,166.00
Patient Cash Checking	Key Bank	0.00
Patient Cash Checking	M&T Bank	53,563.28
50060 - HUDSON RIVER PSYCHIATRIC CENTER		
Patients Cash	JPMorgan Chase Bank, N.A.	0.00
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	20,409.98
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	13,611.51
Patient Cash Checking	Hudson Valley National Bank	753,285.67
Patients Money Market	Hudson Valley National Bank	72,802.48
Social Service Tokens	Hudson Valley National Bank	38,666.19
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	38,129.99
Facility Holding	Key Bank	79,769.81
Patients Cash Account	Key Bank	200,533.18
Patients Fund Savings	Key Bank	160,121.65
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	20,759.07
Facility Holding Account	Community Bank	19,631.89
Patients Cash Account	Community Bank	27,339.16
Patients Cash Savings	Community Bank	203,889.38
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	37,560.59
Certificate Of Deposit	HSBC	150,000.00
Certificate Of Deposit	HSBC	250,000.00
Holding Account	HSBC	15,290.89
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	702,495.29
Patient Cash Account	HSBC	49,291.55
Rent Holding Account	HSBC	4,735.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	43,462.52
Exchange	JPMorgan Chase Bank, N.A.	114,368.05
Holding Account	JPMorgan Chase Bank, N.A.	91,924.94
Investment CD	Sterling Bank	100,458.30

Investment CD	Sterling Bank	100,443.02
Investment CD	Sterling Bank	100,443.02
Investment CD	Sterling Bank	100,718.00
Investment CD	Sterling Bank	100,458.30
Investment CD	Sterling Bank	100,443.02
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	127,064.91
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	890,785.45
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	No report received
General	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	8,946.50
Clients Count	Key Bank	124,907.65
Holding Account	Key Bank	12,238.45
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	31,552.16
Facility Holding Acct	JPMorgan Chase Bank, N.A.	171,144.86
Patient Cash	JPMorgan Chase Bank, N.A.	643,690.61
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	13,768.18
Facility Holding	Key Bank	5,452.66
Patient Cash Checking	Key Bank	24,382.09
Patient Cash Savings	Key Bank	39,995.31
Security Deposit	Key Bank	8,250.50
50310 - BRONX PSYCHIATRIC CENTER		
CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	25,252.68
Misc. Receipts	JPMorgan Chase Bank, N.A.	28,563.89
Patients Cash MM	JPMorgan Chase Bank, N.A.	87,110.14
Patients Checking Acct	JPMorgan Chase Bank, N.A.	630,012.22
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,300.00
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	656.12
Holding Account	Hudson Valley National Bank	36,223.28
Patient Cash Account	Hudson Valley National Bank	91,676.58
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,737.50
General Fund	Key Bank	8,388.06
Patient Checking	Key Bank	68,872.18
Patient Savings	Key Bank	146,054.80
Security Deposit	Key Bank	2,574.36
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	15,824.64
Facility Holding Account	Key Bank	810.50
Patients Account	Key Bank	149,240.03
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	4,965.00
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	13,433.27
Facility Holding Checking	JPMorgan Chase Bank, N.A.	5,655.07
Family Care Checking	JPMorgan Chase Bank, N.A.	0.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	25,425.43
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	13,080.52
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	833.16
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	335.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	47,589.23
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	4,762.00
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	16,982.53
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	1,248.89
Queens Adv Acct	HSBC	11,003.72
Queens Childrens Account	HSBC	7,175.69
50920 - ELMIRA PSYCHIATRIC CENTER		
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00
Certificate of Deposit	Chemung Canal Trust	100,000.00

Facility Advance Account	Chemung Canal Trust	10,527.83
General Fund Account	Chemung Canal Trust	3,514.05
IMMA	Chemung Canal Trust	45,281.30
Patients Fund Account	Chemung Canal Trust	190,780.50
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	5,148.68
Facility Holding Account	Key Bank	79,983.28
Parking Garage Account	Key Bank	181,515.70
Patients Cash Checking Account	Key Bank	124,220.40
Patients Cash Savings Account	Key Bank	446,132.42
51000 - NYS OFFICE FOR PEOPLE WITH DEVELOPMENTAL DISABILITIES		
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	519,960.01
51210 - HUDSON VALLEY DDSO		
EBT Checking	JPMorgan Chase Bank, N.A.	No report received
Exchange Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Investor's Choice Savings	JPMorgan Chase Bank, N.A.	No report received
Petty Cash	JPMorgan Chase Bank, N.A.	No report received
PTS Cash Checking	JPMorgan Chase Bank, N.A.	No report received
51240 - CENTRAL NY DDSO		
Advance Account	M&T Bank	20,000.00
Advance Accounts	Key Bank	14,027.94
Clients Account	Key Bank	128,267.69
Consumer Cash - Checking	M&T Bank	16,091.15
Consumer Cash - Savings	Adirondack Bank	913,943.18
Consumer Cash - Savings	Key Bank	958,478.58
Consumer Cash - Savings	M&T Bank	2,432,691.19
EBT Checking Account	Key Bank	19,974.84
Exchange Account	Key Bank	4,109.85
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	62,598.51
Electronic Benefits Transfer	M&T Bank	0.00
General Fund	M&T Bank	6,451.69
Patients Cash Checking	M&T Bank	1,968,410.28
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	754,824.78
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	No report received
General Fund Account	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
Staten Island DDSO EBT Checking Acct	JPMorgan Chase Bank, N.A.	No report received
51290 - CAPITAL DISTRICT DDSO		
Agency Advance Account	Key Bank	No report received
Agency Advance Account	The Adirondack Trust Company	No report received
Consumer EBT Fund / Fiduciary Account	Key Bank	No report received
Consumers Fund / Fiduciary Account	Key Bank	No report received
Patients Account Direct Deposit / Fiduciary Acct	The Adirondack Trust Company	No report received
Patients Fund Operating Acct / Fiduciary Acct	The Adirondack Trust Company	No report received
Summer Camp - Fiduciary Acct	The Adirondack Trust Company	No report received
51330 - WESTERN NY DDSO		
Agency Advance Account	M&T Bank	29,375.82
CD-Patient Property Funds	Key Bank	3,376,997.97
Exchange Account	M&T Bank	46,177.48
Food Stamp Account	M&T Bank	18,123.00
General Account	Community Bank	161,181.59
Patient Property Funds	Adirondack Bank	877,715.38
Patient Property Funds	M&T Bank	324,453.50
51350 - LONG ISLAND DDSO		
Consolidated Advance	JPMorgan Chase Bank, N.A.	No report received
EBT Checking Account	JPMorgan Chase Bank, N.A.	No report received
General Fund	JPMorgan Chase Bank, N.A.	No report received
Patient Cash	JPMorgan Chase Bank, N.A.	No report received
51380 - BROOKLYN DDSO		
CD	Banco Popular	No report received
Consumers Fund	JPMorgan Chase Bank, N.A.	No report received
Consumers Money Management	JPMorgan Chase Bank, N.A.	No report received
Food Stamps Benefits	JPMorgan Chase Bank, N.A.	No report received
Miscellaneous Receipts	JPMorgan Chase Bank, N.A.	No report received
Petty Cash - Degraw Street	JPMorgan Chase Bank, N.A.	No report received
Petty Cash - Mental Hygiene Brooklyn	JPMorgan Chase Bank, N.A.	No report received
Thomas Shirtz Community Service	JPMorgan Chase Bank, N.A.	No report received
51420 - SUNMOUNT DDSO		

Certificate of Deposit	Community Bank	No report received
Community Store Fund	Community Bank	No report received
EBT	Community Bank	No report received
Exchange Fund	Community Bank	No report received
Residents Fund	Community Bank	No report received
Sunmount Advance Account	Community Bank	No report received
Sunmount EBT Checking Account	Community Bank	No report received
51430 - INSTITUTE FOR BASIC RESEARCH IN DEVELOPMENTAL DISABILITIES		
Petty Cash	JPMorgan Chase Bank, N.A.	3,000.00
51450 - METRO NY DDSO		
Consolidated Acct	JPMorgan Chase Bank, N.A.	28,021.09
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	49,348.67
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	0.00
Metro NY DDSO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	117,418.89
Patients Cash Account	JPMorgan Chase Bank, N.A.	28,684.13
Patients Money Market Account	JPMorgan Chase Bank, N.A.	257.68
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
51470 - BERNARD M FINESON DDSO		
Bernard Fineson DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	No report received
Money Market Account	JPMorgan Chase Bank, N.A.	No report received
Patient Fund Account	JPMorgan Chase Bank, N.A.	No report received
Petty Cash Fund	JPMorgan Chase Bank, N.A.	No report received
51780 - FINGER LAKES DDSO		
Advance Account	JPMorgan Chase Bank, N.A.	No report received
F.L. Newark Resident Checking	Community Bank	No report received
Finger Lakes Resident Checking	JPMorgan Chase Bank, N.A.	No report received
FL Vending Machine Account	Community Bank	No report received
General Account	JPMorgan Chase Bank, N.A.	No report received
Geneseo Client Cash	Bank of America, N.A.	No report received
Kelsey Trust Fund	Bank of America, N.A.	No report received
Mary Moore Trust Fund	Bank of America, N.A.	No report received
Monroe Resident Checking	JPMorgan Chase Bank, N.A.	No report received
Monroe Resident Savings	JPMorgan Chase Bank, N.A.	No report received
Patient Food Stamp Account	JPMorgan Chase Bank, N.A.	No report received
51940 - BROOME DDSO		
Broome DDSO	M&T Bank	No report received
Broome DDSO - Advance Account	M&T Bank	No report received
Broome DDSO - General Fund	M&T Bank	No report received
Disabled Individuals Savings	Key Bank	No report received
Disabled Individuals Savings	M&T Bank	No report received
OMRDD Broome DDSO EBT Checking	M&T Bank	No report received
53000 - OFFICE OF ALCOHOLISM & SUBSTANCE ABUSE SERVICES		
Agency Advance Acct	Key Bank	No report received
Patient Fees	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	No report received
53020 - KINGSBORO ALCOHOLISM TREATMENT CENTER		
Petty Cash Advance Account	Bank of America, N.A.	594.34
55630 - NYS FOUNDATION FOR SCIENCE, TECHNOLOGY & INNOVATION		
Administrative Monies Account	Key Bank	No report received
Federal Monies Account	Key Bank	No report received
NYS Foundation For Science Technology & Innovation	Key Bank	No report received
70000 - CUNY UNIVERSITY MANAGEMENT & PROGRAM BOARD OF HIGHER EDUCATION		
CUNY Admin Imprest Cash Account	Citibank	10,008.56
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	45,491.37
70060 - CUNY JOHN JAY COLLEGE		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	14,809.09
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	4,282.50
70080 - CUNY YORK COLLEGE		
York College Imprest Funds	Citibank	11,228.64
York College Travel Advance Fund	Citibank	817.00
70100 - CUNY COLLEGE OF STATEN ISLAND		
CSI Imprest Cash	TD Bank	5,154.68
70120 - CUNY NYC COLLEGE OF TECHNOLOGY		
NY City College Of Technology Technical College Imprest Fund	Popular Community Bank	5,000.00
70150 - CUNY SCHOOL OF LAW		
CUNY School Of Law	TD Bank	26,395.23

The above balances represent funds deposited in various banking institutions as reported by the State department and agencies, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis Deputy Commissioner and State Treasurer

**FUNDS OF THE DIVISION OF THE TREASURY OF WHICH THE COMMISSIONER OF TAXATION AND FINANCE
IS THE SOLE CUSTODIAN WITH BALANCES AS OF 11/30/2018**

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 11/30/2018
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND		
0226 Upstate Community Colleges, FIT Series 2000A	Key Bank	25,482.19
0231 Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232 Upstate Community Colleges, Series 2005B	Key Bank	30,984.99
0233 Upstate Community Colleges, Series 2005C	Key Bank	26,117.43
DORMITORY AUTHORITY OF THE STATE OF NEW YORK		
0039 Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	2,151,733.05
0070 Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104 Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	16,482.80
0105 Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	261,105.71
0149 State Advances Repayment Account	Bank of America, N.A.	53.09
1202 DA DFRF MAC #1202 Binghamton	Key Bank	(445.14)
1203 DA DFRF MAC #1203 Oneonta	Key Bank	(1,405,552.17)
1205 DA DFRF MAC #1205 Delhi	Key Bank	(540.27)
1206 DA DFRF MAC #1206 Buffalo Univ	Key Bank	(295.48)
1207 DA DFRF MAC #1207 Buffalo College	Key Bank	541.05
1208 DA DFRF MAC #1208 Alfred	Key Bank	521.99
1209 DA DFRF Mac #1209 Fredonia	Key Bank	(103.11)
1211 DA DFRF Mac #1211 Upstate Medical	Key Bank	(511,112.13)
1212 DA DFRF Mac #1212 Oswego	Key Bank	(2,703.55)
1214 DA DFRF Mac #1214 Cortland	Key Bank	(307.23)
1215 DA DFRF MAC #1215 Stony Brook	Key Bank	(2,995,575.67)
1216 DA DFRF MAC #1216 Old Westbury	Key Bank	465.47
1217 DA DFRF MAC #1217 Farmingdale	Key Bank	130,620.23
1218 DA DFRF MAC #1218 Downstate Med	Key Bank	(129,472.37)
1219 DA DFRF MAC #1219 Maritime	Key Bank	(844.49)
1221 DA DFRF MAC #1221 Brockport	Key Bank	688.33
1222 DA DFRF MAC #1222 Geneseo	Key Bank	(2,360.98)
1223 DA DFRF MAC #1223 Purchase	Key Bank	(4,239.59)
1224 DA DFRF MAC #1224 New Paltz	Key Bank	(600.34)
1225 DA DFRF MAC #1225 Canton	Key Bank	195.88
1226 DA DFRF MAC #1226 Plattsburgh	Key Bank	81.60
1227 DA DFRF MAC #1227 Potsdam	Key Bank	(60.69)
1228 DA DFRF MAC #1228 Morrisville	Key Bank	388.32
1229 DA DFRF MAC #1229 SUNYIT	Key Bank	810.52
1230 DA DFRF MAC #1230 Cobleskill	Key Bank	210.56
1239 DA DFRF MAC #1239 Albany	Key Bank	(698.75)
1240 Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202 DA OMR MAC #2202 Binghamton	Key Bank	281,887.73
2203 DA OMR MAC #2203 Oneonta	Key Bank	190.12
2205 DA OMR MAC #2205 Delhi	Key Bank	12,066.85
2206 DA OMR MAC #2206 Buffalo Univ	Key Bank	1,000.66
2207 DA OMR MAC #2207 Buffalo College	Key Bank	360.23
2208 DA OMR MAC #2208 Alfred	Key Bank	610.40
2209 DA OMR MAC #2209 Fredonia	Key Bank	270.17
2211 DA OMR MAC #2211 Upstate Medical	Key Bank	600.39
2212 DA OMR MAC #2212 Oswego	Key Bank	990.65
2214 DA OMR MAC #2214 Cortland	Key Bank	1,003,907.13
2215 DA OMR MAC #2215 Stony Brook	Key Bank	395.26
2216 DA OMR MAC #2216 Old Westbury	Key Bank	387,535.33
2217 DA OMR MAC #2217 Farmingdale	Key Bank	15,758.72
2218 DA OMR MAC #2218 Downstate Med	Key Bank	26,041.30
2219 DA OMR MAC #2219 Maritime	Key Bank	360,673.55
2221 DA OMR MAC #2221 Brockport	Key Bank	970.64
2222 DA OMR MAC #2222 Geneseo	Key Bank	1,000.66
2223 DA OMR MAC #2223 Purchase	Key Bank	487.32
2224 DA OMR MAC #2224 New Paltz	Key Bank	985.65
2225 DA OMR MAC #2225 Canton	Key Bank	390.25
2226 DA OMR MAC #2226 Plattsburgh	Key Bank	815.53
2227 DA OMR MAC #2227 Potsdam	Key Bank	350,847.05
2228 DA OMR MAC #2228 Morrisville	Key Bank	195.12
2229 DA OMR MAC #2229 SUNYIT	Key Bank	1,001.55
2230 DA OMR MAC #2230 Cobleskill	Key Bank	1,001.40
2239 DA OMR MAC #2239 Albany	Key Bank	610.40
2240 DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	1,001.10
HOMELESS HOUSING ASSISTANCE CORPORATION		
0320 Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	6,123,683.97

NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION

0315	The Egg	Key Bank	33,126.50
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NEW YORK CONVENTION CENTER

0300	Operating Fund	JPMorgan Chase Bank, N.A.	10,238,400.98
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NEW YORK JOB DEVELOPMENT AUTHORITY

0036	Special Purpose Fund	Bank of America, N.A.	106,218.47
0371	Series H Commercial Paper	Bank of America, N.A.	834,569.41
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	193,775.49
0421	Escrow Account for Package Fulfillment Center Inc.	Key Bank	30,868.82
0423	Escrow Account for USA Industries Inc.	Key Bank	37,274.67
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,782.38
0426	Agriculture Loan Program	Key Bank	0.00

NYS AFFORDABLE HOUSING CORPORATION

0491	Disbursement Account	JPMorgan Chase Bank, N.A.	457,603.83
0520	Development Account	Key Bank	21,406,729.29
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	111,747.16
0523	Recapture Account	Key Bank	937.40
0880	Payroll Account	JPMorgan Chase Bank, N.A.	0.00

NYS DEPARTMENT OF TAXATION AND FINANCE

0510	Excelsior Linked Deposit Fund	Key Bank	0.00
0600	World Trade Center Memorial Foundation Fund Account	Bank of America, N.A.	25,920.66
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	29,449.25
0626	Criminal Investigation Division	Key Bank	189,460.73
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	3,902,162.90
0827	Stock Transfer Incentive Fund	Key Bank	1,077,687.24
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	(0.10)
0848	Off-Track Bet Tax Revenue Transfer Account	Key Bank	0.00

NYS ENERGY RESEARCH & DEVELOPMENT AUTHORITY

0028	Green Jobs - Green New York Fund	Bank of America, N.A.	0.00
0030	NYS Energy Research and Development Authority	Bank of America, N.A.	(19,403,221.03)

NYS HOUSING FINANCE AGENCY

0032	Operating Fund	Key Bank	0.00
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	168,691.00
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	10,963,149.00
0255	Residual Indebtedness Program Operating Fund	JPMorgan Chase Bank, N.A.	0.00
0266	Community Related Programs Operating Account	Key Bank	0.00
0267	Neighborhood Stabilization Program - Round 1	JPMorgan Chase Bank, N.A.	62,646.12
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	4,997,473.14
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	57,779.43
0285	Public Purpose Account	Key Bank	2,830,115.58
0286	Disbursement Account	Key Bank	1,263,215.92
0287	Infrastructure Development Fund	Key Bank	109,660.08
0288	Mobile Home Cooperative Fund	Key Bank	16,896.94
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	184,517.48
0294	Housing Plan Fund	Key Bank	454,997.66
0305	HPD Disbursement Fund	Key Bank	1,065,263.74
0879	Payroll Account	JPMorgan Chase Bank, N.A.	113,877.94

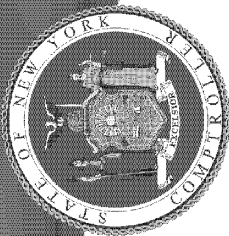
NYS HOUSING TRUST FUND CORPORATION

0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	486,550.60
0460	Escrow Account	M&T Bank	584,043.26
0461	Housing Modernization Account	M&T Bank	1,753,739.96
0462	General Custodial Account	M&T Bank	51,732,532.75
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	9,605,743.80
0466	Homes for Working Families Account	M&T Bank	8,023,549.36
0467	Section 8 Administrative Account	M&T Bank	10,841,780.31
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	16,104,542.69
0470	HCV Main Account	Bank of America, N.A.	11,376,665.56
0471	Empire State Relief Fund	M&T Bank	1,598,988.43
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	3,859,773.34

0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	797,643.12
0476	Voucher Fee Account	Bank of America, N.A.	0.00
0477	Five-Year Mainstream Account	Bank of America, N.A.	0.00
0480	OHP Miscellaneous Programs Account	Bank of America, N.A.	11,137,377.32
0891	Small Cities Community Development Block Grant Program	M&T Bank	2,046,498.99
0892	Disaster Recovery Initiative Account	M&T Bank	14,401.73
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	4,449,197.23
0899	HTFC Storm Recovery Lockbox	US Bank	24,516.67
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	168,752.53
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	678,337.52
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	493,719.76
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	59,019.83
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	130,092.95
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	4,096,621.00
0854	NYSTRS Electronic Value Transfer System	JPMorgan Chase Bank, N.A.	0.00
STATE INSURANCE FUND			
0053	State Insurance Fund	Bank of America, N.A.	94,865,698.11
0054	State Insurance Fund	Bank of America, N.A.	1,519,593.61
0055	State Insurance Fund	Bank of America, N.A.	1,603,450.15
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	28,090.35
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	766,389.92
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	29,557.25
0870	Deductions Account	Key Bank	311,562.74
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	114,366.51
0007	Special Disability Fund	Bank of America, N.A.	962,503.53
0011	Uninsured Employers Fund	Bank of America, N.A.	237,285.52
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	0.00
008K	Special Fund for Disability Benefits	Key Bank	1,133.23

The above balances represent funds deposited in various banking institutions per the records of the Department of Taxation and Finance, Division of Treasury, and published in accordance with Section 107 of the State Finance Law.

Division of the Treasury, Department of Taxation and Finance
Christopher Curtis Deputy Commissioner and State Treasurer



Office of the NEW YORK STATE
COMPTROLLER

Comptroller's Monthly Report on State Funds Cash Basis of Accounting

NOVEMBER 2018

NYS Comptroller
THOMAS P. DINAPOLI

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation



STATE OF NEW YORK
OFFICE OF OPERATIONS
DIVISION OF PAYROLL, ACCOUNTING AND REVENUE SERVICES
BUREAU OF FINANCIAL REPORTING AND OIL SPILL REMEDIATION

THOMAS P. DINAPOLI
STATE COMPTROLLER

COMPTROLLER'S MONTHLY REPORT TO THE LEGISLATURE ON STATE FUNDS - CASH BASIS OF ACCOUNTING

November 30, 2018

TABLE OF CONTENTS

Combined Statements of Cash Receipts, Disbursements and Changes in Fund Balances

Exhibit A	Governmental Funds	2
Exhibit A Supplemental	Governmental Funds - State Operating	3
Exhibit A Notes	Governmental Funds Footnotes	4
Exhibit B	Proprietary Funds	6
Exhibit C	Trust Funds	7
Exhibit D Governmental	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Governmental	8
Exhibit D State Operating	Governmental Funds - Budgetary Basis - Financial Plan and Actual - State Operating	9
Exhibit D General Fund	Governmental Funds - Budgetary Basis - Financial Plan and Actual - General Fund	10
Exhibit D Special Revenue	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Special Revenue	11
Exhibit D Special Revenue State/Federal	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Special Revenue State and Federal	12
Exhibit D Debt	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Debt Service	13
Exhibit D Capital Projects	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Capital Projects	14
Exhibit D Capital Projects State/Federal	Governmental Funds - Budgetary Basis - Financial Plan and Actual - Capital Projects State and Federal	15
Exhibit E	Comparative Schedule of Tax Receipts	16
Cash Flow - Governmental	Governmental Funds - Governmental	17
Cash Flow - State Operating	Governmental Funds - State Operating	19

Combining Statements of Cash Receipts, Disbursements and Changes in Fund Balances

Exhibit F	General Fund - Statement of Cash Flow	21
Exhibit G	Special Revenue Funds Combined - Statement of Cash Flow	23
Exhibit G State	Special Revenue Funds State - Statement of Cash Flow	25
Exhibit G Federal	Special Revenue Funds Federal - Statement of Cash Flow	27
Exhibit H	Debt Service Funds - Statement of Cash Flow	29
Exhibit I	Capital Projects Funds Combined - Statement of Cash Flow	30
Exhibit I State	Capital Projects Funds State - Statement of Cash Flow	32
Exhibit I Federal	Capital Projects Funds Federal - Statement of Cash Flow	34
Exhibit J	Enterprise Funds - Statement of Cash Flow	35
Exhibit K	Internal Service Funds - Statement of Cash Flow	36
Exhibit L	Pension Trust Funds - Statement of Cash Flow	37
Exhibit M	Private Purpose Trust Funds - Statement of Cash Flow	38

Supplementary Schedules

Schedule 1	Governmental Funds - Summary of Cash Receipts, Disbursements and Changes in Fund Balances	39
Schedule 2	Proprietary Funds - Summary of Cash Receipts, Disbursements and Changes in Fund Balances	42
Schedule 3	Fiduciary Funds - Summary of Cash Receipts, Disbursements and Changes in Fund Balances	43
Schedule 4	Sole Custody and Investment Accounts - Statement of Cash Receipts and Disbursements	44
Schedule 5	Debt Service Funds - Statement of Direct State Debt Activity	45
Schedule 5a	Debt Service Funds - Financing Agreements	46
Schedule 6	Summary of the Operating Fund Investments	47
Appendix A	HCRA Resources Fund - Statement of Receipts and Disbursements by Account	48
Appendix B	HCRA Resources Fund - Statement of Program Disbursements	49
Appendix C	HCRA Public Goods Pool - Statement of Cash Flow	50
Appendix D	HCRA Medicaid Disproportionate Share - Statement of Cash Flow	51
Appendix E	Summary of Off-Budget Spending Report	52
Appendix F	Schedule of Month-End Temporary Loans Outstanding	53
Appendix G	Dedicated Infrastructure Investment Fund - Statement of Receipts and Disbursements	57

EXHIBIT A

**STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES**
(Amounts in millions)

	GENERAL			SPECIAL REVENUE			DEBT SERVICE			CAPITAL PROJECTS			TOTAL GOVERNMENTAL FUNDS			YEAR OVER YEAR		
	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2017	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:																		
Personal Income Tax	(5)	\$ 1,087.3	\$ 14,205.0	\$ 7.0	\$ 7.5	\$ 1,094.2	\$ 14,212.4	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,185.5	\$ 28,424.9	\$ 2,391.4	\$ 27,280.3	\$ 1,164.6	4.3%
Consumption/Use Taxes		601.2	5,070.5	152.1	1,385.7	549.8	4,949.1	48.0	432.9	1,351.1	11,518.2	1,358.3	1,351.1	11,518.2	1,358.3	11,035.6	482.6	4.4%
Business Taxes	(4)	(14.7)	2,571.6	57.8	985.4	-	-	55.4	445.2	98.5	4,012.2	150.5	98.5	4,012.2	150.5	3,860.8	151.4	3.9%
Other Taxes		1,271.7	7,281.3	-	-	79.8	704.8	11.9	71.5	219.4	1,504.6	200.0	219.4	1,504.6	200.0	2,454.9	(950.3)	-38.7%
Miscellaneous Receipts		1,072.1	2,525.8	1,523.9	13,415.9	12.3	261.8	91.1	2,569.9	2,669.9	18,793.3	1,990.0	2,669.9	18,793.3	1,990.0	16,969.4	1,823.9	10.7%
Federal Receipts		-	0.1	4,771.0	39,087.2	-	36.7	207.0	1,479.6	4,970.0	40,613.6	5,346.1	4,970.0	40,613.6	5,346.1	37,599.4	3,014.2	8.0%
Total Receipts		2,873.6	25,101.3	6,511.8	54,881.6	1,736.1	19,864.8	413.4	5,019.1	11,534.9	104,866.8	11,506.3	11,534.9	104,866.8	11,506.3	99,180.4	5,686.4	5.7%
DISBURSEMENTS:																		
Local Assistance Grants:	(3,4)																	
Education		1,572.5	13,981.1	313.8	5,198.1	-	-	8.7	118.8	1,895.0	19,288.0	2,441.8	1,895.0	19,288.0	2,441.8	18,977.0	321.0	1.7%
Environment and Recreation		0.1	1.8	0.1	2.0	-	-	7.4	112.5	7.6	116.3	32.7	7.6	116.3	32.7	106.0	10.3	9.7%
General Government		8.2	745.5	30.2	144.4	-	-	135.5	659.5	173.9	1,549.4	46.6	173.9	1,549.4	46.6	1,248.6	300.8	24.1%
Public Health:																		
Medicaid		1,617.6	12,108.6	3,591.1	29,686.5	-	-	-	-	5,203.7	41,793.1	5,340.6	5,203.7	41,793.1	5,340.6	38,480.2	3,302.9	8.6%
Other Public Health		97.3	1,369.4	611.3	5,004.4	-	-	13.7	208.6	722.3	6,612.4	640.7	722.3	6,612.4	640.7	6,460.7	351.7	5.4%
Public Safety		9.9	122.3	249.7	1,023.3	-	-	0.9	35.0	260.5	1,180.6	188.2	260.5	1,180.6	188.2	1,054.2	128.4	12.0%
Public Welfare		132.0	1,528.9	275.5	3,176.7	-	-	9.9	215.2	414.4	4,918.8	487.0	414.4	4,918.8	487.0	4,314.3	604.5	14.0%
Support and Regulate Business		3.8	94.5	21.2	48.6	-	-	9.4	533.9	34.4	677.0	55.0	34.4	677.0	55.0	934.0	(257.0)	-27.5%
Transportation		23.9	279.5	447.2	2,592.8	-	-	89.6	964.0	590.7	3,806.3	624.4	590.7	3,806.3	624.4	3,982.8	(176.5)	-4.4%
Total Local Assistance Grants		3,455.3	30,457.6	5,537.1	48,846.8	-	-	275.1	2,847.5	9,277.5	80,151.9	9,866.0	9,277.5	80,151.9	9,866.0	75,567.8	4,584.1	6.1%
Departmental Operations:																		
Personal Service		663.7	5,912.0	476.6	3,839.0	-	-	-	-	1,140.3	9,751.0	1,421.1	1,140.3	9,751.0	1,421.1	9,467.7	283.3	3.0%
Non-Personal Service		187.6	1,694.0	289.2	2,658.0	1.3	26.4	-	-	478.1	4,378.4	598.3	478.1	4,378.4	598.3	4,575.4	(197.0)	-4.3%
General State Charges		400.4	5,465.5	175.4	1,034.7	-	-	-	-	573.6	6,521.2	953.6	573.6	6,521.2	953.6	6,297.2	224.0	3.6%
Debt Service, Including Payments on Financing Agreements	(1)	-	-	-	-	47.8	1,404.2	-	-	47.8	1,404.2	81.8	47.8	1,404.2	81.8	1,663.7	(259.5)	-15.6%
Capital Projects		-	-	-	-	-	-	-	-	678.8	4,877.6	645.3	678.8	4,877.6	645.3	4,439.8	437.8	9.9%
Total Disbursements		4,717.0	43,550.1	6,478.3	54,378.5	49.1	1,430.6	953.9	7,725.1	12,186.3	107,084.3	13,176.1	12,186.3	107,084.3	13,176.1	102,011.6	5,072.7	5.0%
Excess (Deficiency) of Receipts over Disbursements		(1,843.4)	(18,448.8)	33.5	503.1	1,687.0	18,134.2	(540.5)	(2,706.0)	(653.4)	(2,217.5)	(1,668.8)	(653.4)	(2,217.5)	(1,668.8)	(2,831.2)	613.7	21.7%
OTHER FINANCING SOURCES (USES):																		
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(2)	1,493.5	19,255.8	277.5	1,680.3	224.1	1,698.3	529.6	2,721.9	2,524.7	25,356.3	2,420.1	2,524.7	25,356.3	2,420.1	20,819.5	4,536.8	21.8%
Transfers to Other Funds	(2)	(784.0)	(4,820.4)	(259.4)	(938.2)	(1,467.7)	(19,183.5)	(18.6)	(430.0)	(2,528.7)	(25,372.1)	(2,437.8)	(2,528.7)	(25,372.1)	(2,437.8)	(20,906.9)	4,465.2	21.4%
Total Other Financing Sources (Uses)		709.5	14,435.4	21.1	742.1	(1,243.6)	(17,485.2)	511.0	2,291.9	(2.0)	(15.8)	(17.7)	(2.0)	(15.8)	(17.7)	(87.4)	71.6	81.9%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		(1,133.9)	(4,013.4)	54.6	1,245.2	443.4	949.0	(28.5)	(414.1)	(655.4)	(2,233.3)	(1,687.5)	(655.4)	(2,233.3)	(1,687.5)	(2,918.6)	685.3	23.5%
Beginning Fund Balances (Deficits)		6,565.5	9,445.0	5,492.7	4,302.1	658.7	153.1	(1,535.8)	(1,161.2)	11,181.1	12,749.0	9,873.6	11,181.1	12,749.0	9,873.6	11,104.7	1,644.3	14.8%
Ending Fund Balances (Deficits)		\$ 5,431.6	\$ 5,431.6	\$ 5,547.3	\$ 5,547.3	\$ 1,102.1	\$ 1,102.1	\$ (1,565.3)	\$ (1,565.3)	\$ 10,515.7	\$ 10,515.7	\$ 8,188.1	\$ 10,515.7	\$ 8,188.1	\$ 8,188.1	\$ 8,188.1	\$ 2,326.6	28.5%

**STATE OF NEW YORK
GOVERNMENTAL FUNDS-STATE OPERATING (*)
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)**

**EXHIBIT A
SUPPLEMENTAL**

	GENERAL			STATE SPECIAL REVENUE (**)			DEBT SERVICE			TOTAL STATE OPERATING FUNDS			
	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:													
(5) Personal Income Tax	\$ 1,087.3	\$ 14,205.0	\$ 7.0	\$ 7.5	\$ 1,084.2	\$ 14,212.4			\$ 2,188.5	\$ 28,424.9	\$ 27,260.3	\$ 1,164.6	4.3%
Consumption/Use Taxes	601.2	5,070.5	152.1	1,365.7	549.8	4,649.1			1,303.1	11,085.3	10,657.1	428.2	4.0%
Business Taxes	(14.7)	2,571.6	57.8	995.4	-	-			43.1	3,567.0	3,447.1	119.9	3.5%
Other Taxes	127.7	728.3	-	-	79.8	704.8			207.5	1,433.1	2,383.4	(950.3)	-39.9%
Miscellaneous Receipts	1,072.1	2,525.8	1,507.1	13,264.7	12.3	261.8			2,591.5	16,052.3	13,852.2	2,200.1	15.9%
Federal Receipts	-	0.1	0.1	(2.4)	-	36.7			0.1	37.3	(2.9)	(7.8%)	
Total Receipts	2,873.6	25,101.3	1,724.1	15,630.9	1,736.1	19,884.8			6,333.8	60,597.0	57,637.4	2,959.6	5.1%
DISBURSEMENTS:													
(3.4) Local Assistance Grants:													
Education	1,572.5	13,981.1	143.2	2,895.2	-	-			1,715.7	16,676.3	16,742.9	(66.6)	-0.4%
Environment and Recreation	0.1	1.8	-	0.5	-	-			0.1	2.3	3.9	(1.6)	-41.0%
General Government	8.2	745.5	17.4	99.6	-	-			25.6	845.1	840.6	4.5	0.5%
Public Health:													
Medicaid	1,617.6	12,108.6	444.3	3,725.0	-	-			2,061.9	15,831.6	14,278.0	1,553.6	10.9%
Other Public Health	97.3	1,599.4	59.5	594.6	-	-			156.8	2,184.0	2,117.2	66.8	3.2%
Public Safety	9.9	122.3	9.6	101.9	-	-			19.5	224.2	189.5	34.7	18.3%
Public Welfare	132.0	1,526.9	0.6	4.3	-	-			132.6	1,531.2	1,436.1	95.1	6.6%
Support and Regulate Business	3.8	94.5	21.3	43.1	-	-			25.1	137.6	173.0	(35.4)	-20.5%
Transportation	23.9	275.5	440.5	2,524.0	-	-			464.4	2,803.5	3,410.9	(607.4)	-17.8%
Total Local Assistance Grants	3,465.3	30,457.6	1,136.4	9,778.2	-	-			4,601.7	40,235.8	39,192.1	1,043.7	2.7%
Departmental Operations:													
Personal Service	663.7	5,912.0	428.8	3,394.5	-	-			1,092.5	9,306.5	9,018.7	287.8	3.2%
Non-Personal Service	187.6	1,694.0	216.9	1,831.2	1.3	26.4			405.8	3,551.6	3,678.4	(126.8)	-3.4%
General State Charges	400.4	5,486.5	149.3	731.9	-	-			549.7	6,218.4	6,076.2	142.2	2.3%
Debt Service, Including Payments on Financing Agreements	-	-	-	-	47.8	1,404.2			47.8	1,404.2	1,663.7	(259.5)	-15.6%
Capital Projects	-	-	-	-	-	-			-	-	-	-	0.0%
Total Disbursements	4,717.0	43,550.1	1,931.4	15,735.8	49.1	1,430.6			6,697.5	60,716.5	59,629.1	1,087.4	1.8%
Excess (Deficiency) of Receipts over Disbursements	(1,843.4)	(18,448.8)	(207.3)	(104.9)	1,687.0	18,454.2			(363.7)	(119.5)	(1,991.7)	1,872.2	94.0%
OTHER FINANCING SOURCES (USES):													
(2) Transfers from Other Funds	1,493.5	19,255.8	291.6	2,107.7	224.1	1,698.3			2,009.2	23,061.8	19,519.9	3,541.9	18.1%
(2) Transfers to Other Funds	(784.0)	(4,820.4)	(25.2)	(102.3)	(1,467.7)	(19,183.5)			(2,276.9)	(24,106.2)	(19,410.1)	4,696.1	24.2%
Total Other Financing Sources (Uses)	709.5	14,435.4	266.4	2,005.4	(1,243.6)	(17,485.2)			(267.7)	(1,044.4)	109.8	(1,154.2)	-1,051.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,133.9)	(4,013.4)	59.1	1,900.5	443.4	949.0			(631.4)	(1,163.9)	(1,881.9)	718.0	38.2%
Beginning Fund Balances (Deficits)	6,565.5	9,445.0	5,949.9	4,098.5	658.7	153.1			13,074.1	13,606.6	11,625.3	1,981.3	17.0%
Ending Fund Balances (Deficits)	\$ 5,431.6	\$ 5,431.6	\$ 5,999.0	\$ 5,999.0	\$ 1,102.1	\$ 1,102.1			\$ 9,743.4	\$ 9,743.4	\$ 9,743.4	\$ 2,699.3	27.7%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.
(**) Eliminations between Special Revenue - State and Federal Funds are not included.

GOVERNMENTAL FUNDS FOOTNOTES

1. Certain disbursements from Capital Projects funds are financed by operating transfers from other funds, proceeds of State bonds and notes, and reimbursements received from Public Authorities and the Federal Government. The amounts shown below represent disbursements to be reimbursed in future months from the sources indicated:

Urban Development Corporation (Correctional Facilities)	\$419.8	million
Urban Development Corporation (Youth Facilities)	65.5	
Housing Finance Agency (HFA)	357.2	
Housing Assistance Fund	13.1	
Dormitory Authority (Mental Hygiene)	607.8	
Dormitory Authority and State University Income Fund	582.0	
Federal Capital Projects	509.1	
State bond and note proceeds	112.7	

2. Operating Transfers constitute legally authorized transfers from a fund receiving revenues to a fund through which disbursements will ultimately be made. The more significant transfers include:

General Fund "Transfers to Other Funds" are as follows:

State Capital Projects Fund	\$1,746.0	million
General Debt Service Fund	505.3	
Banking Services Account	21.3	
Batavia School for the Blind Account	0.9	
Business Service Center Account	6.0	
Centralized Tech Services Account	14.0	
Court Facilities Incentive Aid Fund	62.0	
Dedicated Highway & Bridge Trust Fund	33.0	
Dedicated Infrastructure Investment Fund	900.0	
Dedicated Mass Transportation - Railroad Account	4.4	
Dedicated Mass Transportation - Transit Authority Account	24.4	
Dedicated Mass Transportation - (Non-MTA)	2.5	
Housing Debt Service Fund	1.7	
Indigent Legal Services	27.2	
Medical Marihuana Health Operation and Oversight	6.6	
MTA Financial Assistance Fund	244.3	
MTA Operating Assistance Fund	27.8	
NYC County Courts Operating Fund	3.1	
Rome School for the Deaf Account	0.9	
SUNY - Income Fund	1,019.3	

Also included in the General Fund are transfers representing payments for patients residing in State-operated Health, Mental Hygiene and State University facilities to Debt Service funds (\$7.1m), the State University Income Fund (\$191.2m), the Mental Hygiene Program Account (\$-29.0m) and Miscellaneous State Special Revenue Fund (\$0.1m).

\$72(4)(b) was added to the State Finance Law in 2010 to permit the State's General Debt Service Fund to maintain a cash reserve for the payment of debt service, and related expenses, during the current fiscal quarter. As of November 30, 2018 - pursuant to a certification of the Budget Director - the reserve amount is (\$158.3m), which is funded by a transfer from the General Fund.

EXHIBIT A NOTES
November 2018

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund (\$755.1m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Services Fund (\$8.4m), Medicaid Management Information System Escrow Fund (\$-23.8m), SUNY Capital Projects Fund (\$-20.1m) and All other Capital Projects (\$63.0m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Cable Television Account	\$2.5	million
Federal Dept of Health & Human Services Fund	42.1	
Federal Employment & Training Grants	1.2	
Federal USDA/Food & Nutrition Services Fund	12.3	
MTA Operating Assistance Fund	1.1	
NYC Assessment Account	29.3	
SUNY Income Fund	26.8	
Training and Education Program on OSHA Fund	1.7	
Unemployment Insurance Administration Fund	24.2	
Unemployment Insurance - Interest & Penalty Account	11.5	

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	\$13,840.1	million
Local Government Assistance Tax Fund	2,294.7	
Sales Tax Revenue Bond Tax Fund	1,723.8	
Clean Water/Clean Air Fund	665.5	
Mental Health Services Fund	595.3	

Also included in Debt Service funds are transfers to Special Revenue funds representing receipts in excess of lease-purchase obligations that are used to finance a portion of the operating expenses for Departments of Health (\$94.1m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund (\$16.3m), the General Debt Service Fund - Lease Purchase (\$196.9m), and the Revenue Bond Tax Fund (\$216.8m).

3. The State receives moneys that represent refunds, pharmacy rebates, reimbursements, or disallowances of medical assistance payments previously made from appropriated State and Federal funds. These monies are initially credited to an agency escrow account and shortly after receipt are allocated and refunded to State or Federal fund appropriations from which the medical assistance payments were originally made.

At month end, all funds in the agency escrow accounts have been appropriately allocated and refunded to State and Federal fund appropriations. No further adjustments have been made.

Allocation of Month-End Balances		
	General Fund	Special Revenue - Federal
Medicaid Recoveries - Health Facilities	\$ -	\$ -
Medicaid Recoveries - Audit	-	-
Medicaid Recoveries - Third Parties	-	-
Pharmacy Rebates	-	-
Medicare Catastrophic Recovery	-	-
Medicaid "Windfall" Recovery	-	-
Total	\$ -	\$ -

GOVERNMENTAL FUNDS FOOTNOTES.

- 4. Part UU of Section 11 of Chapter 59 of the Laws of 2018 amended section 805(b) of the tax law, whereby the receipts from the metropolitan commuter transportation mobility tax will be paid into the metropolitan transportation authority finance fund pursuant to statute but without appropriation. The result is that neither the mobility tax receipts nor the related grant disbursements to the MTA are recorded in the State funds. The MTA mobility tax activity is now reported in Schedule 4.
- 5. A portion of Personal Income Tax receipts is transferred to the State Special Revenue School Tax Relief (STAR) Fund to be used to reimburse school districts for the STAR property tax exemptions for homeowners and payments to homeowners for the STAR Property Rebate Program. School Tax Relief payments were (\$7.5m) as of November 30, 2018.

STATE OF NEW YORK
PROPRIETARY FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT B

	ENTERPRISE			INTERNAL SERVICE			TOTAL PROPRIETARY FUNDS				YEAR OVER YEAR	
	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	\$ Increase/ (Decrease)	% Increase/ Decrease		
RECEIPTS:												
Miscellaneous Receipts	\$ 4.5	\$ 43.2	\$ 36.1	\$ 324.6	\$ 40.6	\$ 367.8	\$ 46.9	\$ 379.2	\$ (11.4)	-3.0%		
Federal Receipts	1.0	8.2	-	-	1.0	8.2	1.7	11.3	(3.1)	-27.4%		
Unemployment Taxes	141.4	1,239.6	-	-	141.4	1,239.6	156.2	1,361.9	(122.3)	-9.0%		
Total Receipts	146.9	1,291.0	36.1	324.6	183.0	1,615.6	204.8	1,752.4	(136.8)	-7.8%		
DISBURSEMENTS:												
Departmental Operations:												
Personal Service	0.3	5.0	7.9	71.3	8.2	76.3	12.2	77.4	(1.1)	-1.4%		
Non-Personal Service	5.1	37.0	28.4	285.7	33.5	322.7	52.3	371.9	(49.2)	-13.2%		
General State Charges	0.1	0.7	5.0	55.3	5.1	56.0	2.7	38.5	17.5	45.5%		
Unemployment Benefits	142.3	1,247.7	-	-	142.3	1,247.7	158.3	1,373.6	(125.9)	-9.2%		
Total Disbursements	147.8	1,290.4	41.3	412.3	189.1	1,702.7	225.5	1,861.4	(158.7)	-8.5%		
Excess (Deficiency) of Receipts Over Disbursements	(0.9)	0.6	(5.2)	(87.7)	(6.1)	(87.1)	(20.7)	(109.0)	21.9	20.1%		
OTHER FINANCING SOURCES (USES):												
Transfers from Other Funds	-	-	2.1	46.7	2.1	46.7	13.7	35.7	11.0	30.8%		
Transfers to Other Funds	-	-	(0.2)	(7.2)	(0.2)	(7.2)	(0.1)	(7.4)	(0.2)	-2.7%		
Total Other Financing Sources (Uses)	-	-	1.9	39.5	1.9	39.5	13.6	28.3	11.2	39.6%		
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(0.9)	0.6	(3.3)	(48.2)	(4.2)	(47.6)	(7.1)	(80.7)	33.1	41.0%		
Beginning Fund Balances (Deficits)	26.1	24.6	(314.1)	(269.2)	(288.0)	(244.6)	(250.4)	(176.8)	(67.8)	-38.3%		
Ending Fund Balances (Deficits)	\$ 25.2	\$ 25.2	\$ (317.4)	\$ (317.4)	\$ (292.2)	\$ (292.2)	\$ (257.5)	\$ (257.5)	\$ (34.7)	-13.5%		

STATE OF NEW YORK

TRUST FUNDS

COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT C

	PENSION		PRIVATE PURPOSE		TOTAL TRUST FUNDS				YEAR OVER YEAR	
	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	\$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	\$ 5.3	\$ 79.4	\$ 0.1	\$ 0.9	\$ 5.4	\$ 80.3	\$ 28.7	\$ 68.7	\$ 11.6	16.9%
Total Receipts	5.3	79.4	0.1	0.9	5.4	80.3	28.7	68.7	11.6	16.9%
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	5.3	46.6	-	0.1	5.3	46.7	3.2	40.5	6.2	15.3%
Non-Personal Service	1.1	9.1	-	-	1.1	9.1	2.3	10.1	(1.0)	-9.9%
General State Charges	3.2	35.6	-	-	3.2	35.6	-	15.0	20.6	137.3%
Total Disbursements	9.6	91.3	-	0.1	9.6	91.4	5.5	65.6	25.8	39.3%
Excess (Deficiency) of Receipts Over Disbursements	(4.3)	(11.9)	0.1	0.8	(4.2)	(11.1)	23.2	3.1	(14.2)	-458.1%
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(4.3)	(11.9)	0.1	0.8	(4.2)	(11.1)	23.2	3.1	(14.2)	-458.1%
Beginning Fund Balances (Deficits)	(9.6)	(2.0)	12.6	11.9	3.0	9.9	(11.3)	8.8	1.1	12.5%
Ending Fund Balances (Deficits)	\$ (13.9)	\$ (13.9)	\$ 12.7	\$ 12.7	\$ (1.2)	\$ (1.2)	\$ 11.9	\$ 11.9	\$ (13.1)	-110.1%

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2018-2019
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018
(Amounts in millions)

EXHIBIT D

	ALL GOVERNMENTAL FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 28,531.0	\$ 27,883.0	\$ 28,424.9	\$ (106.1)	\$ 541.9
Consumption/Use	11,414.0	11,480.0	11,518.2	104.2	38.2
Business	4,076.0	4,119.0	4,012.2	(63.8)	(106.8)
Other	1,504.0	1,490.0	1,504.6	0.6	14.6
Miscellaneous Receipts	17,076.0	17,479.0	18,793.3	1,717.3	1,314.3
Federal Receipts	37,595.0	40,100.0	40,613.6	3,018.6	513.6
Total Receipts	100,196.0	102,551.0	104,866.8	4,670.8	2,315.8
DISBURSEMENTS:					
Local Assistance Grants	77,574.0	80,710.0	80,151.9	2,577.9	(558.1)
Departmental Operations	14,318.0	14,239.4	14,129.4	(188.6)	(109.6)
General State Charges	6,481.0	6,458.0	6,521.2	40.2	63.2
Debt Service	1,474.0	1,400.0	1,404.2	(69.8)	4.2
Capital Projects	6,205.0	5,031.0	4,877.6	(1,327.4)	(153.4)
Total Disbursements	106,052.0	107,838.0	107,084.3	1,032.3	(753.7)
Excess (Deficiency) of Receipts over Disbursements	(5,856.0)	(5,287.0)	(2,217.5)	3,638.5	3,069.5
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	27,058.0	25,736.0	25,356.3	(1,701.7)	(379.7)
Transfers to Other Funds	(27,118.0)	(25,794.0)	(25,372.1)	(1,745.9)	(421.9)
Total Other Financing Sources (Uses)	(60.0)	(58.0)	(15.8)	44.2	42.2
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(5,916.0)	(5,345.0)	(2,233.3)	3,682.7	3,111.7
Fund Balances (Deficits) at April 1	12,749.0	12,749.0	12,749.0	-	-
Fund Balances (Deficits) at November 30, 2018	\$ 6,833.0	\$ 7,404.0	\$ 10,515.7	\$ 3,682.7	\$ 3,111.7

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

EXHIBIT D

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2018-2019
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018
(Amounts in millions)

	STATE OPERATING FUNDS (***)			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 28,531.0	\$ 27,883.0	\$ 28,424.9	\$ (106.1)
Consumption/Use	10,999.0	11,050.0	11,085.3	86.3
Business	3,638.0	3,677.0	3,567.0	(71.0)
Other	1,432.0	1,418.0	1,433.1	1.1
Miscellaneous Receipts	14,188.0	14,771.0	16,052.3	1,864.3
Federal Receipts	34.0	34.0	34.4	0.4
Total Receipts	58,822.0	58,833.0	60,597.0	1,775.0
DISBURSEMENTS:				
Local Assistance Grants	39,986.0	40,708.0	40,235.8	249.8
Departmental Operations	12,941.0	12,894.0	12,858.1	(82.9)
General State Charges	6,265.0	6,168.0	6,218.4	(46.6)
Debt Service	1,474.0	1,400.0	1,404.2	(69.8)
Capital Projects	-	-	-	-
Total Disbursements	60,666.0	61,170.0	60,716.5	50.5
Excess (Deficiency) of Receipts over Disbursements	(1,844.0)	(2,337.0)	(119.5)	1,724.5
OTHER FINANCING SOURCES (USES):				
Transfers from Other Funds	23,751.0	23,090.0	23,061.8	(689.2)
Transfers to Other Funds	(25,379.0)	(24,089.0)	(24,106.2)	(1,272.8)
Total Other Financing Sources (Uses)	(1,628.0)	(999.0)	(1,044.4)	583.6
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(3,472.0)	(3,336.0)	(1,163.9)	2,308.1
Fund Balances (Deficits) at April 1	13,607.0	13,607.0	13,606.6	(0.4)
Fund Balances (Deficits) at November 30, 2018	\$ 10,135.0	\$ 10,271.0	\$ 12,442.7	\$ 2,307.7

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

(***) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal Funds) and Debt Service Funds.

(****) Eliminations between Special Revenue - State and Federal Funds are not included.

**STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2018-2019
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018
(Amounts in millions)**

EXHIBIT D

	GENERAL FUND			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:				
Taxes:				
Personal Income	\$ 14,254.0	\$ 13,930.0	\$ 14,205.0	\$ (49.0) 275.0
Consumption/Use	5,024.0	5,052.0	5,070.5	46.5 18.5
Business	2,656.0	2,669.0	2,571.6	(84.4) (97.4)
Other	695.0	703.0	728.3	33.3 25.3
Miscellaneous Receipts	1,332.0	1,702.0	2,525.8	1,193.8 823.8
Federal Receipts	-	-	0.1	0.1
Transfers From:				
PIT / ECET in excess of Revenue Bond Debt Service	14,041.0	13,737.0	13,840.1	(200.9) 103.1
Sales Tax in excess of LGAC / STRBF Debt Service	4,048.0	4,014.0	4,018.5	(29.5) 4.5
Real Estate Taxes in excess of CW/CA Debt Service	715.0	675.0	665.5	(49.5) (9.5)
All Other	1,043.0	853.0	731.7	(311.3) (121.3)
Total Receipts and Other Financing Sources	43,808.0	43,335.0	44,357.1	549.1 1,022.1
DISBURSEMENTS:				
Local Assistance Grants	30,248.0	30,953.0	30,457.6	209.6 (495.4)
Departmental Operations	7,798.0	7,700.0	7,606.0	(192.0) (94.0)
General State Charges	5,642.0	5,508.0	5,486.5	(155.5) (21.5)
Transfers To:				
Debt Service	572.0	511.0	505.3	(66.7) (5.7)
Capital Projects	3,281.0	2,607.0	2,679.0	(602.0) 72.0
State Share Medicaid	-	(29.0)	169.4	169.4 198.4
SUNY Operations	1,024.0	1,020.0	1,019.3	(4.7) (0.7)
Other Purposes	604.0	627.0	447.4	(156.6) (179.6)
Total Disbursements and Other Financing Uses	49,169.0	48,997.0	48,370.5	(798.5) (526.5)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(5,361.0)	(5,562.0)	(4,013.4)	1,347.6 1,548.6
Fund Balances (Deficits) at April 1	9,445.0	9,445.0	9,445.0	-
Fund Balances (Deficits) at November 30, 2018	\$ 4,084.0	\$ 3,883.0	\$ 5,431.6	\$ 1,347.6 1,548.6

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

(***) Includes transfers to the Department of Health Income Fund and the State University Income Fund representing payments for patients residing in State-Operated Health and State University facilities.

STATE OF NEW YORK

BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL

FISCAL YEAR 2018-2019

FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018

(Amounts in millions)

EXHIBIT D

	SPECIAL REVENUE FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Personal Income	12.0	\$ 12.0	\$ 7.5	-	\$ 7.5	\$ (4.5)
Consumption/Use	1,368.0	1,362.0	1,365.7	-	1,365.7	7.7
Business	982.0	1,008.0	995.4	-	995.4	13.4
Other	-	-	-	-	-	-
Miscellaneous Receipts	12,645.0	12,893.0	13,415.8	-	13,415.8	770.8
Federal Receipts	36,078.0	38,546.0	39,097.2	-	39,097.2	522.8
Transfers from Other Funds (***)	2,022.0	2,113.0	2,107.7	(427.4)	1,680.3	3,019.2
Total Receipts and Other Financing Sources	53,097.0	55,934.0	56,989.3	(427.4)	56,561.9	(341.7)
						627.9
DISBURSEMENTS:						
Local Assistance Grants	44,044.0	46,641.0	46,846.8	-	46,846.8	2,802.8
Departmental Operations	6,485.0	6,511.0	6,497.0	-	6,497.0	12.0
General State Charges	839.0	950.0	1,034.7	-	1,034.7	195.7
Capital Projects	-	-	-	-	-	-
Transfers to Other Funds (***)	1,464.0	1,406.0	1,365.6	(427.4)	938.2	(525.8)
Total Disbursements and Other Financing Uses	52,832.0	55,508.0	55,744.1	(427.4)	55,316.7	(2,484.7)
						(191.3)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	265.0	426.0	1,245.2	-	1,245.2	980.2
						819.2
Fund Balances (Deficits) at April 1	4,302.0	4,302.0	4,302.1	-	4,302.1	0.1
Fund Balances (Deficits) at November 30, 2018	\$ 4,567.0	\$ 4,728.0	\$ 5,547.3	\$ -	\$ 5,547.3	\$ 980.3
						\$ 819.3

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

(***) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

EXHIBIT D

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.
(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2018-2019
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018
(Amounts in millions)

EXHIBIT D

	DEBT SERVICE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	\$ 14,265.0	\$ 13,941.0	\$ 14,212.4	\$ (52.6)	\$ 271.4
Consumption/Use	4,617.0	4,636.0	4,649.1	32.1	13.1
Other	737.0	715.0	704.8	(32.2)	(10.2)
Miscellaneous Receipts	282.0	297.0	261.8	(20.2)	(35.2)
Federal Receipts	37.0	37.0	36.7	(0.3)	(0.3)
Transfers from Other Funds	1,888.0	1,698.0	1,698.3	(189.7)	0.3
Total Receipts and Other Financing Sources	21,826.0	21,324.0	21,563.1	(262.9)	239.1
DISBURSEMENTS:					
Departmental Operations	35.0	28.0	26.4	(8.6)	(1.6)
Debt Service	1,474.0	1,400.0	1,404.2	(69.8)	4.2
Transfers to Other Funds	19,728.0	19,226.0	19,183.5	(544.5)	(42.5)
Total Disbursements and Other Financing Uses	21,237.0	20,654.0	20,614.1	(622.9)	(39.9)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	589.0	670.0	949.0	360.0	279.0
Fund Balances (Deficits) at April 1	153.0	153.0	153.1	0.1	0.1
Fund Balances (Deficits) at November 30, 2018	\$ 742.0	\$ 823.0	\$ 1,102.1	\$ 360.1	\$ 279.1

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2018-2019
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018
(Amounts in millions)

EXHIBIT D

	CAPITAL PROJECTS FUNDS					
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan Updated Financial Plan
RECEIPTS:						
Taxes:						
Consumption/Use	\$ 415.0	\$ 430.0	\$ 432.9	\$ -	\$ 432.9	\$ 17.9
Business	438.0	442.0	445.2	-	445.2	7.2
Other	72.0	72.0	71.5	-	71.5	(0.5)
Miscellaneous Receipts	2,817.0	2,587.0	2,589.9	-	2,589.9	2.9
Federal Receipts	1,480.0	1,517.0	1,479.6	-	1,479.6	(37.4)
Bond and Note Proceeds, net	-	-	-	-	-	-
Transfers from Other Funds	3,301.0	2,646.0	2,906.1	(184.2)	2,721.9	(579.1)
Total Receipts and Other Financing Sources	8,523.0	7,594.0	7,925.2	(184.2)	7,741.0	(782.0)
DISBURSEMENTS:						
Local Assistance Grants	3,282.0	3,116.0	2,847.5	-	2,847.5	(434.5)
Capital Projects	6,205.0	5,031.0	4,877.6	-	4,877.6	(1,327.4)
Transfers to Other Funds	445.0	426.0	614.2	(184.2)	430.0	(15.0)
Total Disbursements and Other Financing Uses	9,932.0	8,573.0	8,339.3	(184.2)	8,155.1	(1,776.9)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(1,409.0)	(879.0)	(414.1)	-	(414.1)	994.9
Fund Balances (Deficits) at April 1	(1,151.0)	(1,151.0)	(1,151.2)	-	(1,151.2)	(0.2)
Fund Balances (Deficits) at November 30, 2018	(2,560.0)	(2,030.0)	(1,565.3)	-	(1,565.3)	994.7
						\$ 464.7

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2018-2019
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2018
(Amounts in millions)

EXHIBIT D

	STATE CAPITAL PROJECTS FUNDS				FEDERAL CAPITAL PROJECTS FUNDS			
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan
RECEIPTS:								
Taxes:								
Consumption/Use	\$ 415.0	\$ 430.0	\$ 432.9	\$ 17.9	\$ -	\$ -	\$ -	\$ -
Business	438.0	442.0	445.2	7.2	-	-	-	-
Other	72.0	72.0	71.5	(0.5)	-	-	-	-
Miscellaneous Receipts	2,817.0	2,587.0	2,589.4	(227.6)	-	-	-	-
Federal Receipts	2.0	2.0	2.5	0.5	1,478.0	1,515.0	1,477.1	0.5
Bond and Note Proceeds, net	3,301.0	2,831.0	2,906.1	(394.9)	-	(185.0)	-	(37.9)
Transfers from Other Funds	7,045.0	6,364.0	6,447.6	(597.4)	1,478.0	1,330.0	1,477.6	185.0
Total Receipts and Other Financing Sources								
					1,478.0	1,330.0	1,477.6	147.6
DISBURSEMENTS:								
Local Assistance Grants	2,785.0	2,754.0	2,552.0	(233.0)	497.0	362.0	295.5	(66.5)
Capital Projects	5,299.0	4,091.0	3,953.5	(1,345.5)	906.0	940.0	924.1	18.1
Transfers to Other Funds	439.0	426.0	429.9	(9.1)	6.0	-	184.3	184.3
Total Disbursements and Other Financing Uses								
	8,523.0	7,271.0	6,935.4	(1,587.6)	1,409.0	1,302.0	1,403.9	101.9
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses								
	(1,478.0)	(907.0)	(487.8)	990.2	69.0	28.0	73.7	45.7
Fund Balances (Deficits) at April 1								
	(568.0)	(568.0)	(568.4)	(0.4)	(583.0)	(583.0)	(582.8)	0.2
Fund Balances (Deficits) at November 30, 2018								
	\$ (2,045.0)	\$ (1,475.0)	\$ (1,056.2)	\$ 989.8	\$ (514.0)	\$ (555.0)	\$ (509.1)	\$ 45.9

(*) Source: 2018-19 Enacted Financial Plan dated May 11, 2018.

(**) Source: 2018-19 Mid-Year Update dated November 9, 2018.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(Amounts in millions)

	GENERAL				SPECIAL REVENUE				DEBT SERVICE				CAPITAL PROJECTS				TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2018	8 MOS. ENDED NOV. 30, 2018	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	\$ Increase/ (Decrease)	% Increase/ Decrease				
PERSONAL INCOME TAX																						
Withholding	\$ 2,897.5	\$ 23,618.3	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,898.9	\$ 22,481.0	\$ -	\$ 1,137.3	\$	5.1%				
Estimated Payments	104.4	9,849.8	-	-	-	-	-	-	-	-	-	-	116.7	8,965.8	-	884.0	9.9%					
Returns	35.3	2,392.6	-	-	-	-	-	-	-	-	-	-	33.9	2,229.2	-	163.4	7.3%					
State/City Offsets	(157.6)	(1,000.9)	-	-	-	-	-	-	-	-	-	-	(157.6)	(723.4)	-	277.5	38.4%					
Other Assessments/LLC	109.9	814.5	-	-	-	-	-	-	-	-	-	-	108.3	842.4	-	(27.9)	-3.3%					
Gross Receipts	2,959.5	35,674.3	-	-	-	-	-	-	-	-	-	-	3,061.8	33,795.0	-	1,879.3	5.6%					
Transfers to School Tax Relief Fund	(7.0)	(7.5)	7.0	7.5	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%				
Transfers to Revenue Bond Tax Fund	(1,094.2)	(14,212.4)	-	-	-	-	-	-	-	-	-	-	(670.4)	(6,534.7)	-	714.7	10.9%					
Less: Refunds Issued	(771.0)	(7,249.4)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%				
Total	1,087.3	14,205.0	7.0	7.5	1,094.2	14,212.4	-	-	2,188.5	(771.0)	(7,249.4)	-	2,391.4	27,260.3	-	1,164.6	4.3%					
CONSUMPTION/USE TAXES																						
Sales and Use	550.0	4,660.7	76.9	670.5	549.8	4,649.1	-	-	1,176.7	9,880.3	1,176.7	9,880.3	1,179.2	9,508.6	-	471.7	5.0%					
Auto Rental	-	-	-	28.2	-	-	-	-	-	-	-	-	9.8	91.0	-	(16.0)	-17.6%					
Cigarette/Tobacco Products	28.0	232.8	64.3	553.0	-	-	-	-	92.3	785.8	92.3	785.8	97.5	822.4	-	(36.6)	-4.5%					
Medical Marijuana	-	-	0.3	2.3	-	-	-	-	0.3	2.3	0.3	2.3	0.2	1.1	-	1.2	109.1%					
Motor Fuel	-	-	9.6	75.1	-	-	-	-	36.2	283.3	36.2	358.4	45.8	345.6	-	12.8	3.7%					
Alcoholic Beverage	23.2	177.0	-	-	-	-	-	-	23.2	177.0	23.2	177.0	23.1	175.6	-	1.4	0.8%					
Highway Use	-	-	0.6	(2.1)	-	-	-	-	12.4	100.7	12.4	100.7	11.5	50.1	-	50.6	101.0%					
Metropolitan Commuter Trans. Taxicab Trip	-	-	0.4	38.7	-	-	-	-	0.4	38.7	0.4	38.7	1.3	41.2	-	(2.5)	-6.1%					
Total	601.2	5,070.5	152.1	1,365.7	549.8	4,649.1	48.0	432.9	1,351.1	11,518.2	1,351.1	11,518.2	1,395.3	11,035.6	-	482.6	4.4%					
BUSINESS TAXES																						
Corporation Franchise	(29.0)	1,657.8	11.4	487.9	-	-	-	-	(17.6)	2,145.7	(17.6)	2,145.7	51.7	1,753.0	-	392.7	22.4%					
Corporation and Utilities	2.9	205.7	1.6	74.5	-	-	0.1	8.3	4.6	285.5	4.6	285.5	1.0	337.5	-	(46.0)	-14.5%					
Insurance	14.6	681.8	1.4	94.6	-	-	-	-	16.0	776.4	16.0	776.4	5.1	768.0	-	8.4	1.1%					
Bank	(3.2)	26.3	(0.2)	(3.1)	-	-	-	-	(3.4)	23.2	(3.4)	23.2	-	268.6	-	(245.4)	-91.4%					
Petroleum Business	-	-	43.6	341.5	-	-	55.3	456.9	98.5	778.4	98.5	778.4	92.7	733.7	-	44.7	6.1%					
Total	(14.7)	2,571.6	57.8	995.4	-	-	55.4	445.2	98.5	4,012.2	98.5	4,012.2	150.5	3,860.8	-	151.4	3.9%					
OTHER TAXES																						
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%				
Estate and Gift	126.3	714.6	-	-	-	-	-	-	-	126.3	-	714.6	70.6	809.9	-	(65.3)	-11.8%					
Part-Mutuel	1.0	11.7	-	-	-	-	-	-	1.0	11.7	1.0	11.7	1.1	11.7	-	-	0.0%					
Real Estate Transfer	-	-	-	-	-	-	11.9	71.5	-	91.7	-	776.3	97.0	786.0	-	(9.7)	-1.2%					
Racing and Exhibitions	0.4	2.0	-	-	-	-	-	-	0.4	2.0	0.4	2.0	0.7	2.2	-	(0.2)	-9.1%					
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	-	80.6	845.1	-	(845.1)	-100.0%					
Total	127.7	728.3	-	-	75.8	704.8	11.9	71.5	219.4	1,504.6	219.4	1,504.6	260.0	2,454.9	-	(950.3)	-38.7%					
Total Tax Receipts	\$ 1,801.5	\$ 22,575.4	\$ 216.9	\$ 2,368.6	\$ 1,723.8	\$ 19,566.3	\$ 115.3	\$ 949.6	\$ 3,857.5	\$ 45,459.9	\$ 3,857.5	\$ 45,459.9	\$ 4,167.2	\$ 44,611.6	\$	848.3	1.9%					

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)**

	2018					2019					8 Months Ended November 30		
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Beginning Fund Balance	\$ 12,749.0	\$ 14,013.5	\$ 8,996.4	\$ 11,166.0	\$ 11,703.0	\$ 10,667.6	\$ 11,334.4	\$ 11,181.1			\$ 12,749.0	\$ 11,104.7	\$ 1,644.3
RECEIPTS:													
Taxes:													
Personal Income Tax:													
Withholdings	2,930.1	3,135.1	2,921.9	2,920.2	3,129.3	2,886.4	3,149.9	2,887.5					1,137.3
Estimated Payments	1,034.0	1,042.9	1,034.0	1,034.0	1,034.0	1,034.0	1,034.0	1,034.0					1,137.3
State City Offsets	(279.9)	(38.8)	(38.8)	(38.8)	(38.8)	(38.8)	(38.8)	(38.8)					1,137.3
Other (Assessments/LLC)	132.5	92.1	108.9	108.1	84.9	75.8	104.3	108.9					1,137.3
Gross Receipts	8,778.2	3,347.9	5,133.7	3,162.8	3,307.7	5,423.7	3,487.8	2,955.5					1,137.3
Transfer to School Tax Relief Fund	-	-	-	-	-	-	-	-					-
Refunds Issued	(2,922.0)	(1,164.9)	(231.9)	(263.1)	(356.4)	(627.1)	(913.0)	(771.0)					-
Total Personal Income Tax	5,856.2	2,183.0	4,901.8	2,899.7	2,951.3	4,796.6	2,574.8	2,184.5					1,137.3
Consumption/Use Taxes:													
Sales and Use	1,112.9	1,126.5	1,592.7	1,161.0	1,171.2	1,517.1	1,152.2	1,167.7					9,598.6
Corporate Franchise	88.0	98.8	102.4	109.1	100.0	94.5	100.7	92.3					1,137.3
Cigarette/Tobacco Products	0.2	0.3	0.3	0.2	0.3	0.4	0.3	0.3					1,137.3
Medical Marijuana	38.9	43.9	46.5	46.7	46.1	45.8	44.7	45.8					1,137.3
Motor Fuel	7.5	24.0	30.6	30.1	17.6	25.3	19.7	23.2					1,137.3
Alcoholic Beverage	15.6	12.4	11.2	15.0	11.1	10.8	12.2	12.4					1,137.3
Highway Use	12.8	0.7	0.4	12.4	0.7	10.8	10.9	0.4					1,137.3
Metropolitan Commuter Trans. Taxicab Trip	1,277.4	1,306.5	1,794.0	1,374.6	1,347.2	1,727.5	1,339.9	1,351.1					1,137.3
Total Consumption/Use Taxes	455.1	(91.4)	729.8	157.3	58.8	785.4	89.3	(17.6)					1,137.3
Business Taxes:													
Corporation Franchise	48.2	5.3	325.6	7.8	63.9	287.8	34.4	16.0					1,137.3
Insurance	(32.6)	(6.8)	46.3	28.2	(11.9)	5.0	(1.6)	(3.4)					1,137.3
Bank	90.0	93.8	101.8	99.9	96.3	102.9	94.8	98.9					1,137.3
Petroleum Business	565.1	2.4	1,321.1	299.9	206.2	1,290.1	208.9	98.5					1,137.3
Total Business Taxes	565.1	2.4	1,321.1	299.9	206.2	1,290.1	208.9	98.5					1,137.3
Other Taxes:													
Real Property Gains	50.2	81.3	68.8	98.1	71.4	120.7	97.8	126.3					1,137.3
Estate and Gift	0.9	1.3	1.7	1.3	2.3	2.1	1.1	1.0					1,137.3
Pen-Mutual	87.0	91.8	101.4	98.0	122.2	95.2	88.0	91.7					1,137.3
Real Estate Transfer	0.5	0.2	0.1	-	0.3	0.4	0.4	0.4					1,137.3
Mortgage and Excessions	138.0	174.6	172.0	198.1	196.2	218.1	187.3	219.4					1,137.3
Miscellaneous Receipts	7,857.3	3,666.5	8,228.9	4,772.6	4,723.9	8,042.3	4,310.9	3,857.5					1,137.3
Total Taxes	7,857.3	3,666.5	8,228.9	4,772.6	4,723.9	8,042.3	4,310.9	3,857.5					1,137.3
Miscellaneous Receipts:													
Abandoned Property	1.2	1.3	0.9	1.1	0.3	11.7	46.3	251.4					65.5
Bottle Bill	0.9	0.3	33.7	3.2	-	37.8	0.1	-					4.1
Assessments:													
Business	103.3	64.3	79.2	98.8	56.0	59.7	89.1	52.0					127.9
Public Care	528.8	470.1	547.1	503.8	490.4	521.8	496.1	580.0					255.5
Public Utilities	1.8	0.9	0.6	-	0.6	49.4	(10.4)	(3.7)					(0.9)
Other	-	-	0.2	-	0.1	0.2	-	0.4					(0.9)
Fees, Licenses and Permits:													
Alcohol Beverage Control Licensing	5.7	6.5	7.4	6.5	5.4	5.2	6.5	4.3					1.0
Audit Fees	5.8	59.2	123.0	55.0	67.1	112.0	66.9	61.4					2.0
Business/Professional:	28.4	17.1	21.5	26.1	21.8	23.0	25.3	39.9					35.7
Civil	0.4	1.0	1.2	1.0	1.3	0.2	0.8	2.0					8.8
Criminal	140.9	144.5	132.2	117.3	141.5	109.2	127.9	116.5					1.5
Motor Vehicle	65.8	112.2	248.7	52.9	47.7	13.5	80.7	636.4					14.5
Fees, Penalties and Forfeitures	28.2	15.5	17.2	30.3	16.8	19.0	33.8	12.7					188.4
Casino	199.0	236.1	187.0	229.1	229.1	182.2	321.8	182.4					42.9
Lottery	75.1	68.4	67.7	67.7	92.9	75.9	90.5	629.1					1,680.0
Interest Earnings	28.5	23.0	23.9	21.2	25.3	27.7	26.9	30.9					649.2
Receipts from Public Authorities:													
Bond Proceeds	315.8	24.3	3.3	210.7	3.9	19.4	1,265.8	8.7					(333.5)
Cost Recovery Assessments	2.6	(2.6)	2.7	2.7	2.5	7.7	1.9	0.7					2.5
Interest on Bonds	1.8	1.8	2.0	1.8	1.8	1.8	1.8	1.8					1.8
Interest on Bonds	5.5	5.8	4.3	4.3	4.3	4.3	4.3	4.3					5.5
Interest on Bonds	21.0	20.0	24.2	31.9	40.6	26.7	23.0	23.4					(18.2)
Receipts from Municipalities	39.5	33.7	18.1	34.2	6.7	4.0	59.2	50.2					(15.6)
Rents	-	-	-	-	-	-	-	-					45.7
Revenues of State Departments:	-	-	-	-	-	-	-	-					22.9%

**STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)**

	8 Months Ended November 30												% Increase/Decrease
	2018	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	2019	
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
Administrative Recoveries	15.2	9.7	19.2	1.9	1.1	16.9	2.5	14.2	80.7	148.5	148.5	148.5	-45.7%
Commissions	0.4	0.5	0.5	0.3	1.3	0.4	0.6	0.6	4.8	3.4	3.4	3.4	35.3%
Commissions- Asset Conversion	-	-	-	1,000.0	-	-	-	-	1,000.0	-	-	-	100.0%
Gifts, Grants and Donations	1.5	0.3	4.9	1.4	37.1	57.7	0.7	2.7	106.3	22.6	22.6	22.6	370.4%
Indirect Cost Recoveries	1.0	9.2	2.6	9.9	17.8	9.4	6.1	7.0	63.0	86.8	86.8	86.8	-27.4%
Patient/Client Care Reimbursement	230.4	302.0	166.1	220.6	186.8	219.4	64.2	289.4	1,689.9	1,905.5	1,905.5	1,905.5	8.2%
Rentals	12.7	12.7	12.7	12.7	12.7	12.7	12.7	12.7	12.7	12.7	12.7	12.7	-35.5%
Student and Settlements	152.7	10.0	10.0	10.0	22.0	11.1	11.1	11.1	182.7	182.7	182.7	182.7	291.2%
Student Loans	4.9	7.7	10.5	15.2	6.5	2.4	11.3	59.3	84.7	136.3	136.3	136.3	-37.4%
All Other	46.0	50.5	39.5	43.8	36.1	60.5	49.1	42.4	367.7	354.4	354.4	354.4	3.8%
Sales	2.6	1.5	3.1	1.8	1.4	1.7	4.2	3.6	22.4	22.4	22.4	22.4	-11.2%
Tuition	37.8	48.5	83.8	47.6	220.8	359.0	167.8	92.0	1,058.3	1,044.2	1,044.2	1,044.2	1.4%
Total Miscellaneous Receipts	2,208.7	1,827.7	1,930.2	2,972.0	1,836.7	2,158.9	3,197.7	2,699.4	18,793.3	16,969.4	16,969.4	16,969.4	10.7%
Federal Receipts	3,616.0	4,915.4	5,451.5	4,088.1	6,476.5	6,347.7	4,740.4	4,978.0	40,613.6	37,599.4	37,599.4	37,599.4	8.0%
Total Receipts	13,682.0	10,408.6	15,610.6	11,727.7	13,059.1	16,548.9	12,249.0	11,534.9	-	-	-	-	5.7%
DISBURSEMENTS:													
Local Assistance Grants:													
Education	1,568.1	4,241.6	2,570.7	2,145.9	1,595.8	4,043.6	1,269.3	1,895.0	19,298.0	18,977.0	18,977.0	18,977.0	1.7%
Environment and Recreation	8.0	30.1	8.2	8.1	39.2	7.5	7.6	7.6	116.3	10.3	10.3	10.3	9.7%
General Government	39.7	140.7	629.0	129.2	96.7	192.2	148.0	173.9	1,549.4	1,248.6	1,248.6	1,248.6	24.1%
Public Health:													
Medicaid	4,373.7	5,802.5	5,088.2	4,086.3	6,502.7	5,436.1	5,304.9	5,208.7	41,793.1	38,480.2	38,480.2	38,480.2	8.6%
Other Public Health	757.5	896.0	969.2	916.5	638.7	1,153.9	818.3	722.3	6,812.4	6,460.7	6,460.7	6,460.7	5.4%
Public Safety	90.3	155.7	171.7	179.9	107.8	88.9	225.8	260.5	1,186.6	1,054.2	1,054.2	1,054.2	12.0%
Public Welfare	460.1	395.9	371.8	594.1	371.8	688.8	702.0	414.4	4,918.8	4,314.3	4,314.3	4,314.3	-27.5%
Support and Regulate Business	112.0	30.7	79.6	143.7	71.0	98.5	157.4	34.4	4,341.8	4,341.8	4,341.8	4,341.8	-4.4%
Transportation	293.3	488.0	722.3	379.2	469.4	531.1	382.3	590.7	3,804.3	3,804.3	3,804.3	3,804.3	-4.4%
Total Local Assistance Grants	7,700.7	12,122.2	10,480.7	8,562.9	10,791.0	12,191.3	8,955.6	9,277.5	80,151.9	75,567.8	75,567.8	75,567.8	6.1%
Departmental Operations:													
Personal Service	1,102.5	1,470.7	1,122.9	1,105.4	1,280.0	1,076.6	1,472.6	1,140.3	9,751.0	9,467.7	9,467.7	9,467.7	3.0%
Non-Personal Service	416.9	622.8	562.6	429.4	653.5	629.2	585.9	478.1	4,378.4	4,575.4	4,575.4	4,575.4	-4.3%
General State Charges	2,865.5	472.6	519.1	418.1	483.2	541.5	645.4	575.8	6,521.2	6,297.2	6,297.2	6,297.2	3.6%
Debt Service, Including Payments on	64.1	126.1	168.2	25.4	95.7	831.2	47.7	47.8	1,404.2	1,953.7	1,953.7	1,953.7	-15.6%
Financing Agreements	361.2	590.4	523.0	672.9	750.8	602.0	689.5	678.8	4,971.6	4,439.8	4,439.8	4,439.8	9.9%
Capital Projects													
Total Disbursements	12,510.9	15,404.8	13,364.5	11,234.1	14,044.2	15,871.8	12,435.7	12,198.3	107,084.3	102,011.6	102,011.6	102,011.6	5.0%
Excess (Deficiency) of Receipts over Disbursements	1,171.1	(4,996.2)	2,226.1	538.6	(885.1)	677.1	(186.7)	(863.4)	(2,217.9)	613.7	613.7	613.7	21.7%
OTHER FINANCING SOURCES (USES):													
Bond Proceeds (net)	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	4,144.2	2,598.8	4,759.8	2,863.5	2,597.0	4,223.7	1,685.5	2,524.7	25,358.3	20,619.5	20,619.5	20,619.5	21.8%
Transfers to Other Funds	(4,050.9)	(2,590.7)	(4,815.3)	(2,865.2)	(2,537.3)	(4,234.0)	(1,531.1)	(2,526.7)	(25,372.1)	(20,906.9)	(20,906.9)	(20,906.9)	21.4%
Total Other Financing Sources (Uses)	93.4	(21.9)	(56.5)	(1.6)	(50.3)	(10.3)	33.4	(2.0)	(15.8)	(87.4)	(87.4)	(87.4)	81.9%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,264.5	(5,017.1)	2,169.6	537.0	(1,035.4)	666.8	(153.3)	(865.4)	(2,233.3)	526.3	526.3	526.3	23.5%
Ending Fund Balance	\$ 14,013.5	\$ 8,996.4	\$ 11,166.0	\$ 11,703.0	\$ 10,667.6	\$ 11,334.4	\$ 11,181.1	\$ 10,515.7	\$ -	\$ -	\$ -	\$ -	28.5%

(*) Governmental Funds includes General, Special Revenue, Debt Service and Capital Projects Funds combined.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2018-2019
(Amounts in millions)

	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019 JANUARY	FEBRUARY	MARCH	2018 APRIL	2017	8 Months Ended November 30 Increase/ Decrease	% Increase/ Decrease
Beginning Fund Balance	\$ 13,006.6	\$ 15,387.2	\$ 10,770.4	\$ 12,337.4	\$ 13,256.6	\$ 12,323.7	\$ 12,653.3	\$ 13,074.1					\$ 13,006.6	\$ 11,025.3	\$ 1,981.3	17.0%
RECEIPTS:																
Taxes:																
Personal Income Tax:	2,930.1	3,135.1	2,821.9	2,920.2	3,128.3	2,668.4	3,148.8	2,867.5					23,618.3	22,481.0	1,137.3	5.1%
Withholdings	4,358.0	4,888.8	2,228.8	189.1	10.1	2,581.6	182.9	104.4					9,963.8	9,965.8	884.0	9.9%
Estimated Payments	1,000.0	59.0	10.0	10.0	10.0	10.0	10.0	10.0					1,000.0	1,000.0	0.0	0.0%
State/City Offsets	(278.9)	(38.8)	(25.2)	(10.8)	(22.5)	(43.5)	(42.6)	(157.6)					(723.4)	(723.4)	277.5	38.4%
Other (Assessments)/LLC	132.5	92.1	108.9	105.1	84.9	75.8	104.3	108.9					814.5	814.5	(27.9)	-3.3%
Gross Receipts	8,776.2	3,347.9	5,183.7	3,162.8	3,330.7	5,423.7	3,487.8	2,855.5					33,785.0	33,785.0	1,878.3	5.6%
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(2,922.0)	(1,184.9)	(231.9)	(283.1)	(356.4)	(627.1)	(913.0)	(771.0)					(6,534.7)	(6,534.7)	714.7	10.0%
Reimbursements	5,856.2	2,183.0	4,951.8	2,889.7	2,974.3	4,786.6	2,574.8	2,183.5					27,260.3	27,260.3	1,164.6	4.3%
Total Personal Income Tax																
Consumption/Use Taxes:																
Sales and Use	1,112.9	1,126.5	1,562.7	1,161.0	1,171.2	1,517.1	1,152.2	1,176.7					9,980.3	9,508.6	471.7	5.0%
Auto Rental	8.9	(0.1)	0.1	0.1	0.1	16.0	0.1	28.2					33.4	(5.2)	(38.6)	-15.6%
Alcoholic Beverage	88.0	110.4	110.4	108.1	108.1	98.5	100.3	92.3					822.1	(36.9)	(859.0)	-104.1%
Motor Fuel	7.9	9.2	9.3	10.0	9.6	9.7	9.3	9.6					75.1	73.5	1.6	2.2%
Motor Vehicle	7.5	24.0	30.6	30.1	17.6	25.3	18.7	23.2					177.0	175.6	1.4	0.8%
Highway Use	1.8	(2.2)	0.1	0.1	0.1	(3.6)	0.2	0.6					1.3	(3.4)	(4.7)	-361.5%
Metropolitan Commuter Trans. Taxicab Trip	12.8	0.4	0.4	12.4	0.7	10.4	10.9	0.4					38.7	41.2	(2.5)	-6.1%
Metropolitan Consumption/Use Taxes	1,233.9	1,237.2	1,717.2	1,322.9	1,289.5	1,658.8	1,282.4	1,363.1					11,085.1	10,657.1	428.0	4.0%
Business Taxes:																
Corporation Franchise	455.1	(81.4)	729.8	157.3	56.8	765.4	80.3	(17.6)					2,145.7	1,753.0	392.7	22.4%
Corporation and Utilities	23.3	2.1	115.4	6.5	0.9	128.9	0.6	4.5					331.5	(51.3)	(382.8)	-115.5%
Insurance	46.2	(5.3)	325.6	7.8	63.9	287.8	34.4	16.0					788.0	788.0	8.4	1.1%
Bank	(32.6)	45.3	28.2	28.2	(11.9)	5.0	(3.4)	23.0					23.0	(245.4)	(268.4)	-91.4%
Professional Business	45.3	45.3	45.3	45.3	45.3	45.3	45.3	45.3					32.2	32.2	0.0	0.0%
Total Business Taxes	517.5	(35.7)	1,261.1	243.5	132.0	1,230.0	153.4	43.1					3,567.0	3,447.1	119.9	3.5%
Other Taxes:																
Real Property Gains	-	-	-	-	-	-	-	-					-	-	-	0.0%
Estate and Gift	50.2	81.3	69.9	98.1	71.4	120.7	97.8	125.3					714.6	809.9	(95.3)	-11.8%
Real Estate Transfer	10.0	11.3	11.3	11.3	11.3	11.3	11.3	11.3					11.3	11.3	0.0	0.0%
Racing and Exhibitions	8.0	91.8	89.5	87.1	110.3	83.3	76.0	79.8					714.5	(6.7)	(721.2)	-101.6%
Metropolitan Commuter Trans. Mobility	9.5	0.2	0.1	0.1	0.3	0.1	0.4	0.4					2.0	(0.2)	(2.2)	-91.1%
Total Other Taxes	138.0	174.6	160.1	186.5	184.3	206.2	175.3	207.5					1,433.1	845.1	(588.0)	-41.0%
Total Taxes	7,745.3	3,579.1	8,090.4	4,652.7	4,610.1	7,892.6	4,197.9	3,742.2					44,510.3	43,747.9	762.4	1.7%
Miscellaneous Receipts:																
Abandoned Property	1.2	1.3	0.9	1.1	0.3	11.7	46.3	251.4					314.2	248.7	65.5	20.3%
Abandoned Property	0.9	0.3	10.7	3.2	-	37.8	0.1	-					53.0	48.9	4.1	8.4%
Bottle Bill	-	-	-	-	-	-	-	-					-	-	-	0.0%
Assessments:																
Medical Care	83.4	18.2	69.1	78.5	37.0	51.0	72.2	36.8					446.2	312.9	133.3	42.6%
Medical Care	528.8	470.1	547.4	503.8	490.4	521.8	488.1	580.0					4,137.4	3,881.9	255.5	6.6%
Public Utilities	1.8	-	0.6	0.6	0.6	49.4	(10.4)	(3.7)					38.3	39.2	(0.9)	-2.3%
Other	-	0.9	0.2	-	0.1	0.2	-	0.4					1.8	2.7	(0.9)	-33.3%
Fees, Licenses and Permits:																
Alcoholic Beverage Control Licensing	5.7	6.5	7.4	6.5	5.4	5.2	6.5	4.3					47.5	46.5	1.0	2.2%
Business/Professional	50.3	49.3	120.1	52.4	63.2	106.0	66.0	59.2					537.4	537.4	0.0	0.0%
Civil	28.4	17.1	21.5	26.1	21.8	23.0	25.3	38.9					569.5	574.4	(4.9)	-0.8%
Criminal	0.4	1.0	1.2	43.3	1.3	0.2	0.8	2.0					203.1	184.3	18.8	10.2%
Motor Vehicle	74.7	69.8	68.4	74.7	78.1	45.7	64.4	48.0					6.4	6.4	0.0	0.0%
Motor Vehicle Consumer	3.3	3.3	3.3	3.3	3.3	3.3	3.3	3.3					510.1	(26.7)	(536.8)	-105.2%
Fines, Penalties and Forfeitures	69.2	109.3	245.1	50.1	45.1	10.6	78.7	625.4					1,025.4	205.1	(820.3)	-80.1%
Gaming:																
Casino	28.0	15.5	17.2	30.3	16.8	19.0	33.8	12.7					173.5	130.6	42.9	32.8%
Lottery	199.0	236.1	167.0	162.7	229.1	182.2	321.8	166.0					1,660.0	60.3	(1,600.0)	-99.6%
Video Lottery	5.1	86.1	96.1	96.1	96.1	96.1	96.1	96.1					649.2	649.2	0.0	0.0%
Receipts from Public Authorities:																
Bond Proceeds	2.6	(2.6)	-	27.7	2.5	7.7	1.9	0.7					40.5	38.0	2.5	6.6%
Cost Recovery/Assessments	-	-	-	-	-	-	-	-					-	-	-	0.0%

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2018-2019
(Amounts in millions)

	8 Months Ended November 30												% Increase/ Decrease
	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	
ISSUANCES:													
Bonds	1,180.0	1,180.0	2,214.2	1,785.7	1,070.6	1,715.7	1,070.6	1,715.7	16,676.3	16,742.9	16,676.3	16,742.9	-0.4%
Capital Projects	0.4	0.4	0.4	0.2	0.3	0.1	0.3	0.1	2.3	3.9	2.3	3.9	-41.0%
General Government	11.9	40.6	562.8	18.2	48.7	120.6	16.7	25.6	845.1	840.6	845.1	840.6	0.5%
Public Health:													
Other Public Health	1,798.9	2,271.1	1,909.9	1,489.7	1,892.1	2,061.9	1,892.1	2,061.9	15,831.6	14,279.0	15,831.6	14,279.0	10.9%
Public Safety	25.1	47.7	187.8	38.4	51.2	265.3	265.3	265.3	2,184.0	2,117.2	2,184.0	2,117.2	3.2%
Public Welfare	81.3	132.7	133.6	211.3	264.1	195.5	210	195.5	224.2	189.5	224.2	189.5	18.3%
Support and Regulate Business	29.8	7.0	17.5	10.2	41.1	25.1	264.3	132.6	1,531.2	1,436.1	1,531.2	1,436.1	6.6%
Transportation	236.3	445.6	366.3	332.9	23.4	137.6	23.4	137.6	173.0	173.0	173.0	173.0	-20.5%
Transportation Assistance Grants	3,351.9	7,024.1	5,880.9	4,429.2	3,685.8	4,601.7	3,685.8	4,601.7	40,235.9	38,192.1	40,235.9	38,192.1	-5.2%
Departmental Operations:													
Personal Service	1,050.8	1,400.5	1,060.9	1,060.5	1,403.4	1,026.0	1,403.4	1,026.0	9,306.5	9,018.7	9,306.5	9,018.7	3.2%
Non-Personal Service	347.2	532.1	472.0	388.5	522.1	423.4	480.5	405.8	3,551.6	3,678.4	3,551.6	3,678.4	-3.4%
General State Charges	2,826.1	4,453.3	509.4	396.2	514.0	618.3	549.7	549.7	6,076.2	142.2	6,076.2	142.2	2.3%
Debt Service, including Payments on	64.1	126.1	166.2	25.4	47.7	47.8	47.7	47.8	1,404.2	1,683.7	1,404.2	1,683.7	-15.6%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	7,880.0	9,528.1	7,717.4	6,113.8	6,888.2	6,897.5	6,888.2	6,897.5	60,716.5	58,629.1	60,716.5	58,629.1	1.8%
EXCESS (DEFICIENCY) OF RECEIPTS OVER DISBURSEMENTS	1,650.4	(4,298.3)	2,175.9	1,135.2	(508.2)	(363.7)	(320.0)	(363.7)	(119.5)	(199.7)	(119.5)	(199.7)	94.0%
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds (*)	4,147.3	2,120.8	4,083.3	2,586.5	2,014.6	3,800.7	2,289.4	2,009.2	23,081.8	19,519.9	23,081.8	19,519.9	18.1%
Transfers to Other Funds (*)	(4,017.1)	(2,439.3)	(4,892.2)	(2,892.5)	(2,437.3)	(3,820.3)	(1,520.6)	(2,275.9)	(24,106.2)	(18,410.1)	(24,106.2)	(18,410.1)	24.2%
Total Other Financing Sources (Uses)	130.2	(318.5)	(608.9)	(216.0)	(422.7)	(119.6)	(287.7)	(287.7)	(1,044.4)	109.8	(1,044.4)	109.8	-1,051.2%
EXCESS (DEFICIENCY) OF RECEIPTS AND OTHER FINANCING SOURCES OVER DISBURSEMENTS AND OTHER FINANCING USES	1,780.6	(4,616.8)	1,567.0	919.2	(930.9)	(288.6)	(458.8)	(631.4)	(1,163.9)	(1,884.9)	(1,163.9)	(1,884.9)	38.2%
ENDING FUND BALANCE	\$ 15,387.2	\$ 10,770.4	\$ 12,337.4	\$ 13,256.6	\$ 12,325.7	\$ 12,615.3	\$ 13,074.1	\$ 12,442.7	\$ 12,442.7	\$ 9,743.4	\$ 12,442.7	\$ 9,743.4	27.7%

(*) State Operating Funds are comprised of the General Fund, State Special Revenue Funds supported by activities from dedicated revenue sources (including operating transfers from Federal funds) and Debt Service Funds.
(**) Eliminations between State and Federal Special Revenue Funds are not included.

EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	2018				2019				8 Months Ended November 30			
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	2018	2017	\$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	\$ 9,445.0	\$ 9,937.5	\$ 5,130.6	\$ 6,312.7	\$ 5,416.6	\$ 4,115.5	\$ 6,450.9	\$ 6,565.5	\$ 9,445.0	\$ 7,748.5	\$ 1,696.4	21.9%
RECEIPTS:												
Taxes:												
Personal Income Tax:												
Withholdings	2,930.1	3,135.1	2,821.9	2,920.2	3,128.3	2,665.4	3,148.8	2,867.5	23,618.3	22,481.0	1,137.3	5.1%
Estimated Payments	4,356.6	4,399.2	2,228.6	109.1	182.9	2,867.6	182.9	104.3	9,583.0	9,583.0	-	0.0%
State/City Offsets	1,835.6	1,835.6	59.2	10.2	59.2	43.3	43.3	43.3	2,463.3	2,463.3	-	0.0%
Other (Assessments/LLC)	(279.9)	(38.8)	(25.2)	(10.8)	(22.5)	(45.5)	(42.6)	(157.6)	(1,000.9)	(723.4)	277.5	38.4%
Gross Receipts	132.5	92.1	518.3	106.1	75.8	75.8	104.3	105.9	842.4	(27.9)	870.3	-3.3%
Transfers to School Tax Relief Fund	3,778.2	3,347.8	5,183.7	3,162.8	3,330.7	5,427.7	3,487.8	2,955.5	35,674.3	33,795.0	1,879.3	5.6%
Transfers to Revenue Bond Tax Fund	-	-	-	-	-	-	(0.5)	(7.0)	(7.5)	(74.2)	(66.7)	-89.9%
Refunds Issued	(2,928.1)	(1,091.5)	(2,475.9)	(1,449.9)	(1,487.1)	(2,398.3)	(1,287.4)	(1,094.2)	(14,212.4)	(6,815.1)	7,397.3	108.5%
Total Personal Income Tax	2,932.0	(1,164.9)	(231.9)	(263.1)	(355.4)	(627.1)	(913.0)	(771.0)	(7,249.4)	(6,554.7)	714.7	10.9%
Consumption Taxes:												
Sales and Use	2,928.1	1,091.5	2,475.9	1,449.9	1,487.2	2,398.3	1,287.4	1,094.2	14,212.4	20,371.0	(6,158.6)	-30.3%
Auto Rental	511.9	527.0	738.7	536.2	548.2	710.0	538.7	550.0	4,660.7	4,437.5	223.2	5.0%
Cigarette/Tobacco Products	24.4	29.5	29.5	31.4	29.4	30.1	30.5	28.0	232.8	238.8	(6.0)	-2.5%
Alcoholic Beverage	-	-	-	-	-	-	-	-	-	-	-	0.0%
Highway Use	7.5	24.0	30.6	30.1	17.6	25.3	18.7	23.2	177.0	175.6	1.4	0.8%
Metropolitan Commuter Trans. Taxicab Tip	-	-	-	-	-	-	-	-	-	-	-	0.0%
Metropolitan Consumption Use Taxes	543.8	586.5	788.3	587.7	595.2	765.4	587.9	601.2	5,070.5	4,851.0	219.5	4.5%
Business Taxes:												
Corporation Franchise	334.3	(107.0)	601.8	131.3	30.7	634.5	61.2	(23.0)	1,657.8	1,316.0	341.8	26.0%
Corporation and Utilities	(0.3)	1.3	90.1	5.2	7.7	100.4	(1.6)	2.9	205.7	258.9	(53.2)	-20.5%
Insurance	41.4	(7.2)	288.2	7.0	55.4	254.4	28.0	14.6	681.8	696.7	(14.9)	-2.1%
Bank	(29.9)	(6.7)	39.6	25.0	(10.2)	2.8	8.9	(3.2)	26.3	241.4	(215.1)	-89.1%
Petroleum Business	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Business Taxes	345.5	(115.6)	1,019.7	185.5	85.6	992.1	96.5	(14.7)	2,571.6	2,513.0	58.6	2.3%
Other Taxes:												
Real Property Gains	-	-	-	-	-	-	-	-	-	-	-	0.0%
Estate and Gift	50.2	81.3	68.8	98.1	71.4	120.7	97.8	126.3	714.6	809.9	(95.3)	-11.8%
Par-Mutuel	0.9	1.3	1.7	1.3	2.3	2.1	1.1	1.0	11.7	11.7	-	0.0%
Real Estate Transfer	-	-	-	-	-	-	-	-	-	-	-	0.0%
Racing and Exhibitions	0.5	0.2	0.1	-	0.3	0.1	0.4	0.4	2.0	2.2	(0.2)	-9.1%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Other Taxes	51.6	82.8	70.6	99.4	74.0	122.9	99.3	127.7	728.3	823.3	(95.0)	-11.8%
Total Taxes	3,889.0	1,855.2	4,385.0	2,315.4	2,240.0	4,278.7	2,870.6	1,891.5	22,575.4	26,559.7	(5,984.3)	-21.9%
Miscellaneous Receipts:												
Abandoned Property:												
Abandoned Property	0.5	0.1	0.2	0.3	0.2	18.0	45.1	250.4	306.8	241.4	65.4	27.1%
Real Estate	0.9	0.3	10.7	3.2	-	37.8	0.1	-	53.0	48.9	4.1	8.4%
Assessors:												
Business	-	-	-	-	-	-	-	-	-	-	-	0.0%
Medical Care	1.5	1.8	3.7	3.7	2.9	2.1	11.6	3.9	31.2	28.4	2.8	9.9%
Public Utilities	-	-	-	-	-	-	-	-	0.5	0.6	(0.1)	-16.7%
Other	-	0.1	0.1	-	0.1	0.1	-	0.1	-	-	-	0.0%
Fees, Licenses and Permits:												
Alcohol Beverage Control Licensing	5.7	6.5	7.4	6.5	5.4	5.2	6.5	4.3	47.5	46.5	1.0	2.2%
Adult Fees	13.2	9.8	32.6	12.1	15.9	35.5	11.3	15.1	145.5	109.8	35.7	32.5%
Business/Professional	23.8	12.5	16.7	21.5	17.0	17.8	21.4	34.5	185.2	154.5	10.6	6.9%
Civil	0.1	0.2	0.1	0.2	0.1	0.1	0.2	0.1	1.1	1.2	(0.1)	-8.3%
Criminal	29.8	24.8	13.2	1.8	35.5	3.3	23.2	10.0	141.6	166.9	(25.3)	-15.2%
Motor Vehicle	1.0	1.6	1.2	1.9	1.3	1.5	1.4	1.8	11.7	10.8	0.9	8.3%
Recreational/Consumer	14.2	95.4	239.3	36.3	38.1	6.1	66.2	610.0	1,105.6	886.6	219.0	24.7%
Fines, Penalties and Forfeitures	17.4	10.0	11.3	7.3	9.0	11.5	4.0	9.8	80.3	19.3	61.0	316.1%
Interest Earnings	-	-	-	-	-	-	-	-	-	-	-	0.0%
Receipts from Public Authorities:												
State and Local Assessments	-	-	-	7.3	-	5.2	6.9	0.7	20.1	17.6	2.5	14.2%
Insurance Fees	4.7	1.3	2.3	21.0	1.8	2.8	16.3	0.9	51.1	60.3	(9.2)	-15.3%
Non Bond Related	-	-	-	-	-	-	-	-	23.0	24.2	(1.2)	-5.0%
Receipts from Municipalities	16.7	16.7	16.6	16.7	16.7	16.6	16.7	16.7	133.4	133.4	-	0.0%
Rentals	0.2	0.1	0.9	0.3	1.5	0.1	0.8	1.0	4.9	2.9	2.0	69.0%
Revenues of State Departments:												
Administrative Recoveries	0.4	0.9	18.1	1.1	-	15.4	(0.4)	1.0	36.5	45.5	(9.0)	-19.8%
Commissions	-	-	-	-	-	-	-	-	0.2	0.2	-	-100.0%
Grants	-	0.1	-	-	-	-	-	-	0.1	0.1	-	0.0%
Indirect Cost Recoveries	1.0	9.2	2.6	9.9	17.8	9.4	6.1	7.0	63.0	86.8	(23.8)	-27.4%
Patent/Cient Care Reimbursement	(17.4)	6.2	4.7	(19.1)	1.9	(0.3)	(94.4)	81.9	(36.5)	-	(36.5)	-100.0%
Rebates	(0.6)	(0.8)	2.1	(0.9)	(1.6)	1.4	(0.4)	-	(0.7)	0.3	0.3	42.9%
Restitution and Settlements	104.7	3.8	0.3	0.8	0.1	0.1	0.3	0.7	110.7	9.8	100.9	1,029.6%
Student Loans	-	-	-	-	-	-	-	-	-	-	-	0.0%
All Other	2.5	4.8	(1.8)	9.2	1.6	0.4	13.9	(0.9)	29.7	18.5	11.2	60.5%
Sales	-	-	-	0.1	-	-	-	0.1	0.2	0.2	-	100.0%
Total Miscellaneous Receipts	220.3	205.4	382.3	141.2	165.2	182.1	157.2	1,072.1	2,525.8	2,113.3	412.5	19.5%

EXHIBIT F

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	2018												2019		8 Months Ended November 30		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2018	2017	\$ Increase/ (Decrease)		
Federal Receipts																	
Total Receipts	4,089.3	1,840.6	4,747.3	2,456.7	2,405.2	4,460.8	2,227.8	2,873.6	-	-	-	-	25,101.3	30,673.5	(5,572.2)	(0.1)	-50.0%
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	1,179.9	3,618.8	1,887.0	1,787.7	1,191.0	1,812.0	932.2	1,572.5	-	-	-	-	13,981.1	13,851.6	119.5	0.9%	0.9%
Environment and Recreation	0.4	-	0.4	0.2	0.2	0.2	0.3	0.3	-	-	-	-	1.8	2.5	(0.7)	-28.0%	-28.0%
General Government	1.4	13.1	560.2	3.7	33.9	113.5	11.5	8.2	-	-	-	-	745.5	728.0	17.5	2.4%	2.4%
Public Health:																	
Medicaid	1,515.6	1,730.4	1,542.6	1,135.2	1,587.8	1,709.4	1,268.0	1,617.6	-	-	-	-	12,106.6	10,503.6	1,603.0	15.3%	15.3%
Other Public Health	195.3	433.6	89.9	232.6	475.0	(128.1)	203.8	97.3	-	-	-	-	1,599.4	665.9	933.5	140.2%	140.2%
Public Safety	13.3	16.2	13.4	21.8	18.2	19.7	9.8	9.9	-	-	-	-	122.3	97.4	24.9	25.6%	25.6%
Public Welfare	90.6	151.2	133.2	210.6	210.8	368.8	263.7	133.0	-	-	-	-	1,353.9	1,451.9	(98.0)	-6.8%	-6.8%
Social Services	46.4	131.7	61.2	81.4	31.7	84.4	22.5	23.9	-	-	-	-	279.5	88.6	190.9	215.5%	215.5%
Transportation	3,035.8	6,015.5	4,297.4	3,448.0	3,580.0	3,908.8	2,711.8	3,465.3	-	-	-	-	30,457.6	27,509.6	2,948.0	10.7%	10.7%
Total Local Assistance Grants																	
Departmental Operations:																	
Personal Service	667.9	945.1	694.1	724.8	838.5	659.6	827.3	663.7	-	-	-	-	5,912.0	4,229.7	1,682.3	39.8%	39.8%
Non-Personal Service	163.7	282.5	220.5	182.3	228.3	209.8	219.3	187.6	-	-	-	-	1,694.0	1,398.2	295.8	21.2%	21.2%
General State Charges	2,706.6	365.1	470.5	318.6	245.1	435.0	542.2	409.4	-	-	-	-	5,486.5	4,453.0	1,033.5	22.4%	22.4%
Total Disbursements	6,574.0	7,515.2	5,672.5	4,673.7	4,891.9	5,205.2	4,300.6	4,717.0	-	-	-	-	43,550.1	37,620.5	5,929.6	15.8%	15.8%
Excess (Deficiency) of Receipts over Disbursements	(2,484.7)	(5,674.6)	(925.2)	(2,217.0)	(2,486.7)	(744.4)	(2,072.8)	(1,843.4)	-	-	-	-	(18,448.8)	(6,947.0)	(11,501.8)	-165.6%	-165.6%
OTHER FINANCING SOURCES (USES):																	
Transfers from Revenue Bond Tax Fund	2,927.8	1,070.3	2,486.7	1,438.1	1,056.3	2,647.5	1,287.4	926.0	-	-	-	-	13,840.1	6,201.7	7,638.4	123.2%	123.2%
Transfers from LGAC / STRBTF	436.0	404.8	696.6	478.9	445.3	675.5	430.8	450.6	-	-	-	-	4,018.5	3,938.3	80.2	2.0%	2.0%
Transfers from CW/CA Fund	73.8	92.2	87.5	82.2	105.5	78.3	71.1	74.9	-	-	-	-	665.5	673.3	(7.8)	-1.2%	-1.2%
Transfers from Other Funds	101.4	81.1	85.5	67.5	171.0	108.9	74.3	42.0	-	-	-	-	731.7	170.2	561.5	329.9%	329.9%
Transfers to State Capital Projects	45.6	(268.1)	(631.1)	(252.6)	(422.4)	(437.7)	587.0	(365.7)	-	-	-	-	(1,746.0)	(635.2)	1,110.8	174.9%	174.9%
Transfers to Federal Capital Projects	(100.0)	(300.0)	(186.5)	(80.0)	(200.0)	(15.5)	-	(150.0)	-	-	-	-	(933.0)	(809.7)	(123.3)	15.0%	15.0%
Transfers to Federal Capital Projects	(192.3)	(39.4)	(119.9)	(222.9)	100.5	62.6	(201.5)	6.6	-	-	-	-	(505.3)	(709.9)	(204.2)	-28.8%	-28.8%
Transfers to General Debt Service	(315.1)	(274.2)	(411.5)	(190.3)	(72.6)	(36.8)	(61.7)	(273.9)	-	-	-	-	(1,636.1)	(5,122.2)	(3,486.1)	-58.1%	-58.1%
Transfers to All Other State Funds																	
Total Other Financing Sources (Uses)	2,977.2	887.7	2,107.3	1,320.9	1,183.6	3,081.8	2,187.4	706.5	-	-	-	-	14,435.4	3,706.9	10,728.5	289.4%	289.4%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	492.5	(4,806.9)	1,182.1	(896.1)	(1,303.1)	2,337.4	114.6	(1,135.9)	-	-	-	-	(4,013.4)	(3,240.1)	(773.5)	-23.9%	-23.9%
Ending Fund Balance	\$ 9,937.5	\$ 5,136.6	\$ 6,312.7	\$ 5,416.6	\$ 4,113.5	\$ 6,450.9	\$ 6,565.5	\$ 5,431.6	\$ -	\$ -	\$ -	\$ -	\$ 5,431.6	\$ 4,508.5	\$ 923.1	20.5%	20.5%

EXHIBIT G

23

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019 JANUARY	FEBRUARY	MARCH	Intra-Fund Eliminations (*)	2018	2017	% Increased (Decrease)
Sales	2.5	1.5	2.3	1.5	1.1	1.4	4.1	3.1	17.5	8.9	17.5	8.9	-	17.5	8.9	96.5%
Tuition	37.8	49.5	83.8	47.6	220.8	395.0	167.8	92.0	1,093.3	1,044.2	1,093.3	1,044.2	-	1,044.2	1,044.2	1.4%
Total Miscellaneous Receipts	1,557.5	1,444.2	1,413.7	2,493.6	1,574.8	1,850.0	1,866.1	1,523.9	13,415.8	11,574.0	13,415.8	11,574.0	-	11,574.0	11,574.0	15.9%
Federal Receipts	3,957.3	4,860.9	5,310.1	3,772.6	6,168.2	6,096.4	4,860.7	4,771.0	-	-	-	-	-	36,186.1	36,186.1	8.0%
Total Receipts	5,453.2	6,309.2	7,159.9	6,426.4	7,968.8	8,386.0	6,823.3	6,511.8	-	-	-	-	-	50,881.6	50,881.6	7.6%
DISBURSEMENTS:																
Local Assistance Grants:																
Education	378.2	605.9	667.0	340.9	347.7	2,218.6	326.0	313.8	-	-	-	-	-	5,198.1	5,032.2	3.3%
Environment and Recreation	8.6	0.6	0.1	0.2	0.8	0.1	0.1	0.1	-	-	-	-	-	2.0	2.0	0.0%
Government	13.7	29.4	14.3	14.3	26.8	9.3	6.4	30.2	-	-	-	-	-	166.4	166.4	5.3%
Public Health:																
Medicaid	2,856.1	4,072.1	3,525.6	2,961.1	4,914.9	3,726.7	4,036.9	3,591.1	-	-	-	-	-	29,686.5	27,986.6	1.6%
Other Public Health	542.7	385.2	854.6	624.6	143.3	1,262.6	574.1	611.3	-	-	-	-	-	5,004.4	5,671.0	-11.8%
Public Safety	76.4	138.5	56.8	129.0	87.6	69.3	216.0	249.7	-	-	-	-	-	1,023.3	938.8	9.0%
Public Welfare	266.7	200.5	238.6	371.1	1,311.5	291.1	438.6	316.7	-	-	-	-	-	3,176.7	2,672.5	19.2%
Statewide Programs	10.1	10.1	10.1	10.1	10.1	10.1	10.1	10.1	-	-	-	-	-	46.6	47.2	2.5%
Statewide Regulatory Business	192.6	380.8	310.6	289.4	344.3	331.3	286.6	447.2	-	-	-	-	-	2,552.8	3,364.7	-23.8%
Transportation	4,326.5	5,814.2	5,677.6	4,734.7	6,972.2	7,916.4	5,866.1	5,537.1	-	-	-	-	-	46,348.3	45,351.3	2.2%
Total Local Assistance Grants																
Departmental Operations:																
Personal Service	434.6	524.6	439.8	380.6	421.5	417.0	845.3	476.6	-	-	-	-	-	3,839.0	5,238.0	-26.7%
Capital Projects	144.4	138.7	138.5	28.5	17.0	17.0	38.5	17.0	-	-	-	-	-	1,638.0	1,638.0	0.0%
General State Charges	155.9	104.5	48.6	49.3	235.1	105.5	103.2	175.4	-	-	-	-	-	1,634.2	1,634.2	-43.0%
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Total Disbursements	5,174.4	6,882.8	6,500.5	5,481.1	8,044.3	8,856.9	6,881.0	6,478.3	-	-	-	-	-	54,376.5	55,059.1	-3.0%
Excess (Deficiency) of Receipts over Disbursements	278.8	(342.8)	659.4	945.3	(74.5)	(487.9)	(538.7)	33.5	-	-	-	-	-	563.1	(5,071.0)	109.9%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	381.9	284.8	592.2	218.2	136.4	79.4	133.2	291.6	-	-	-	-	-	1,680.3	6,057.7	-72.3%
Transfers to Other Funds	7.7	(165.3)	(347.9)	(53.0)	(263.4)	(165.3)	(113.9)	(270.5)	-	-	-	-	-	(1,371.6)	(4,377.4)	-31.6%
Total Other Financing Sources (Uses)	389.6	121.5	244.3	165.2	(133.0)	(75.9)	9.3	21.1	-	-	-	-	-	748.1	4,685.9	-84.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	668.4	(221.3)	903.7	1,130.5	(207.5)	(563.8)	(519.4)	54.6	-	-	-	-	-	1,245.2	(385.1)	423.3%
Ending Fund Balance	\$ 4,970.5	\$ 4,749.2	\$ 5,652.9	\$ 6,783.4	\$ 6,575.9	\$ 6,012.1	\$ 5,492.7	\$ 5,547.3	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,547.3	\$ 3,887.1	42.7%

(*) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

EXHIBIT G

	2018		8 Months Ended November 30										% Increase/ Decrease	7.4%
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	2019					
									JANUARY	FEBRUARY	MARCH	2018		
\$ 4,008.5	\$ 5,103.0	\$ 5,119.6	\$ 5,600.1	\$ 7,063.3	\$ 7,024.5	\$ 5,830.7	\$ 5,849.9	\$ 4,008.5					\$ 3,732.3	\$ 276.2
Beginning Fund Balance														
RECEIPTS:														
Taxes:														
Personal Income Tax														
Consumption/Use Taxes:														
Sales and Use														
Auto Rental														
Cigarette/Tobacco Products														
Medical Marijuana														
Alcoholic Beverage														
Highway Use														
Metropolitan Commuter Trans. Taxicab Trip														
Total Consumption/Use Taxes														
Business Taxes														
Corporation Franchise														
Corporation and Utilities														
Bank														
Petroleum Business														
Total Business Taxes														
Other Taxes														
Metropolitan Commuter Trans. Mobility														
Total Other Taxes														
Total Taxes														
Miscellaneous Receipts:														
Abandoned Property:														
Abandoned Property														
Assessments:														
Business														
Public Utilities														
Other														
Fees, Licenses and Permits:														
Audit Fees														
Business/Professional														
Civil														
Criminal														
Motor Vehicle														
Recreational/Consumer														
Fines, Penalties and Forfeitures														
Gaming:														
Casino														
Lottery														
Video Lottery														
Interest Earnings														
Recreation/Amusement Authorities:														
Band Proceeds														
Cost Recovery Assessments														
Issuance Fees														
Non Bond Related														
Receipts from Municipalities														
Rentals														
Revenues of State Departments:														
Administrative Recoveries														
Commission: Asset Conversion														
Gifts, Grants and Donations														
Indirect Cost Recoveries														
Patient/Client Care Reimbursement														
Rebates														
Restoration and Settlements														
Student Loans														
All Other														

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

EXHIBIT G

	8 Months Ended November 30												% Increase/ Decrease		
	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	% Increase/ Decrease
Sales	2.5	1.4	2.3	1.6	1.1	1.4	4.1	3.0	17.4	8.5	104.7%				
Tuition	37.8	49.5	83.8	47.6	220.8	167.8	92.0	1,058.3	1,044.2	1.4%					
Total Miscellaneous Receipts	1,523.5	1,396.5	1,403.1	2,390.7	1,556.0	1,539.8	1,648.0	1,507.1	-	11,424.5	16.1%				
Federal Receipts	(2.6)	-	-	(0.1)	0.1	0.1	-	0.1	(2.4)	0.4	-700.0%				
Total Receipts	1,879.3	1,830.6	1,839.2	2,640.8	1,780.9	2,262.5	1,873.5	1,724.1	15,630.9	14,652.9	6.7%				
DISBURSEMENTS:															
Local Assistance Grants:															
Education	0.1	0.1	327.2	0.8	1.0	2,094.4	138.4	143.2	2,895.2	2,891.3	-0.1%				
Environment and Recreation	1.5	1.5	1.5	1.5	1.5	1.5	1.5	1.5	1.4	0.4	-6.3%				
General Government	10.5	27.5	2.6	14.5	14.8	7.1	5.2	17.4	98.6	112.6	-11.5%				
Public Health:															
Medicaid	280.3	540.7	457.3	333.5	712.3	342.5	614.1	444.3	3,725.0	3,774.4	(49.4)	-1.3%			
Other Public Health	62.8	38.1	97.9	185.8	37.4	61.6	61.5	59.5	584.6	1,451.3	(866.7)	-59.7%			
Public Safety	11.8	20.0	13.0	13.0	15.6	7.7	11.2	9.6	101.9	92.1	9.8	10.6%			
Public Welfare	0.5	1.2	0.4	0.3	0.5	0.2	0.6	0.6	4.3	4.2	0.1	2.4%			
Support and Regulate Business	0.1	0.1	8.0	3.0	0.3	0.7	0.9	21.3	43.1	42.9	0.2	0.5%			
Transportation	189.9	376.6	38.5	286.0	337.7	325.4	262.8	44.5	2,752.0	3,322.3	(570.3)	-20.0%			
Total Local Assistance Grants	556.0	1,005.6	1,211.5	815.2	1,129.1	2,329.7	1,094.7	1,136.1	9,778.2	11,882.5	(1,904.3)	-16.3%			
Departmental Operations:															
Personal Service	382.9	554.4	376.8	335.7	373.4	366.4	576.1	428.8	3,394.5	4,789.0	(1,394.5)	-29.1%			
Non-Personal Service	182.7	248.0	244.9	185.4	281.1	211.2	261.0	216.9	1,831.2	2,258.6	(427.4)	-18.9%			
General State Charges	119.5	77.2	38.9	77.6	114.3	79.0	76.1	149.3	731.9	1,593.2	(861.3)	-54.1%			
Capital Projects	-	-	-	-	-	-	-	-	-	-	-	0.0%			
Total Disbursements	1,241.1	1,885.2	1,872.1	1,413.9	1,897.9	3,488.3	2,007.9	1,931.4	15,735.8	20,323.3	(4,587.5)	-22.6%			
Excess (Deficiency) of Receipts over Disbursements	638.2	(254.6)	(32.9)	1,226.9	(117.0)	(1,223.8)	(134.4)	(207.3)	(104.9)	(5,670.4)	5,565.5	98.2%			
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	381.9	284.8	592.2	218.2	136.4	79.4	123.2	291.6	2,107.7	6,394.2	(4,286.5)	-47.0%			
Transfers to Other Funds	74.4	(13.6)	(78.6)	18.1	(86.2)	(48.4)	30.4	(25.2)	(102.3)	(339.8)	(237.5)	-69.9%			
Total Other Financing Sources (Uses)	456.3	271.2	513.4	236.3	78.2	30.0	153.6	266.4	2,005.4	6,054.4	(4,049.0)	-46.9%			
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	1,094.5	16.6	480.5	1,463.2	(38.8)	(1,193.8)	19.2	59.1	1,900.5	384.0	1,516.5	394.9%			
Ending Fund Balance	\$ 5,103.0	\$ 5,119.6	\$ 5,600.1	\$ 7,083.3	\$ 7,024.5	\$ 5,830.7	\$ 5,849.9	\$ 5,909.0	\$ -	\$ -	\$ -	\$ -	\$ 1,792.7	43.6%	

162

8 Months Ended November 30

27

EXHIBIT G

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	8 Months Ended November 30												% Increase/ Decrease
	2018	2017	2019 JANUARY	2019 FEBRUARY	2019 MARCH								
DISBURSEMENTS:													
Local Assistance Grants:													
Education	378.1	605.8	339.8	340.1	346.7								
Environment and Recreation	-	0.3	0.1	0.2	0.1								
General Government	3.2	1.9	11.7	0.4	11.2								
Public Health:													
Medicaid	2,577.8	3,531.4	3,068.3	2,627.6	4,202.6								
Other Public Health	479.9	347.1	756.7	458.8	1,111.9								
Public Safety	64.6	118.5	43.8	61.6	204.8								
Public Welfare	266.2	199.3	238.2	372.8	286.9								
Support and Regulate Business	-	0.1	2.0	0.5	0.8								
Transportation	2.7	4.2	5.5	3.4	6.6								
Total Local Assistance Grants	3,772.5	4,883.6	4,466.1	3,919.5	5,843.7								
Departmental Operations:													
Personal Service	51.7	70.2	62.0	44.9	48.1								
Non-Personal Service	69.7	90.7	90.6	60.9	131.4								
General State Charges	39.4	27.3	8.7	21.9	123.8								
Capital Projects	-	-	-	-	-								
Total Disbursements	3,933.3	4,996.8	4,628.4	4,047.2	6,146.4								
Excess (Deficiency) of Receipts over Disbursements	(359.4)	(88.2)	692.3	(261.6)	42.5								
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	-	-	-	-	-								
Transfers to Other Funds	(66.7)	(149.7)	(269.1)	(71.1)	(211.2)								
Total Other Financing Sources (Uses)	(66.7)	(149.7)	(269.1)	(71.1)	(211.2)								
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(426.1)	(237.9)	423.2	(332.7)	(168.7)								
Ending Fund Balance	\$ (132.5)	\$ (370.4)	\$ 52.8	\$ (279.9)	\$ (448.6)								
	\$	\$	\$	\$	\$								

EXHIBIT H

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	8 Months Ended November 30												% Increase/ (Decrease)	% Increase/ (Decrease)		
	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019 JANUARY	FEBRUARY	MARCH				
Beginning Fund Balance	\$ 153.1	\$ 346.7	\$ 520.2	\$ 424.6	\$ 776.7	\$ 1,187.7	\$ 333.7	\$ 658.7					\$ 144.4	2017 \$	7,397.3	108.5%
RECEIPTS:																
Taxes:																
Personal Income Tax	2,928.1	1,091.5	2,475.9	1,449.9	1,487.1	2,398.3	1,287.4	1,094.2					6,815.1			
Consumption/Use Taxes:													14,212.4			
Sales and Use	502.8	526.5	723.9	550.1	547.9	709.7	538.4	549.8					4,430.6		218.5	4.9%
Total Consumption/Use Taxes	502.8	526.5	723.9	550.1	547.9	709.7	538.4	549.8					4,430.6		218.5	4.9%
Other Taxes:																
Real Estate Transfer	87.0	91.8	89.5	87.1	110.3	83.3	76.0	79.8					714.5		(9.7)	-1.4%
Total Other Taxes	87.0	91.8	89.5	87.1	110.3	83.3	76.0	79.8					714.5		(9.7)	-1.4%
Total Taxes	3,517.9	1,708.8	3,289.3	2,087.1	2,145.3	3,191.3	1,901.8	1,723.8					11,960.2		7,606.1	83.6%
Miscellaneous Receipts:																
Assessments:																
Medical Care	-	-	-	-	-	-	-	-					-		-	0.0%
Fees, Licenses and Permits:													-		-	0.0%
Alcohol Beverage Control Licensing	-	-	-	-	-	-	-	-					-		-	0.0%
Business/Professional	-	-	-	-	-	-	-	-					-		-	0.0%
Civil	-	-	-	-	-	-	-	-					-		-	0.0%
Criminal	-	-	-	-	-	-	-	-					-		-	0.0%
Motor Vehicle	-	-	-	-	-	-	-	-					-		-	0.0%
Recreational/Consumer	-	-	-	-	-	-	-	-					-		-	0.0%
Interest Earnings	0.1	-	-	-	0.6	0.2	-	0.2					1.1		0.5	83.3%
Receipts from Municipalities	-	0.4	0.1	0.8	-	-	1.2	0.3					2.8		0.4	16.7%
Rentals	-	-	-	-	-	-	-	-					-		-	0.0%
Revenues of State Departments:	43.8	48.3	17.4	62.0	22.8	19.5	32.1	11.8					311.0		(63.3)	-17.1%
Patient/Client Care Reimbursement	-	0.1	-	-	-	-	-	-					0.1		0.1	100.0%
All Other	-	-	-	-	0.1	-	-	-					0.1		-	0.0%
Sales	43.9	48.8	17.5	62.8	23.5	19.7	33.3	12.3					261.8		(62.3)	-16.7%
Total Miscellaneous Receipts																
Federal Receipts	-	-	-	1.6	35.1	-	-	-					36.7		-	0.0%
Total Receipts	3,561.8	1,758.6	3,306.8	2,151.5	2,203.9	3,211.0	1,935.1	1,736.1					12,311.0		7,553.8	61.4%
DISBURSEMENTS:																
Departmental Operations:																
Non-Personal Service	0.8	1.6	6.6	0.8	12.7	2.4	0.2	1.3					21.6		4.8	22.2%
Debt Service, Including Payments On																
Financing Agreements	64.1	126.1	166.2	25.4	96.7	831.2	47.7	47.8					1,663.7		(259.5)	-15.6%
Total Disbursements	64.9	127.7	172.8	26.2	108.4	833.6	47.9	49.1					1,695.3		(254.7)	-15.1%
Excess (Deficiency) of Receipts over Disbursements	3,496.9	1,630.9	3,134.0	2,125.3	2,095.5	2,377.4	1,887.2	1,687.0					10,625.7		7,808.5	73.5%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	226.4	187.6	134.8	301.6	100.1	211.1	312.6	224.1					1,698.3		(443.9)	-20.7%
Transfers to Other Funds	(3,529.7)	(1,645.0)	(3,364.4)	(2,074.8)	(1,784.6)	(3,442.5)	(1,874.8)	(1,467.7)					(11,793.7)		7,369.8	62.7%
Total Other Financing Sources (Uses)	(3,303.3)	(1,457.4)	(3,229.6)	(1,773.2)	(1,684.5)	(3,231.4)	(1,562.2)	(1,243.6)					(9,651.5)		(7,833.7)	-91.2%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	193.6	173.5	(95.6)	352.1	411.0	(854.0)	325.0	443.4					974.2		(25.2)	-2.6%
Ending Fund Balance	\$ 346.7	\$ 520.2	\$ 424.6	\$ 776.7	\$ 1,187.7	\$ 333.7	\$ 658.7	\$ 1,102.1	\$ -	\$ -	\$ -	\$ -	\$ 1,118.6		\$ (16.5)	-1.5%

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

Beginning Fund Balance	2018		JUNE		JULY		AUGUST		SEPTEMBER		OCTOBER		NOVEMBER		DECEMBER		JANUARY		FEBRUARY		MARCH		8 Months Ended November 30		% Increase/ Decrease
	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	2018	2017	
	\$ (1,151.2)	\$ (1,241.2)	\$ (1,403.6)	\$ (1,242.2)	\$ (1,233.7)	\$ (1,200.5)	\$ (1,462.3)	\$ (1,335.8)					\$ (1,151.2)	\$ (1,060.5)	\$ (1,151.2)	\$ (1,060.5)	\$ (1,151.2)	\$ (1,060.5)	\$ (1,151.2)	\$ (1,060.5)	\$ (1,151.2)	\$ (1,060.5)	\$ (1,151.2)	\$ (1,060.5)	-3.6%
RECEIPTS:																									
Taxes:																									
Consumption/Use Taxes:																									
Auto Rental	0.6	-	18.7	0.1	0.1	27.2	0.1	-	-	-	-	-	46.8	57.6	-	-	-	-	-	-	-	-	-	-	-
Motor Fuel	31.0	34.7	36.7	36.7	36.5	36.1	35.4	36.2	-	-	-	-	283.3	272.1	-	-	-	-	-	-	-	-	-	-	-18.8%
Highway Use	12.8	14.6	11.2	14.9	11.1	14.4	12.0	11.8	-	-	-	-	102.8	48.8	-	-	-	-	-	-	-	-	-	-	-
Total Consumption/Use Taxes	44.4	48.3	66.6	51.7	47.7	77.7	47.5	48.0	-	-	-	-	432.9	378.5	-	-	-	-	-	-	-	-	-	-	-
Business Taxes:																									
Corporate Franchise	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Corporation and Utilities	3.1	-	2.2	0.2	0.2	2.1	0.4	0.1	-	-	-	-	8.3	6.0	-	-	-	-	-	-	-	-	-	-	-
Petroleum Business	64.5	38.1	57.8	56.1	54.0	58.0	53.1	55.3	-	-	-	-	436.9	407.7	-	-	-	-	-	-	-	-	-	-	-
Total Business Taxes	67.6	38.1	60.0	56.3	54.2	60.1	53.5	55.4	-	-	-	-	445.2	413.7	-	-	-	-	-	-	-	-	-	-	-
Other Taxes:																									
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	12.0	11.9	-	-	-	-	71.5	71.5	-	-	-	-	-	-	-	-	-	-	-
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	12.0	11.9	-	-	-	-	71.5	71.5	-	-	-	-	-	-	-	-	-	-	-
Total Taxes	112.0	87.4	138.5	119.9	113.8	148.7	113.0	115.3	-	-	-	-	949.6	883.7	-	-	-	-	-	-	-	-	-	-	-
Miscellaneous Receipts:																									
Abandoned Property:																									
Bottle Bill	-	-	23.0	-	-	-	-	-	-	-	-	-	23.0	23.0	-	-	-	-	-	-	-	-	-	-	-
Assessments:																									
Business	15.7	9.1	8.9	8.8	8.3	8.7	7.9	8.8	-	-	-	-	76.2	84.6	-	-	-	-	-	-	-	-	-	-	-
Fees, Licenses and Permits:																									
Business/Professional	3.5	9.9	2.9	2.6	3.9	3.0	0.9	2.2	-	-	-	-	28.9	25.3	-	-	-	-	-	-	-	-	-	-	-
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Motor Vehicle	66.2	74.7	73.8	74.0	63.4	63.5	63.5	67.5	-	-	-	-	546.6	595.4	-	-	-	-	-	-	-	-	-	-	-
Recreational/Consumer	0.1	0.2	0.2	0.2	0.9	0.9	0.9	0.9	-	-	-	-	24.1	24.1	-	-	-	-	-	-	-	-	-	-	-
Fines, Penalties and Forfeitures	2.4	2.4	2.4	2.2	2.2	2.4	1.3	0.5	-	-	-	-	16.1	18.1	-	-	-	-	-	-	-	-	-	-	-
Interest Earnings	0.7	0.9	0.8	0.9	0.9	1.0	0.8	1.0	-	-	-	-	7.0	4.1	-	-	-	-	-	-	-	-	-	-	-
Receipts from Public Authorities:																									
Bond Proceeds	315.8	24.3	3.3	210.7	3.9	19.4	1,262.8	8.7	-	-	-	-	1,848.9	2,182.4	-	-	-	-	-	-	-	-	-	-	-
Insurance Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Non Bond Related	0.5	0.5	0.4	0.6	-	0.2	1.3	0.8	-	-	-	-	4.3	42.9	-	-	-	-	-	-	-	-	-	-	-
Receipts from Municipalities	0.2	-	-	0.1	0.1	0.1	0.2	0.1	-	-	-	-	0.8	1.2	-	-	-	-	-	-	-	-	-	-	-
Rentals	0.6	1.0	0.8	0.5	2.7	0.7	0.5	0.3	-	-	-	-	7.1	7.4	-	-	-	-	-	-	-	-	-	-	-
Revenues of State Departments:																									
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Donations	-	(0.6)	0.2	0.5	0.2	0.2	0.4	0.1	-	-	-	-	1.0	14.0	-	-	-	-	-	-	-	-	-	-	-
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Rebates	-	0.1	-	-	-	0.2	-	-	-	-	-	-	0.3	0.2	-	-	-	-	-	-	-	-	-	-	-
Restitution and Settlements	0.1	4.9	0.3	0.1	0.3	0.5	0.3	0.2	-	-	-	-	6.7	3.8	-	-	-	-	-	-	-	-	-	-	-
All Other	1.1	1.9	(1.6)	3.2	0.5	6.9	1.1	0.5	-	-	-	-	13.6	16.1	-	-	-	-	-	-	-	-	-	-	-
Sales	0.1	-	0.8	0.2	0.2	0.3	0.1	0.4	-	-	-	-	2.1	13.4	-	-	-	-	-	-	-	-	-	-	-
Total Miscellaneous Receipts	407.0	728.3	116.7	304.4	93.2	107.1	1,341.1	91.1	-	-	-	-	2,589.9	2,967.7	-	-	-	-	-	-	-	-	-	-	-
Federal Receipts	58.7	54.5	141.4	313.8	273.2	251.3	179.7	207.0	-	-	-	-	1,479.6	1,376.4	-	-	-	-	-	-	-	-	-	-	-
Total Receipts	577.7	271.2	398.6	738.1	480.2	508.1	1,633.8	413.4	-	-	-	-	5,019.1	5,207.8	-	-	-	-	-	-	-	-	-	-	-

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer/ Eliminations (*)	8 Months Ended November 30			% Increase/ Decrease
														2018	2017	\$ Increase/ (Decrease)	
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	8.0	16.9	16.7	17.3	27.1	13.0	11.1	8.7					-	118.8	83.2	35.6	42.8%
Environment and Recreation	7.6	29.5	7.7	7.7	38.2	7.2	7.2	7.4					-	112.5	101.5	11.0	10.8%
General Government	24.6	96.2	54.5	110.6	36.8	69.2	130.1	135.5					-	659.5	384.2	275.3	71.5%
Public Health:																	
Medicaid	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Other Public Health	19.5	17.2	24.7	59.3	14.4	19.4	40.4	13.7					-	208.6	123.8	84.8	68.5%
Public Safety	0.6	1.0	1.5	29.1	2.0	(0.1)	-	0.9					-	35.0	18.0	17.0	94.4%
Public Welfare	112.6	63.9	-	-	-	28.8	-	9.9					-	215.2	210.2	5.0	2.4%
Support and Regulate Business	109.2	39.5	60.1	133.7	27.9	133.2	133.2	89.4					-	533.9	525.5	8.4	1.6%
Transportation	10.2	25.5	35.0	199.2	97.9	199.2	55.7	86.4					-	93.8	52.5	41.3	78.6%
Total Local Assistance Grants	336.4	285.5	516.7	400.2	238.3	374.1	417.7	275.1	-	-	-	-	-	2,847.5	2,208.9	640.6	28.1%
Departmental Operations:																	
Personal Service	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
General State Charges	361.2	-	523.0	672.9	760.8	602.0	688.5	678.8					-	4,877.6	4,439.8	437.8	9.9%
Capital Projects	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Total Disbursements	697.6	879.9	1,038.7	1,073.1	999.6	976.1	1,106.2	953.9	-	-	-	-	-	7,725.1	6,646.7	1,078.4	16.2%
Excess (Deficiency) of Receipts over Disbursements	(119.9)	(608.7)	(842.1)	(335.0)	(519.4)	(468.0)	527.6	(540.5)	-	-	-	-	-	(2,706.0)	(1,438.9)	(1,267.1)	-88.1%
OTHER FINANCING SOURCES (USES):																	
Bond Proceeds (net)	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Transfers from Other Funds	55.7	473.6	847.7	314.2	626.6	458.7	(400.0)	529.6					-	2,721.9	1,636.1	1,085.8	69.4%
Transfers to Other Funds	(25.8)	(27.3)	(26.2)	(28.7)	(43.0)	(243.5)	(201.1)	(18.6)					184.2	(430.0)	(464.8)	(34.8)	-7.5%
Total Other Financing Sources (Uses)	29.9	446.3	821.5	285.5	583.6	215.2	(601.1)	511.0	-	-	-	-	-	2,291.9	1,171.3	1,120.6	95.7%
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(90.0)	(162.4)	179.4	(49.5)	64.2	(252.8)	(73.5)	(26.5)	-	-	-	-	-	(414.1)	(267.6)	(146.5)	-54.7%
Ending Fund Balance	\$ (1,241.2)	\$ (1,403.6)	\$ (1,224.2)	\$ (1,273.7)	\$ (1,209.5)	\$ (1,482.3)	\$ (1,535.8)	\$ (1,565.3)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (1,585.3)	\$ (1,328.1)	\$ (237.2)	-17.9%

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

EXHIBIT I

	8 Months Ended November 30												% Increase/ Decrease	
	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009	2008	2007		
Beginning Fund Balance	\$ (568.4)	\$ (490.9)	\$ (688.4)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (490.9)	\$ (77.5)	-15.8%
RECEIPTS:														
Taxes:														
Consumption/Use Taxes														
Auto Rental	0.6													
Motor Fuel	31.0		18.7	0.1	0.1	27.2	0.1	-						(10.8)
Highway Use	12.8		36.7	36.7	36.5	36.1	35.4	36.2						11.2
Total Consumption/Use Taxes	44.4		66.6	51.7	47.7	77.7	47.5	48.0						54.4
Business Taxes														14.4%
Corporation Franchise	-		-	-	-	-	-	-						-
Corporation and Utilities	3.1		2.2	0.2	0.2	2.1	0.4	0.1						2.3
Petroleum Business	64.5		57.8	56.1	54.0	58.0	53.1	55.3						29.2
Total Business Taxes	67.6		38.1	60.1	54.2	60.1	53.5	55.4						31.5
Other Taxes														7.6%
Real Estate Transfer	-		11.9	11.9	11.9	11.9	12.0	11.9						-
Total Other Taxes	-		11.9	11.9	11.9	11.9	12.0	11.9						-
Total Taxes	112.0		138.5	119.9	113.8	149.7	113.0	115.3						71.5
Miscellaneous Receipts:														
Abandoned Property:														71.5
Bottle Bill	-		23.0	-	-	-	-	-						-
Assessments:														-
Business	15.7		8.9	8.8	8.3	8.7	7.9	8.8						23.0
Fees, Licenses and Permits:														84.6
Business/Professional	3.5		2.9	2.6	3.9	3.0	0.9	2.2						76.2
Civil	-		-	-	-	-	-	-						28.9
Motor Vehicle	66.2		74.7	73.8	63.4	63.5	63.5	67.5						25.3
Recreational/Consumer	0.1		0.2	0.2	6.9	-	-	-						505.4
Fines, Penalties and Forfeitures	2.4		2.4	2.2	1.9	2.4	1.3	0.5						41.2
Interest Earnings	0.7		0.9	0.8	0.9	1.0	0.8	1.0						24.1
Receipts from Public Authorities:														16.0
Bond Proceeds	315.8		24.3	3.3	210.7	3.9	19.4	1,262.8	8.7					7.0
Insurance Fees	-		-	-	-	-	-	-						4.1
Non Bond Related	0.5		0.5	0.4	0.6	-	0.2	1.3	0.8					1,848.9
Receipts from Municipalities	0.2		-	-	0.1	0.1	0.1	0.2	0.1					2.182.4
Rentals	0.5		1.0	0.7	0.5	2.5	0.7	0.5	0.3					4.3
Revenues of State Departments:														0.8
Administrative Recoveries	-		-	-	-	-	-	-	-					6.7
Gifts, Grants and Donations	-		(0.6)	0.2	0.5	0.2	0.4	0.1	-					1.0
Indirect Cost Recoveries	-		-	-	-	-	-	-	-					14.0
Rebates	-		-	-	-	0.2	-	-	-					-
Restitution and Settlements	0.1		4.9	0.3	0.1	0.5	0.3	0.2	-					0.3
All Other	1.1		1.9	(1.6)	3.2	0.5	6.9	1.1	0.5					0.2
Sales	0.1		-	-	-	0.2	0.2	0.4	-					2.0
Total Miscellaneous Receipts	406.9		129.3	304.4	93.0	107.0	1,341.1	91.1	-					2,569.4
Federal Receipts	-		-	-	-	2.5	-	-	-					2.5
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9		216.7	424.3	206.8	259.2	1,454.1	206.4	-					3,832.2
Total Receipts	518.9													

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

EXHIBIT I

	8 Months Ended November 30												% Increase/ Decrease
	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	
DISBURSEMENTS:													
Local Assistance Grants:													
Education	8.0	16.9	16.7	17.3	27.1	13.0	11.1	8.7					
Environment and Recreation	7.6	29.5	7.7	38.2	29.5	7.7	7.2	7.4					
General Government	24.6	98.2	54.5	110.6	36.8	69.2	130.1	135.5					
Public Health:													
Medicaid	-	-	-	-	-	-	-	-					
Other Public Health	19.5	17.2	24.7	56.5	14.4	19.4	40.4	13.7					
Public Safety	0.6	1.0	1.5	11.6	1.9	(0.1)	-	1.0					
Public Welfare	112.6	63.9	-	-	-	28.8	-	9.9					
Support and Regulate Business	109.2	23.6	60.1	133.3	27.9	37.2	133.2	9.4					
Transportation	2.9	323.6	25.5	51.5	162.6	70.0	50.2						
Total Local Assistance Grants	285.0	752.8	488.8	382.5	197.8	337.3	392.0	235.8					
Departmental Operations:													
Personal Service	-	-	-	-	-	-	-	-					
Non-Personal Service	-	-	-	-	-	-	-	-					
General State Charges	-	-	-	-	-	-	-	-					
Capital Projects	304.9	502.8	417.7	563.4	616.3	468.6	523.3	556.5					
Total Disbursements	589.9	755.6	906.5	925.9	814.1	805.9	916.3	792.3					
Excess (Deficiency) of Receipts over Disbursements	(71.0)	(538.9)	(651.4)	(501.6)	(607.3)	(546.7)	(538.8)	(585.9)					
OTHER FINANCING SOURCES (USES):													
Bond Proceeds (net)	-	-	-	-	-	-	-	-					
Transfers from Other Funds	55.7	473.6	847.7	314.2	626.6	458.7	(400.0)	529.6					
Transfers to Other Funds	(25.9)	(27.3)	(26.2)	(28.7)	(42.9)	(243.5)	(18.9)	(18.6)					
Total Other Financing Sources (Uses)	29.9	446.3	821.5	285.5	583.7	215.2	(416.9)	511.0					
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(41.1)	(92.6)	170.1	(216.1)	(23.6)	(331.5)	121.9	(74.9)					
Ending Fund Balance	\$ (609.5)	\$ (702.1)	\$ (532.0)	\$ (748.1)	\$ (771.7)	\$ (1,103.2)	\$ (881.3)	\$ (1,066.2)	\$ -	\$ -	\$ -	\$ -	
									\$ (1,066.2)	\$ (821.1)	\$ (436.2)	\$ (57.6)	\$ (135.1)
													\$ (14.7%)

**STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019**
(Amounts in millions)

EXHIBIT I

	8 Months Ended November 30												% Increase/ Decrease			
	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019 JANUARY	FEBRUARY	MARCH				
Beginning Fund Balance	\$ (582.8)	\$ (631.7)	\$ (701.5)	\$ (692.2)	\$ (525.6)	\$ (437.8)	\$ (359.1)	\$ (554.5)						\$ (569.6)	\$ (582.8)	\$ (682.8)
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Assessments:																
Business	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fees, Licenses and Permits:																
Business/Professional	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Civil	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Motor Vehicle	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Recreational/Consumer	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fines, Penalties and Forfeitures	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Interest Earnings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Receipts from Public Authorities:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Refunds from Public Authorities:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Bond Proceeds	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Interest Fees	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Non Bond Related	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Receipts from Municipalities	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Rentals	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Revenues of State Departments:	0.1	-	0.1	-	0.2	-	-	-	-	-	-	-	-	-	0.4	0.4
Administrative Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Gifts, Grants and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Indirect Cost Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Restitution and Settlements	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
All Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Sales	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Miscellaneous Receipts	0.1	-	0.1	-	0.2	0.1	-	-	-	-	-	-	-	-	0.1	0.1
Federal Receipts	58.7	54.5	141.4	313.8	273.2	248.8	179.7	207.0						1.7	1,477.1	1,477.1
Total Receipts	58.8	54.5	141.5	313.8	273.4	248.9	179.7	207.0						1,376.6	1,477.6	1,477.6
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Environment and Recreation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
General Government	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Public Health:																
Medicaid	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other Public Health	-	-	-	2.8	-	-	-	-	-	-	-	-	-	-	-	-
Public Safety	-	-	-	17.5	0.1	-	-	(0.1)	-	-	-	-	-	-	-	-
Public Welfare	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Support and Regulate Business	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	51.4	36.7	26.9	17.4	40.9	36.8	25.7	39.4						302.3	275.2	275.2
Total Local Assistance Grants	51.4	36.7	26.9	17.4	41.0	36.8	25.7	39.3						310.5	295.5	295.5
Departmental Operations:																
Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Non-Personal Service	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
General State Charges	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Capital Projects	56.3	87.6	105.3	109.5	144.5	133.4	165.2	122.3						897.8	924.1	924.1
Total Disbursements	107.7	124.3	132.2	147.2	185.5	170.2	190.9	161.6						1,208.3	1,219.6	1,219.6
Excess (Deficiency) of Receipts over Disbursements	(48.9)	(69.8)	9.3	166.6	87.9	78.7	(11.2)	45.4						167.3	256.0	256.0
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	(0.1)	-	(184.2)	-	-	-	-	-	-	-	(4.7)	-
Transfers to Other Funds	-	-	-	-	-	-	-	-	-	-	-	-	-	(4.7)	(184.3)	(184.3)
Total Other Financing Sources (Uses)	-	-	-	-	(0.1)	-	(184.2)	-	-	-	-	-	-	(4.7)	(179.6)	(179.6)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(48.9)	(69.8)	9.3	166.6	87.8	78.7	(195.4)	45.4						162.6	73.7	73.7
Ending Fund Balance	\$ (631.7)	\$ (701.5)	\$ (692.2)	\$ (525.6)	\$ (437.8)	\$ (359.1)	\$ (554.5)	\$ (509.1)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ (407.0)	\$ (509.1)	\$ (609.1)

EXHIBIT J

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	8 Months Ended November 30													% Increase/ Decrease		
	\$ Increase/ (Decrease)															
	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH				
Beginning Fund Balance	\$ 24.6	\$ 25.7	\$ 26.4	\$ 26.3	\$ 26.9	\$ 26.3	\$ 29.0	\$ 26.1					\$ 23.6	\$ 24.6	\$ 1.0	4.2%
RECEIPTS:																
Miscellaneous Receipts	3.9	6.0	4.4	4.4	6.9	7.6	5.5	4.5					41.7	43.2	1.5	3.6%
Federal Receipts	1.0	1.2	0.9	1.1	1.0	0.9	1.1	1.0					11.3	8.2	(3.1)	-27.4%
Unemployment Taxes	191.1	148.1	135.0	182.1	161.2	132.0	148.7	141.4					1,361.9	1,239.6	(122.3)	-9.0%
Total Receipts	196.0	155.3	140.3	187.6	169.1	140.5	155.3	146.9					1,414.9	1,291.0	(123.9)	-8.8%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.4	0.6	0.4	0.4	0.3	0.2	2.4	0.3					4.5	5.0	0.5	11.1%
Non-Personal Service	2.4	4.5	4.1	3.1	7.4	4.6	5.8	5.1					35.2	37.0	1.8	5.1%
General State Charges	-	0.1	0.1	0.1	0.3	-	-	0.1					0.8	0.7	(0.1)	-12.5%
Unemployment Benefits	192.1	149.4	135.8	183.4	161.7	133.0	150.0	142.3					1,373.6	1,247.7	(125.9)	-9.2%
Total Disbursements	194.9	154.6	140.4	187.0	169.7	137.8	158.2	147.8					1,414.1	1,290.4	(123.7)	-8.7%
Excess (Deficiency) of Receipts over Disbursements	1.1	0.7	(0.1)	0.6	(0.6)	2.7	(2.9)	(0.9)					0.8	0.6	(0.2)	-25.0%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Other Funds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-					-	-	-	0.0%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	1.1	0.7	(0.1)	0.6	(0.6)	2.7	(2.9)	(0.9)					0.8	0.6	(0.2)	-25.0%
Ending Fund Balance	\$ 25.7	\$ 26.4	\$ 26.3	\$ 26.9	\$ 26.3	\$ 29.0	\$ 26.1	\$ 25.2	\$ -	\$ -	\$ -	\$ -	\$ 24.4	\$ 25.2	\$ 0.8	3.3%

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	2018	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019	FEBRUARY	MARCH	2017	\$ Increase/ Decrease	% Increase/ Decrease
	APRIL												2018	\$ (68.8)	-34.3%
	\$ (269.2)	\$ (300.3)	\$ (253.4)	\$ (253.5)	\$ (263.4)	\$ (269.7)	\$ (296.4)	\$ (314.1)					\$ (269.2)		
Beginning Fund Balance															
RECEIPTS:															
Miscellaneous Receipts	22.6	73.5	50.2	26.7	56.9	25.9	32.7	36.1					324.6	(12.9)	-3.8%
Total Receipts	22.6	73.5	50.2	26.7	56.9	25.9	32.7	36.1	-	-	-	-	324.6	(12.9)	-3.8%
DISBURSEMENTS:															
Departmental Operations:															
Personal Service	8.1	11.4	8.5	8.0	8.3	8.0	11.1	7.9					71.3	(1.6)	-2.2%
Non-Personal Service	48.0	27.3	46.2	23.4	38.3	34.0	40.1	28.4					285.7	(51.0)	-15.1%
General State Charges	0.2	9.8	4.1	6.8	18.2	6.4	4.8	5.0					55.3	17.6	46.7%
Total Disbursements	56.3	48.5	58.8	38.2	64.8	48.4	56.0	41.3	-	-	-	-	412.3	(35.0)	-7.8%
Excess (Deficiency) of Receipts over Disbursements	(33.7)	25.0	(8.6)	(11.5)	(7.9)	(22.5)	(23.3)	(5.2)	-	-	-	-	(87.7)	22.1	20.1%
OTHER FINANCING SOURCES (USES):															
Transfers from Other Funds	2.6	21.9	8.6	1.6	1.6	2.7	5.6	2.1					46.7	11.0	30.8%
Transfers to Other Funds	-	-	(0.1)	-	-	(6.9)	-	(0.2)					(7.2)	(0.2)	-2.7%
Total Other Financing Sources (Uses)	2.6	21.9	8.5	1.6	1.6	(4.2)	5.6	1.9	-	-	-	-	39.5	11.2	39.6%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(31.1)	46.9	(0.1)	(9.9)	(6.3)	(26.7)	(17.7)	(3.3)	-	-	-	-	(48.2)	33.3	40.9%
Ending Fund Balance	\$ (300.3)	\$ (253.4)	\$ (253.5)	\$ (263.4)	\$ (269.7)	\$ (296.4)	\$ (314.1)	\$ (317.4)	\$ -	\$ -	\$ -	\$ -	\$ (317.4)	\$ (35.5)	-12.6%

EXHIBIT L

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2018-2019
(Amounts in millions)

	8 Months Ended November 30												
	2018	2019											
APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	JANUARY	FEBRUARY	MARCH	2017	% Increase/Decrease
\$ (2.0)	\$ (2.8)	\$ (12.1)	\$ (13.1)	\$ (28.1)	\$ (34.2)	\$ (5.5)	\$ (9.6)					\$ (2.0)	\$ (0.1)
Beginning Fund Balance													
RECEIPTS:													
Miscellaneous Receipts	5.2	7.9	5.2	5.1	38.0	7.6	5.3					67.6	11.8
Total Receipts	5.2	7.9	5.2	5.1	38.0	7.6	5.3	-	-	-	-	67.6	11.8
DISBURSEMENTS:													
Departmental Operations:													
Personal Service	5.2	7.9	5.4	5.1	5.0	7.7	5.3					40.3	6.3
Non-Personal Service	0.8	1.5	0.8	1.7	1.1	0.8	1.1					10.1	(1.0)
General State Charges	-	7.8	-	13.3	4.9	3.2	3.2					14.9	20.7
Total Disbursements	6.0	17.2	6.2	20.1	11.2	9.3	9.6	-	-	-	-	65.3	26.0
Excess (Deficiency) of Receipts over Disbursements	(0.8)	(9.3)	(1.0)	(15.0)	(6.1)	(4.1)	(4.3)	-	-	-	-	(11.9)	(14.2)
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	-	-	-	-	-	-	-					-	-
Transfers to Other Funds	-	-	-	-	-	-	-					-	-
Total Other Financing Sources (Uses)	-	-	-	-	-	-	-	-	-	-	-	-	-
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(0.8)	(9.3)	(1.0)	(15.0)	(6.1)	(4.1)	(4.3)	-	-	-	-	(11.9)	(14.2)
Ending Fund Balance	\$ (2.8)	\$ (12.1)	\$ (13.1)	\$ (28.1)	\$ (34.2)	\$ (9.6)	\$ (13.9)	\$ -	\$ -	\$ -	\$ -	\$ 0.4	\$ (14.3)

EXHIBIT M

38

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2018-2019
FOR THE MONTH OF NOVEMBER 2018
(Amounts in millions)

	BALANCE NOVEMBER 1, 2018	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2018
GENERAL FUND					
10000-10049-Local Assistance Account	\$ -	0.060	\$ 3,464.840	\$ 3,464.780	\$ -
10050-10099-State Operations Account	6,524.239	2,868.325	1,246.462	(2,755.248)	5,390.854
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	41.239	-	0.503	-	40.736
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	5.198	5.198	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	6,565.478	2,873.583	4,717.003	709.532	5,431.590
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	0.790	0.001	-	-	0.791
20100-20299-Combined Expendable Trust	65.901	0.631	0.430	-	66.102
20300-20349-New York Interest on Lawyer Account	43.884	3.763	0.157	-	47.490
20350-20399-NYS Archives Partnership Trust	0.112	-	0.029	(0.008)	0.075
20400-20449-Child Performer's Protection	0.146	0.014	0.036	(0.008)	0.116
20450-20499-Tuition Reimbursement	6.867	0.729	0.203	(0.063)	7.330
20500-20549-New York State Local Government Records Management Improvement	4.056	0.865	0.474	(0.048)	4.399
20550-20599-School Tax Relief	0.102	7.000	6.829	-	0.273
20600-20649-Charter Schools Stimulus	1.648	0.003	-	-	1.651
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	238.179	570.724	429.477	(7.825)	371.601
20850-20899-Dedicated Mass Transportation Trust	71.413	53.243	62.652	-	62.004
20900-20949-State Lottery	(342.681)	254.967	138.784	-	(226.498)
20950-20999-Combined Student Loan	20.988	0.436	1.056	-	20.368
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.896)	-	0.061	-	(3.957)
21050-21149-Ercon Special Revenue	(0.060)	4.672	6.850	(2.238)	6.850
21150-21199-Conservation	82.715	4.582	3.041	-	84.256
21200-21249-Environmental Protection and Oil Spill Compensation	39.000	3.869	1.616	(4.291)	36.962
21250-21299-Training and Education Program on OSHA	5.381	4.014	4.146	(1.084)	4.165
21300-21349-Lawyers' Fund for Client Protection	8.830	0.939	0.770	-	8.999
21350-21399-Equipment Loan for the Disabled	0.539	0.004	0.007	-	0.536
21400-21449-Mass Transportation Operating Assistance	127.182	103.238	329.421	(0.202)	(98.203)
21450-21499-Clean Air	(26.648)	3.032	2.810	-	(26.426)
21500-21549-New York State Infrastructure Trust	11.261	0.042	0.007	-	11.296
21550-21599-Legislative Computer Services	-	-	-	-	-
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.465	0.001	-	-	0.466
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	-	-	-	-	-
21850-21899-Arts Capital Revolving	0.001	-	-	-	0.001
21900-22499-Miscellaneous State Special Revenue	0.933	0.003	-	-	0.936
22500-22549-Court Facilities Incentive Aid	1,553.437	198.861	241.760	18.105	1,528.643
	20.786	0.042	2.313	-	18.515

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2018-2019
FOR THE MONTH OF NOVEMBER 2018
(Amounts in millions)

	BALANCE NOVEMBER 1, 2018	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2018
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22550-22599-Employment Training	0.051	-	-	-	0.051
22650-22699-State University Income	1,842.303	374.226	624.217	199.632	1,791.944
22700-22749-Chemical Dependence Service	22.964	0.195	0.185	-	22.974
22750-22799-Lake George Park Trust	0.226	-	0.106	-	0.120
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	98.707	8.159	0.430	-	106.436
22850-22899-New York Great Lakes Protection	0.391	0.001	0.012	-	0.380
22900-22949-Federal Revenue Maximization	0.023	-	-	-	0.023
22950-22999-Housing Development	9.420	0.018	-	-	9.438
23000-23049-NYS/DOT Highway Safety Program	(11.766)	0.227	0.245	-	(11.784)
23050-23099-Vocational Rehabilitation	0.027	0.004	-	-	0.031
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(46.248)	-	2.336	-	(48.584)
23200-23249-Judiciary Data Processing Offset	27.610	5.582	2.066	-	31.126
23250-23449-IFR/CUTRA	170.615	17.505	5.849	-	182.271
23500-23549-USOC Lake Placid Training	0.204	0.002	-	-	0.206
23550-23599-Indigent Legal Services	298.079	16.888	4.037	27.153	338.083
23600-23649-Unemployment Insurance Interest and Penalty	29.873	1.633	0.295	(0.180)	31.031
23650-23699-MTA Financial Assistance Fund	108.491	16.431	48.850	48.848	124.920
23700-23749-New York State Commercial Gaming Fund	82.524	12.743	9.425	-	85.842
23750-23799-Medical Marihuana Trust Fund	3.189	0.314	0.367	6.550	9.686
23800-23899-Dedicated Miscellaneous State Special Revenue	1,375	0.694	0.022	(0.008)	2,039
24850-24899-Health Care Transformation	1,001.743	1.852	-	-	1,003.595
24900-24949-Charitable Gifts Trust Fund	92.681	0.171	-	-	92.852
24950-24999-Interactive Fantasy Sports	10.529	0.616	-	-	11.145
40350-40399-State University Dormitory Income	180.869	51.186	-	(20.241)	211.814
TOTAL SPECIAL REVENUE FUNDS-STATE	5,949.929	1,724.122	1,931.371	266.330	5,909.010
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	11.164	156.377	156.892	(0.060)	10.589
25100-25199-Federal Health and Human Services	(17.050)	4,197.359	3,948.606	(225.516)	6.187
25200-25249-Federal Education	(173.660)	286.794	130.134	(2.355)	(19.355)
25300-25399-Federal Miscellaneous Operating Grants	(326.909)	98.812	269.406	(0.002)	(497.505)
25900-25949-Unemployment Insurance Administration	151.055	30.020	24.027	(16.554)	140.494
25950-25999-Unemployment Insurance Occupational Training	(0.428)	0.496	0.459	-	(0.391)
26000-26049-Federal Employment and Training Grants	(1.380)	17.826	17.397	(0.796)	(1.747)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	(367.208)	4,787.684	4,546.921	(245.283)	(361.728)
TOTAL SPECIAL REVENUE FUNDS	5,492.721	6,511.806	6,478.292	21.047	5,547.282
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	119.153	14.661	-	202.371	336.185
40150-40199-General Debt Service	486.270	1,369.106	34.228	(1,092.973)	728.175
40250-40299-State Housing Debt Service	-	0.322	-	(0.322)	-
40300-40349-Department of Health Income	37.958	(2.862)	14.302	(3.914)	17.080
40400-40449-Clean Water/Clean Air	13.350	79.790	-	(74.881)	18.259
40450-40499-Local Government Assistance Tax	1.931	274.886	0.613	(273.800)	2.404
TOTAL DEBT SERVICE FUNDS	658.662	1,736.103	49.143	(1,243.519)	1,102.103

SCHEDULE 1

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2018-2019
FOR THE MONTH OF NOVEMBER 2018
(Amounts in millions)

	BALANCE NOVEMBER 1, 2018	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2018
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	0.084	366.860	366.776	-
30050-30099-Dedicated Highway and Bridge Trust	132.324	179.784	141.868	(16.427)	153.813
30100-30299-SUNY Residence Halls Rehabilitation and Repair	146.820	0.273	3.648	6.815	150.260
30300-30349-New York State Canal System Development	9.655	1.318	-	-	10.973
30350-30399-Parks Infrastructure	(85.201)	-	7.039	-	(92.240)
30400-30449-Passenger Facility Charge	0.015	-	-	-	0.015
30450-30499-Environmental Protection	149.952	13.153	13.951	-	149.154
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30609-Energy Conservation Thru Improved Transportation Bond	0.164	-	-	-	0.164
30610-30619-Park and Recreation Land Acquisition Bond	-	-	-	-	-
30620-30629-Pure Waters Bond	0.688	-	-	-	0.688
30630-30639-Transportation Capital Facilities Bond	3.328	-	-	-	3.328
30640-30649-Environmental Quality Protection Bond	1.419	-	-	-	1.419
30650-30659-Rebuild and Renew New York Transportation Bond	18.947	-	-	(0.036)	18.911
30660-30669-Transportation Infrastructure Renewal Bond	4.255	-	-	-	4.255
30670-30679-1986 Environmental Quality Bond Act	5.551	-	-	-	5.551
30680-30689-Accelerated Capacity and Transportation Improvement Bond	2.778	-	-	-	2.778
30690-30699-Clean Water/Clean Air Bond	1.428	-	-	-	1.428
30700-30709-State Housing Bond	-	-	-	-	-
30710-30719-Smart Schools Bond	-	-	-	-	-
30750-30799-Outdoor Recreation and Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(554.484)	206.994	161.582	-	(509.072)
31450-31499-Forest Preserve Expansion	0.928	0.001	-	-	0.929
31500-31549-Hazardous Waste Remedial	(127.765)	0.893	8.431	(0.276)	(135.579)
31650-31699-Suburban Transportation	0.522	0.001	-	-	0.523
31700-31749-Division for Youth Facilities Improvement	(62.105)	-	3.401	-	(65.506)
31800-31849-Housing Assistance	(13.109)	-	-	-	(13.109)
31850-31899-Housing Program	(348.942)	-	8.250	-	(357.192)
31900-31949-Natural Resource Damage	17.368	0.043	0.011	-	17.400
31950-31999-DOT Engineering Services	(12.380)	-	-	-	(12.380)
32200-32249-Miscellaneous Capital Projects	65.445	1.786	4.688	2.383	64.926
32250-32299-CUNY Capital Projects	(0.028)	-	-	-	(0.028)
32300-32349-Mental Hygiene Facilities Capital Improvement	(605.300)	8.858	11.314	-	(607.756)
32350-32399-Correction Facilities Capital Improvement	(388.797)	-	30.990	-	(419.787)
32400-32999-State University Capital Projects	106.878	0.205	3.042	1.765	105.806
33000-33049-NYS Storm Recovery Fund	(84.642)	-	0.499	-	(85.141)
33050-33099-Dedicated Infrastructure Investment Fund	78.501	-	188.292	150.000	40.209
TOTAL CAPITAL PROJECTS FUNDS	(1,535.807)	413.393	953.866	511.000	(1,565.280)
TOTAL GOVERNMENTAL FUNDS	\$ 11,181.054	\$ 11,534.885	\$ 12,198.304	\$ (1,940)	\$ 10,515.695

SCHEDULE 2

STATE OF NEW YORK
 PROPRIETARY FUNDS
 SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
 CHANGES IN FUND BALANCES
 FISCAL YEAR 2018-2019
 FOR THE MONTH OF NOVEMBER 2018
 (Amounts in millions)

<u>FUND TYPE</u>	<u>BALANCE</u> <u>NOVEMBER 1, 2018</u>	<u>RECEIPTS</u>	<u>DISBURSEMENTS</u>	<u>OTHER</u> <u>FINANCING</u> <u>SOURCES (USES)</u>	<u>BALANCE</u> <u>NOVEMBER 30, 2018</u>
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	\$ 0.094	\$ 0.002	\$ 0.001	\$ -	\$ 0.095
50050-50099-State Exposition Special	2.428	0.586	1.513	-	1.501
50100-50299-Correctional Services Commissary	3.749	3.186	3.540	-	3.395
50300-50399-Agencies Enterprise	3.095	0.568	0.279	-	3.384
50400-50449-Sheltered Workshop	2.114	0.021	0.015	-	2.120
50450-50499-Patient Workshop	1.816	0.041	0.029	-	1.828
50500-50599-Mental Hygiene Community Stores	4.560	0.102	0.109	-	4.553
50650-50699-Unemployment Insurance Benefit	8.279	142.314	142.294	-	8.299
TOTAL ENTERPRISE FUNDS	26.135	146.820	147.780	-	25.175
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(74.306)	23.778	22.579	0.498	(72.609)
55050-55099-Agency Internal Service	(143.828)	5.787	7.191	1.551	(143.681)
55100-55149-Mental Hygiene Revolving	(0.081)	0.037	0.071	-	(0.115)
55150-55199-Youth Vocational Education	0.069	0.001	-	-	0.070
55200-55249-Joint Labor and Management Administration	1.033	0.002	0.080	-	0.955
55250-55299-Audit and Control Revolving	(47.883)	1.500	4.872	-	(51.255)
55300-55349-Health Insurance Revolving	(16.545)	0.670	1.259	(0.109)	(17.243)
55350-55399-Correctional Industries Revolving	(32.592)	4.374	5.257	-	(33.475)
TOTAL INTERNAL SERVICE FUNDS	(314.133)	36.149	41.309	1.940	(317.353)
TOTAL PROPRIETARY FUNDS	\$ (287.998)	\$ 182.969	\$ 189.089	\$ 1.940	\$ (292.178)

SCHEDULE 3

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2018-2019
FOR THE MONTH OF NOVEMBER 2018
(Amounts in millions)

FUND TYPE	BALANCE NOVEMBER 1, 2018	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2018
<u>PENSION TRUST FUNDS</u>					
65000-65049-Common Retirement Administration	\$ (9.574)	\$ 5.282	\$ 9.636	\$ -	\$ (13.928)
TOTAL PENSION TRUST FUNDS	(9.574)	5.282	9.636	-	(13.928)
<u>PRIVATE PURPOSE TRUST FUNDS</u>					
66000-66049-Agriculture Producers' Security	2.777	0.005	-	-	2.782
66050-66099-Milk Producers' Security	9.844	0.067	0.016	-	9.895
TOTAL PRIVATE PURPOSE TRUST FUNDS	12.621	0.072	0.016	-	12.677
<u>AGENCY FUNDS</u>					
60050-60149-School Capital Facilities Financing Reserve	23.191	0.043	1.586	-	21.648
60150-60199-Child Performer's Holding	0.491	0.005	0.001	-	0.495
60200-60249-Employees Health Insurance	903.935	989.989	852.780	-	1,041.144
60250-60299-Social Security Contribution	15.491	93.709	93.978	-	15.222
60300-60399-Employee Payroll Withholding	65.438	357.007	382.688	-	39.757
60400-60449-Employees Dental Insurance	21.891	5.302	5.678	-	21.515
60450-60499-Management Confidential Group Insurance	0.651	0.698	0.705	-	0.644
60500-60549-Lottery Prize	712.707	288.693	394.688	-	606.712
60550-60599-Health Insurance Reserve Receipts	0.141	-	-	-	0.141
60600-60799-Miscellaneous New York State Agency	1,126.056	192.666	240.241	-	1,078.481
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	23.581	14.083	6.955	-	30.709
60850-60899-CUNY Senior College Operating	28.750	170.819	184.367	-	15.202
60900-60949-Medicaid Management Information System (MMIS) Escrow	1,138.206	5,985.901	6,889.637	-	234.470
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	184.791	(91.874)	-	-	92.917
61100-61999-State University Federal Direct Lending Program	(3.662)	20.553	19.119	-	(2.228)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	4,241.658	8,027.594	9,072.423	-	3,196.829
TOTAL FIDUCIARY FUNDS	\$ 4,244.705	\$ 8,032.948	\$ 9,082.075	\$ -	\$ 3,195.578

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2018-2019
FOR THE MONTH OF NOVEMBER 2018
(Amounts in millions)

Chapter 1 of the Laws of 2002 authorized the conversion of Empire Health Choice, d/b/a Empire Blue Cross and Blue Shield from a not-for-profit corporation to a for-profit corporation. Chapter 1 requires, in part, that upon such conversion, assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to a fund designated as the "Public Asset Fund" and 5 percent transferred to a Charitable Foundation – as set forth in Section 7317 of the Insurance Law. On December 28, 2005, WellChoice, Inc. (previously known as Empire Blue Cross, Blue Shield) approved a takeover by WellPoint, Inc. This conversion was also subject to the same Chapter 1 requirements of assigning assets representing 95 percent of the fair market value of the not-for-profit corporation be transferred to the "Public Asset Fund".

As of November 30, 2018, \$9,242,453.66 (representing the remaining balance of the State's 95 percent share of the fair market value of the not-for-profit corporation plus interest) is on deposit in the sole custody account titled Public Asset Fund. In accordance with Section 4301(j)(4)(F) and (O) of the Insurance Law and at the direction of the Director of the Budget, these funds are available for transfer to HCRA Resources Fund (20800-20849).

SCHEDULE 5

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2018-2019

PURPOSE	DEBT OUTSTANDING APR. 1, 2018	DEBT ISSUED		DEBT MATURED		DEBT OUTSTANDING NOVEMBER 30, 2018		INTEREST DISBURSED	
		MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2018	MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2018	MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2018	MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2018
GENERAL OBLIGATION BONDED DEBT:									
Accelerated Capacity and Transportation Improvements	\$ 32,275,100.89	\$ -	\$ -	\$ -	\$ 10,919,265.60	\$ 21,355,835.29	\$ -	\$ -	\$ 880,056.23
Clean Water/Clean Air:									
Air Quality	3,117,448.29	-	-	-	155,950.14	2,961,498.15	-	-	52,830.69
Safe Drinking Water	-	-	-	-	-	-	-	-	-
Clean Water	346,341,865.67	-	-	-	8,964,855.81	337,377,009.86	-	-	8,300,009.56
Solid Waste	27,878,354.94	-	-	-	1,745,370.35	26,132,984.59	-	-	561,561.00
Environmental Restoration	56,923,093.56	-	-	-	155,000.00	56,768,093.56	-	-	1,180,038.12
Energy Conservation Through Improved Transportation:									
Rapid Transit and Rail Freight	1,617,602.67	-	-	-	264,787.74	1,352,814.93	-	-	64,313.19
Environmental Quality (1972):									
Air	169,207.37	-	-	-	160,000.00	9,207.37	-	-	4,178.26
Land and Wetlands	3,324,942.21	-	-	-	395,830.42	2,929,111.79	-	-	80,468.89
Water	15,647,986.47	-	-	-	4,632,503.04	11,015,483.43	-	-	393,032.19
Environmental Quality (1986):									
Land Acquisition/Development/Restoration/Forests	8,471,182.46	-	-	-	877,240.43	7,593,942.03	-	-	206,677.54
Solid Waste Management	116,058,318.43	-	-	-	6,896,891.29	109,161,427.14	-	-	3,552,194.66
Housing:									
Low Income	10,360,000.00	-	-	-	1,860,000.00	8,500,000.00	-	-	302,800.00
Middle Income	8,410,000.00	-	-	-	2,185,000.00	6,225,000.00	-	-	155,643.75
Park and Recreation Land Acquisition	-	-	-	-	-	-	-	-	-
Pure Waters	20,989,840.04	-	-	-	2,943,010.07	18,046,829.97	-	-	570,625.38
Rail Preservation Development	-	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:									
Highway Facilities	690,922,411.06	-	-	-	-	690,922,411.06	-	-	15,485,661.54
Canals and Waterways	15,195,330.58	-	-	-	-	15,195,330.58	-	-	298,786.38
Aviation	45,220,784.83	-	-	-	-	45,220,784.83	-	-	954,802.82
Rail and Port	95,856,947.16	-	-	-	-	95,856,947.16	-	-	1,929,636.30
Mass Transit - Dept. of Transportation	5,412,943.09	-	-	-	-	5,412,943.09	-	-	109,924.06
Mass Transit - Metropolitan Transportation Authority	759,341,045.05	-	-	-	-	759,341,045.05	-	-	16,876,972.53
Rebuild New York Transportation Infrastructure Renewal:									
Highways, Parkways, and Bridges	919,698.60	-	-	-	-	919,698.60	-	-	22,151.56
Rapid Transit, Rail and Aviation	3,686,569.96	-	-	-	1,088,952.61	2,597,617.35	-	-	146,600.34
Smart Schools Bond Act	99,505,289.03	-	-	-	-	99,505,289.03	-	-	2,071,669.57
Transportation Capital Facilities:									
Aviation	3,739,037.10	-	-	-	720,342.50	3,018,694.60	-	-	128,327.46
Mass Transportation	-	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	\$ 2,371,384,999.46	\$ -	\$ -	\$ -	\$ 43,965,000.00	\$ 2,327,419,998.46	\$ -	\$ -	\$ 54,328,962.02

SCHEDULE 5a

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE EIGHT MONTHS ENDED NOVEMBER 30, 2018

Special Contractual Financing Obligations: Payments to Public Authorities:	DEBT REDUCTION RESERVE (40000-40049)	GENERAL DEBT SERVICE (40151)	DEPARTMENT OF HEALTH INCOME (40300-40349)	LOCAL GOVERNMENT ASSISTANCE TAX (40450-40499)	MENTAL HEALTH SERVICES (40100-40149)	REVENUE BOND TAX (40152)	SALES TAX REVENUE BOND TAX (40154)	COMBINED TOTALS		\$ INCREASE/ (DECREASE)
								8 MONTHS ENDED NOVEMBER 30 2018	2017	
City University Construction	\$ -	\$ 106,554,226	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 106,554,226	\$ 154,075,794	\$ (47,521,568)
Domitory Authority:										
Consolidated Service Contract Refunding	-	57,690,325	-	-	-	-	-	57,690,325	73,976,300	(16,285,975)
DASNY Revenue Bond	-	-	-	-	-	206,143,948	199,126,519	405,272,467	520,712,769	(115,440,302)
Department of Health Facilities	-	-	26,132,003	-	-	-	-	26,132,003	26,545,203	(413,200)
Mental Health Facilities	-	-	-	-	53,484,242	-	-	53,484,242	64,039,218	(10,554,976)
Secured Hospital Program	-	603,759	-	-	-	-	-	603,759	2,904,982	1,891,566
SUNY Community Colleges	-	4,596,528	-	-	-	-	-	4,596,528	17,145,623	17,145,623
SUNY Educational Facilities	-	17,145,623	-	-	-	-	-	17,145,623	2,303,044	(631,175)
Environmental Facilities Corporation	-	-	-	-	-	1,671,669	-	1,671,669	33,338,536	(16,119,353)
Housing Finance Agency	-	14,702,473	-	-	-	2,516,710	-	26,216,083	90,319,233	(24,103,190)
Local Government Assistance Corporation	-	-	-	26,216,083	-	-	-	-	42,043,163	(6,585,542)
Metropolitan Transportation Authority:										
Transit and Commuter Rail Projects	-	35,457,621	-	-	-	-	-	35,457,621	199,071,079	(39,390,215)
Thruway Authority:										
Dedicated Highway and Bridge	-	199,680,864	-	-	-	-	-	199,680,864	53,845,175	(16,953,100)
Local Highway and Bridge	-	36,892,075	-	-	-	-	-	36,892,075	33,752,675	(2,875,575)
Transportation	-	-	-	-	-	30,877,100	-	30,877,100	-	-
Urban Development Corporation:										
Clarkson University	-	51,975	-	-	-	-	-	51,975	-	51,975
Columbia Univer. Telecommunications Center	-	2,777,000	-	-	-	-	-	2,777,000	-	2,777,000
Consolidated Service Contract Refunding	-	27,121,943	-	-	-	-	-	27,121,943	1,695,175	25,426,768
Cornell Univer. Supercomputer Center	-	362,000	-	-	-	-	-	362,000	-	362,000
Correctional Facilities	-	1,081,433	-	-	-	-	-	1,081,433	1,578,900	(497,467)
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	295,089,574	-	295,089,574	283,606,001	11,483,573
University Facilities Grant 95 Refunding	-	-	-	-	-	-	-	-	-	-
University Facilities Grant Special Contractual	-	-	-	-	-	-	-	-	-	-
Total Disbursements for Special Contractual Financing Obligations	\$ -	\$ 484,707,847	\$ 26,132,003	\$ 26,216,083	\$ 53,484,242	\$ 536,299,201	\$ 199,126,519	\$ 1,305,967,895	\$ 1,543,807,227	\$ (237,839,332)

SCHEDULE 6

STATE OF NEW YORK
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF NOVEMBER 2018
AS REQUIRED OF THE STATE COMPTROLLER
(Amounts in millions)

MONTH OF NOVEMBER 2018	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE
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SHORT TERM INVESTMENT POOL (*)

AVERAGE DAILY INVESTMENT BALANCE (**)	\$ 16,308.1	\$ 16,479.9	\$ 11,147.8
AVERAGE YIELD (**)	2.301%	2.061%	1.146%
TOTAL INVESTMENT EARNINGS	\$ 30.017	\$ 219.158	\$ 83.509

Month-End Portfolio Balances

DESCRIPTION	NOVEMBER 2018 PAR AMOUNT	NOVEMBER 2017 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	\$ 600.0	\$ -
REPURCHASE AGREEMENTS	27.0	21.8
COMMERCIAL PAPER	12,068.8	9,135.4
CERTIFICATES OF DEPOSIT/SAVINGS	2,957.4	3,154.4
0% COMPENSATING BALANCE CDS	175.0	1,480.0
	\$ 15,828.2	\$ 13,791.6

(*) Pursuant to §98 of the State Finance Law, the State Comptroller is authorized to invest and keep invested all moneys, in any fund, held by the State. The Short Term Investment Pool (STIP) represents an accounting mechanism that allows for the separate accounting of individual funds (on deposit in the State's General Checking account) for the purpose of making short term investments. Pursuant to State Finance Law §4(5) the STIP is authorized to temporarily loan to the General Fund-State Operations Account (10050) funds for a period of four months or the end of the fiscal year, whichever is shorter. However, it must be noted that certain funds are invested as part of STIP, but are held by the State Comptroller in a fiduciary capacity. Fiduciary fund balances are restricted and may not be used for any State purposes since moneys in such funds are held by the State in a trustee (or fiduciary) capacity or as an agent for individuals, private organizations, or non-State governmental units (e.g. local governments and public authorities). Therefore, Fiduciary fund balances are not available to be temporarily loaned to the General Fund-State Operations Account. Fiduciary fund balances are presented in Schedules 3 and 4 of this report.

(**) Does not include 0% Compensating Balance CDs.

STATE OF NEW YORK HCRA RESOURCES FUND STATEMENT OF RECEIPTS AND DISBURSEMENTS BY ACCOUNT FISCAL YEAR 2018-2019												APPENDIX A	
	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30, 2018
OPENING CASH BALANCE	\$ 14,572,292	\$ 173,364,071	\$ 212,183,278	\$ 273,864,603	\$ 278,244,191	\$ 169,311,958	\$ 269,542,770	\$ 238,179,366					\$ 14,572,292
RECEIPTS:													
Cigarette Tax	63,521,980	69,396,871	72,916,067	77,734,147	70,553,809	64,401,440	70,223,466	64,277,631					552,988,441
State Share of NYC Cigarette Tax	2,365,000	2,743,000	2,812,000	2,366,000	2,540,000	2,663,000	2,167,000	2,169,000					19,750,000
NY Lottery	285,039	473,413	646,724	647,126	646,640	844,914	702,626	871,609					5,329,965
Public Utility Transfers													
Assessments	447,767,954	397,979,961	466,725,584	427,694,749	414,982,999	441,395,516	412,713,278	469,637,514					3,509,195,525
Fees	469,000	407,000	2,659,000	579,000	104,000	925,000	301,000	47,000					5,491,000
Rebates	5,097,831	2,853,191	1,309,536	4,043,093	12,280,603	158,431	7,584,106	3,691,103					36,997,894
Restitution and Settlements													
Miscellaneous	45,460	-	-	7,475	49,315	-	-	112					102,362
Total Receipts	519,580,264	473,626,436	547,071,911	513,471,592	501,137,336	510,381,301	493,691,806	570,724,169	-	-	-	-	4,128,864,815
DISBURSEMENTS:													
Grants	342,597,294	431,476,254	479,603,295	497,415,435	602,142,217	401,700,557	519,088,650	425,662,859					3,699,705,698
Loans - Late Payments	1,137,327	36	13	30	403	189	789	630					5,442,798
Personal Service	573,997	731,320	1,126,269	500,110	381,341	580,182	769,845	779,551					5,442,692
Non-Personal Service	1,766,723	1,631,242	3,050,142	2,396,131	1,563,226	1,475,370	4,079,514	2,447,273					18,822,621
Employee Benefits/Indirect Costs	482,693	379,315	1,083,476	756,913	1,065,917	298,438	329,102	567,650					4,963,524
Total Disbursements	346,441,991	434,218,167	484,863,222	501,068,619	605,543,194	404,057,716	524,267,141	429,477,333	-	-	-	-	3,729,937,383
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-	-	-	-	-					-
Transfers to General Fund	-	-	-	-	156,106	-	-	-					156,106
Transfers to Revenue Bond Tax Fund	-	-	-	-	3,582,200	4,846,704	-	-					8,431,904
Transfers to Statewide Economic Development Revenue Fund:													
Administration Program Account	-	110,000	-	-	-	455,000	-	-					565,000
Empire State Stem Cell Trust Account	14,237,000	679,062	427,364	7,000,000	788,089	788,069	788,069	7,000,000					28,237,000
Transfers to SUNY Income Fund	1,089,494	-	-	1,123,395	-	-	-	625,690					6,509,202
Total Operating Transfers	15,326,494	789,062	427,364	8,123,395	4,526,375	6,092,773	788,069	7,825,690	-	-	-	-	43,899,212
Total Disbursements and Transfers	360,768,485	435,007,229	485,290,586	509,192,004	610,069,569	410,150,489	525,055,210	437,303,023	-	-	-	-	3,772,836,595
CLOSING CASH BALANCE	\$ 173,364,071	\$ 212,183,278	\$ 273,964,603	\$ 278,344,191	\$ 169,311,958	\$ 269,542,770	\$ 238,179,366	\$ 371,600,512	\$ -	\$ -	\$ -	\$ -	\$ 371,600,512

APPENDIX B

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2018-19

Program/Purpose	Appropriation Amount (*)	November	8 Months Ended November 30, 2018 (**)
CENTER FOR COMMUNITY HEALTH PROGRAM	\$ 8,313,000.00	\$ 194,232.95	\$ 2,405,154.41
CENTER FOR COMMUNITY HLTH	8,313,000.00	194,232.95	2,405,154.41
CHILD HEALTH INSURANCE PROGRAM	983,260,000.00	39,642,882.26	212,362,086.04
CHILD HEALTH INSURANCE	983,260,000.00	39,642,882.26	212,362,086.04
COMMUNITY SUPPORT PROGRAM	120,000.00	-	90,000.00
COMMUNITY SUPPORT	120,000.00	-	90,000.00
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	291,636,064.37	13,470,127.35	91,088,631.56
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE	291,636,064.37	13,470,127.35	91,088,631.56
HEALTH CARE REFORM ACT PROGRAM	1,916,478,605.03	6,478,907.64	280,625,137.03
AIDS DRUG ASSISTANCE	164,200,000.00	-	20,000,000.00
AMBULATORY CARE TRAINING	11,720,000.00	316,656.76	829,685.00
AREA HEALTH EDUCATION CENTER	7,478,000.00	199,891.39	1,275,030.40
COMMISSIONER EMERGENCY DISTRIBUTIONS	5,900,000.00	-	108,073.22
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CAR	272,000,000.00	-	-
DIVERSITY IN MEDICINE	6,698,000.00	-	245,830.00
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)	18,947,000.00	-	-
HCRA PAYOR / PROVIDER AUDITS	14,720,000.00	420,000.00	4,286,779.89
HEALTH FACILITY RESTRUCTURING DASNY	39,200,000.00	-	19,600,000.00
HEALTH WORKFORCE RETRAINING	200,850,300.00	1,186,769.97	4,113,730.36
INFERTILITY SERVICES GRANTS	22,870,746.00	429,071.80	814,516.42
MEDICAL INDEMNITY FUND	156,000,000.00	-	52,000,000.00
PART 405.4 HOSPITAL AUDITS NYCRR	2,200,000.00	97,770.06	117,400,000.00
PHYSICIAN EXCESS MEDICAL MALPRACTICE	254,800,000.00	-	488,725.76
PHYSICIAN LOAN REPAYMENT	25,400,000.00	35,823.50	2,327,806.94
PHYSICIAN PRACTICE SUPPORT	1,000,000.00	-	-
PHYSICIAN WORKFORCE STUDIES	31,885,300.00	-	4,356,732.50
POISON CONTROL CENTERS	3,954,200.00	175,000.00	340,073.33
POOL ADMINISTRATION	6,040,000.00	-	-
ROSWELL PARK CANCER INSTITUTE	6,850,000.00	-	1,344,715.30
RURAL HEALTH CARE ACCESS	117,889,000.00	-	38,477,250.00
RURAL HEALTH NETWORK	26,300,000.00	560,678.99	3,132,818.77
SCHOOL BASED HEALTH CENTERS	17,460,000.00	922,345.17	3,138,369.14
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	4,230,000.00	2,115,000.00	2,115,000.00
SCHOOL BASED HEALTH CLINICS-POOL ADMIN	8,460,000.00	-	4,230,000.00
TRANSITION ACCT - PRIOR YEAR ALLOCATION	489,526,059.03	-	-
MEDICAL ASSISTANCE PROGRAM	28,136,329,000.00	388,120,592.07	3,134,435,972.12
HOME HEALTH RATE INCREASE	300,000,000.00	-	-
MEDICAID ASSISTANCE	5,409,000,000.00	61,120,592.07	532,220,972.12
MEDICAL ASSISTANCE	21,544,129,000.00	307,000,000.00	2,602,215,000.00
PSNL CRE WKRR RECR & RETEN NYC (**)	816,000,000.00	-	-
PSNL CRE WKRR RECR & RETEN ROS (****)	67,200,000.00	-	-
OFFICE OF HEALTH INSURANCE PROGRAM	1,834,000.00	-	-
OFFICE OF HEALTH INSURANCE	1,834,000.00	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	48,413,000.00	1,384,975.39	11,635,098.33
OFFICE HEALTH SYSTEMS MANAGEMENT	48,413,000.00	1,384,975.39	11,635,098.33
OFFICE OF LONG TERM CARE	2,477,800.00	-	-
ADULT HOME INITIATIVE	2,477,800.00	-	-
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	1,011,262.96	2,804,813.52
REVENUE, PROCESSING & RECONCILIATION	8,190,000.00	1,011,262.96	2,804,813.52
TOTAL	\$ 31,397,051,469.40	\$ 430,302,980.82	\$ 3,735,446,893.01
Redclass of SUNY Hospital Disprop Share to Transfer		(825,690.25)	(6,503,202.96)
Redclass of SUNY Hospital Poison Control Centers to Transfer		-	-
Redclass of SUNY Empire Clinical Research Investigator		-	-
Program to Transfer		-	-
Reconciling Adjustment (P-Card and T-Card)		42.10	(307.32)
TOTAL REPORTED AMOUNT	\$ 31,397,051,469.40	\$ 429,477,332.47	\$ 3,728,937,382.73

(*) Includes amounts appropriated in SFY 2018-19, as well as prior year appropriations that were reappropriated.

(**) Disbursements from the HCRA Resources Fund includes direct grant payments to program beneficiaries, services and expenses for administration of grant programs, and transfers to the Public Goods Pool to finance payments made by the State's fiscal agent.

(****) Full title is: NYC Personal Care Workforce Recruitment and Retention Rates Grants.

(****) Full title is: Personal Care Workforce Recruitment and Retention Rates Grants.

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2018-19

APPENDIX C

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2018 OCTOBER	2018 NOVEMBER	2018-19
OPENING CASH BALANCE	\$ 388,501,821.91	\$ 199,663,741.18	\$ 187,539,195.10	\$ 349,330,181.58	\$ 388,501,821.91
RECEIPTS:					
Patient Services	760,924,062.46	851,497,139.29	420,912,764.14	299,588,378.13	2,332,922,344.02
Covered Lives	223,281,927.40	242,320,798.61	127,632,826.06	84,722,648.13	677,959,200.20
Provider Assessments	28,949,536.79	32,729,406.94	12,200,601.29	9,454,829.91	83,334,374.93
1% Assessments	95,435,692.00	107,723,215.00	38,047,555.00	32,578,253.00	273,784,715.00
DASNY- MOE/Recast receivables	-	-	-	-	-
Interest Income	118,537.48	172,802.56	66,265.13	58,234.21	415,839.38
Unassigned	2,798,776.73	25,406,797.36	(28,212,343.24)	(9,242.75)	(16,011.90)
Total Receipts	1,111,508,532.86	1,259,850,159.76	570,647,668.38	426,393,100.63	3,368,399,461.63
PROGRAM DISBURSEMENTS:					
Poison Control Centers	-	-	-	-	-
School Based Health Center Grants	-	-	(4,230,000.00)	-	(4,230,000.00)
ECRIP Distributions	-	-	-	-	-
Total Program Disbursements	-	-	(4,230,000.00)	-	(4,230,000.00)
Excess (Deficiency) of Receipts over Disbursements	1,111,508,532.86	1,259,850,159.76	566,417,668.38	426,393,100.63	3,364,169,461.63
OTHER FINANCING SOURCES (USES):					
Transfers From Other Pools:					
Medicaid Disproportionate Share	-	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	12,122,154.68	12,389,384.00	8,081,419.00	4,052,613.00	36,645,570.68
Transfers From State Funds:					
HCRA Resources Fund	-	-	-	-	-
Total Other Financing Sources	12,122,154.68	12,389,384.00	8,081,419.00	4,052,613.00	36,645,570.68
Transfers To Other Pools:					
Medicaid Disproportionate Share	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers To State Funds:					
HCRA Resources Fund	(1,122,837,438.09)	(1,079,790,159.87)	(334,324,361.12)	(439,393,066.46)	(2,976,345,025.54)
Indigent Care Fund - Matched	(183,242,126.90)	(196,509,466.18)	(78,767,084.75)	(42,243,447.09)	(500,762,124.92)
Indigent Care Fund - Unmatched	(6,389,203.28)	(8,064,463.79)	383,344.97	(17,998,868.52)	(32,068,190.62)
Total Other Financing Uses	(1,312,468,768.27)	(1,284,364,089.84)	(412,708,100.90)	(499,635,382.07)	(3,509,176,341.08)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	(188,838,080.73)	(12,124,546.08)	161,790,986.48	(69,189,668.44)	(108,361,308.77)
CLOSING CASH BALANCE	\$ 199,663,741.18	\$ 187,539,195.10	\$ 349,330,181.58	\$ 280,140,513.14	\$ 280,140,513.14

Source: HCRA - Office of Pool Administration

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2018-19

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2018 OCTOBER	2018 NOVEMBER	2018-19
OPENING CASH BALANCE	\$ 1,881.16	\$ 5,434.72	\$ 5,176.53	\$ 2,132.60	\$ 1,881.16
RECEIPTS:					
Interest Income	8,284.56	6,885.88	2,132.60	4,746.70	22,049.74
Total Receipts	8,284.56	6,885.88	2,132.60	4,746.70	22,049.74
PROGRAM DISBURSEMENTS:					
Indigent Care	(190,699,555.68)	(190,150,479.12)	(78,767,084.75)	(60,278,903.09)	(519,896,022.64)
High Need Indigent Care	-	-	-	-	-
Other	3,105,175.24	(8,250,698.21)	18,907,578.91	36,587.48	13,798,643.42
Total Program Disbursements	(187,594,380.44)	(198,401,177.33)	(59,859,505.84)	(60,242,315.61)	(506,097,379.22)
Excess (Deficiency) of Receipts over Disbursements	(187,586,095.88)	(198,394,291.46)	(59,857,373.24)	(60,237,568.91)	(506,075,329.48)
OTHER FINANCING SOURCES (USES):					
Transfers From Other Pools:					
Public Goods Pool	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers From State Funds:					
HCRA Resources Indigent Care - Matched	91,621,063.45	98,254,733.09	39,383,542.38	21,121,723.55	250,381,062.47
HCRA Resources Indigent Care - Unmatched	7,457,428.78	11,243,957.32	(383,344.97)	17,998,868.52	36,316,909.65
HCRA Resources Indigent Care - ATB	-	-	-	-	-
Federal DHHS Fund	91,621,063.45	98,254,733.09	39,383,542.37	21,121,723.54	250,381,062.45
Other	-	-	-	-	-
Total Other Financing Sources	190,699,555.68	207,753,423.50	78,383,739.78	60,242,316.61	637,079,034.57
Transfers To Other Pools:					
Public Goods Pool	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers To State Funds:					
HCRA Resources Fund Indigent Care Acct	(3,109,906.24)	(9,359,390.24)	(18,529,410.47)	(2,132.60)	(31,000,839.55)
Total Other Financing Uses	(3,109,906.24)	(9,359,390.24)	(18,529,410.47)	(2,132.60)	(31,000,839.55)
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	3,553.56	(258.19)	(3,043.93)	2,614.10	2,865.54
CLOSING CASH BALANCE	\$ 5,434.72	\$ 5,176.53	\$ 2,132.60	\$ 4,746.70	\$ 4,746.70

Source: HCRA - Office of Pool Administration

APPENDIX E

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2018-2019
(Amounts in thousands)

	2018 APRIL	2018 MAY	2018 JUNE	2018 JULY	2018 AUGUST	2018 SEPTEMBER	2018 OCTOBER	2018 NOVEMBER	2018 DECEMBER	2019 JANUARY	2019 FEBRUARY	2019 MARCH	2018-2019 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-	-	-	-	\$ 1
Education - EXCEL	1,178	443	3,263	899	80	-	1,875	108	-	-	-	-	7,846
Department of Health - All Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	-	-	-	-	-	-	-	-
Regional Development	860	725	343	410	715	226	1,485	553	-	-	-	-	5,317
Community Capital Assistance Program (CCAP)/RESTORE	-	-	-	-	-	-	-	-	-	-	-	-	-
Multi-modal	-	-	-	-	-	-	-	-	-	-	-	-	-
GenYsis	-	-	-	-	-	-	-	-	-	-	-	-	-
SUNY Senior Colleges	19,515	21,647	7,451	20,771	21,444	8,672	37,966	19,137	-	-	-	-	156,593
SUNY Community Colleges	5,072	1,787	622	4,677	3,619	623	7,983	2,543	-	-	-	-	26,926
SUNY Dormitories	-	-	-	-	-	-	-	-	-	-	-	-	-
Upstate Community Colleges	6,444	2,235	2,014	3,558	7,048	7,295	6,825	4,434	-	-	-	-	39,853
Mental Health	9,662	8,727	-	17,898	11,418	2,985	16,342	15,133	-	-	-	-	82,165
Developmental Disabilities	547	1,047	281	1,345	1,475	1,167	3,415	2,424	-	-	-	-	11,701
Alcoholism and Substance Abuse	266	826	-	1,115	484	123	393	209	-	-	-	-	3,416
Brooklyn Court Officer Training Academy	424	595	217	1,286	840	400	188	-	-	-	-	-	3,950
TOTAL DORMITORY AUTHORITY	43,968	38,033	14,191	51,959	47,123	21,491	76,462	44,541	-	-	-	-	337,768
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development	-	-	-	-	-	-	-	-	-	-	-	-	-
Centers of Excellence	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Capital Assistance Program (CCAP)	-	-	-	-	-	-	-	23	-	-	-	-	23
Empire Opportunity	-	-	-	-	-	-	-	-	-	-	-	-	-
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	75	-	-	-	-	-	-	-	75
State Facilities and Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL EMPIRE STATE DEVELOPMENT CORP	-	-	-	-	75	-	-	23	-	-	-	-	98
TOTAL OFF-BUDGET	\$ 43,968	\$ 38,033	\$ 14,191	\$ 51,959	\$ 47,198	\$ 21,491	\$ 76,462	\$ 44,564	\$ -	\$ -	\$ -	\$ -	\$ 337,866

The Division of the Budget (DOB) is responsible for organizing and presenting the above schedule of 'Off Budget Spending'. Such reported disbursements are drawn from unaudited financial data provided by public authorities. Although the Office of the State Comptroller (OSC) has no reason to believe this information to be unreliable, it is important to note that these program disbursements are financed with public authority bond proceeds deposited directly into public authority accounts and all disbursements are made without any oversight by the OSC. Therefore, and pursuant to the provisions of Chapter 60, §16, of the Laws of 2006, this schedule is provided for information only.

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(1)

SFS Fund	ACCOUNT TITLE	August 31, 2018	September 30, 2018	October 31, 2018	Change	November 30, 2018
10050	GENERAL FUND	\$ -	\$ -	\$ -	\$ -	\$ -
	STATE OPERATIONS AND LOCAL ASSISTANCE	-	-	-	-	-
	TOTAL GENERAL FUND	-	-	-	-	-
	CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS					
30051	HIGHWAY AND BRIDGE CAPITAL	22,400,820.72	226,348,104.46	-	-	-
30053	AVIATION PURPOSE ACCOUNT	-	-	-	-	-
30101	REHAB/REPAIR MARITIME	-	-	-	-	-
30102	D21RVE- MARITIME	-	-	-	-	-
30103	D36RVE- CENTRAL ADMIN	-	-	-	-	-
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-
30105	REHAB/REPAIR ALBANY	24,101.51	64,073.99	-	-	-
30106	D01RVE- ALBANY	-	-	-	-	-
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-
30108	D07RVE- BINGHAMTON	-	-	-	-	-
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-
30110	D26RVE- SUNY BUFFALO	-	-	-	-	-
30111	REHAB/REPAIR STONYBROOK	-	-	-	-	-
30112	D13RVE- STONYBROOK	-	-	-	-	-
30113	REHAB/REPAIR BROOKLYN	-	-	-	-	-
30114	D14RVE- HSC BROOKLYN	-	-	-	-	-
30115	REHAB/REPAIR STRACUSE	-	-	-	-	-
30116	D18RVE- HSC STRACUSE	-	-	-	-	-
30117	REHAB/REPAIR BROOKPORT	-	-	-	-	-
30118	D02RVE- BROOKPORT	-	-	-	-	-
30119	REHAB/REPAIR BUFFALO COLLEGE	-	-	-	-	-
30120	D03RVE- SUB BUFFALO	-	-	-	-	-
30121	REHAB/REPAIR CORTLAND	-	-	-	-	-
30122	D04RVE- CORTLAND	-	-	-	-	-
30123	REHAB/REPAIR FREDONIA	-	-	-	-	-
30124	D05RVE- FREDONIA	-	-	-	-	-
30125	REHAB/REPAIR GENESEO	-	-	-	-	-
30126	D06RVE- GENESEO	-	-	-	-	-
30127	REHAB/REPAIR OLD WESTBURY	-	-	-	-	-
30128	D31RVE- OLD WESTBURY	-	-	-	-	-
30129	REHAB/REPAIR NEW PALTZ	-	-	-	-	-
30130	D08RVE- NEW PALTZ	-	-	-	-	-
30131	REHAB/REPAIR ONEONTA	-	-	-	-	-
30132	D09RVE- ONEONTA	-	-	-	-	-
30133	REHAB/REPAIR OSWEGO	-	-	-	-	-
30134	D10RVE- OSWEGO	-	-	-	-	-
30135	REHAB/REPAIR PLATTSBURGH	-	-	-	-	-
30136	D11RVE- PLATTSBURGH	-	-	-	-	-
30137	REHAB/REPAIR POTSDAM	-	-	-	-	-
30138	D12RVE- POTSDAM	-	-	-	-	-
30139	REHAB/REPAIR PURCHASE	-	-	-	-	-
30140	D36RVE- PURCHASE	-	-	-	-	-
30141	REHAB/REPAIR FOR UTICA/ROME	-	-	-	-	-
30142	D27RVE- CAMPUS RESERVE	-	-	-	-	-
30143	REHAB/REPAIR ALFRED	-	-	-	-	-
30144	D22RVE- ALFRED	-	-	-	-	-
30145	REHAB/REPAIR CANTON	-	-	-	-	-
30146	D23RVE- CANTON	-	-	-	-	-
30147	REHAB/REPAIR COBLESKILL	-	-	-	-	-
30148	D24RVE- COBLESKILL	-	-	-	-	-
30149	REHAB/REPAIR DELHI	-	-	-	-	-
30150	D25RVE- DELHI	-	-	-	-	-
30151	REHAB/REPAIR FARMINGDALE	-	-	-	-	-
30152	D26RVE- FARMINGDALE	-	-	-	-	-
30153	REHAB/REPAIR MORRISVILLE	-	-	-	-	-
30154	D27RVE- MORRISVILLE	-	-	-	-	-
30351	STATE PARK INFRASTRUCTURE	64,880,325.64	73,653,103.41	85,200,872.27	7,039,531.14	92,240,403.41
30501	CW/CA IMPLEMENTATION DEC	-	-	-	-	-
30502	CW/CA IMPLEMENTATION STATE	-	-	-	-	-
30503	CW/CA IMPLEMENTATION ERDA	-	-	-	-	-
30504	CW/CA IMPLEMENTATION EFC	-	-	-	-	-
31506	HAZARDOUS WASTE CLEAN UP	142,360,077.05	148,531,435.53	157,215,018.26	7,707,756.33	164,922,774.59
31701	YOUTH FACILITIES IMPROVEMENT	55,561,287.79	59,460,060.71	62,104,847.11	3,401,185.04	65,506,032.15
31801	HOUSING ASSISTANCE	13,108,506.19	13,108,506.19	13,108,506.19	-	13,108,506.19
31851	HOUSING PROG FD-HSG TR FD CORP	145,865,586.15	149,855,136.15	149,855,136.15	-	149,855,136.15
31852	HOUSING PROG FD AFFORD HSG CORP	57,911,177.48	65,116,000.11	65,116,000.11	-	73,365,547.22
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	118,513,306.94	134,263,306.94	134,263,306.94	8,249,547.11	134,263,306.94
31854	HOUSING PROG FD-HEA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	12,366,984.78	12,366,984.78	12,380,300.24	-	12,380,300.24

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	August 31, 2018	September 30, 2018	October 31, 2018	Change	November 30, 2018
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32214	CAPITAL PROJECT MISC GIFTS	-	-	-	-	-
32215	IT CAPITAL FINANCING ACCT	767,873.85	775,143.16	784,065.77	9,216.20	793,281.97
32219	NY ENVIRONMENTAL PROTECTION & SPILL REMEDIATION	-	-	-	-	-
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUNITY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	169,029,275.96	161,865,853.21	163,542,944.67	(7,730,280.66)	155,812,664.01
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	ASAS-COMMUNITY FACILITIES	274,865,310.02	278,124,610.18	255,715,868.76	204,500.00	255,920,368.76
32306	DASNY - OMH ADMIN	18,009,874.30	14,509,191.46	12,641,762.91	-	12,641,762.91
32307	DASNY - OPWDD ADMIN	10,302,117.20	10,302,117.20	2,568,164.87	-	2,568,164.87
32308	DASNY - OASAS ADMIN	1,952,946.02	1,952,946.02	732,677.42	-	732,677.42
32309	OMH - STATE FACILITIES	207,942,082.22	205,282,892.31	187,844,827.83	9,670,147.87	197,514,975.70
32310	OPWDD - STATE FACILITIES	-	-	-	-	-
32311	OASAS - STATE FACILITIES	53,606.38	53,606.38	670,412.04	324,773.93	995,185.97
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	325,132,004.70	355,462,648.11	388,797,083.26	30,990,331.34	419,787,414.60
32352	DOCS-REHABILITATION PROJECTS	83,522,573.30	84,316,108.09	84,941,813.24	495,386.06	85,141,199.30
33001	STORM RECOVERY ACCOUNT	-	-	-	-	-
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	1,721,723,583.20	1,995,845,576.39	1,177,337,398.04	60,596,264.27	1,837,933,622.31
STATE SPECIAL REVENUE FUNDS						
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	18,815,836.25	45,123,170.34	-	32,509,846.30	32,509,846.30
20818	EPIC PREMIUM ACCOUNT	319,495.25	11,830,683.30	-	5,509,774.16	5,509,774.16
20901	LOTTERY-EDUCATION	-	1,335,956,045.23	1,081,677,399.26	(142,258,997.22)	939,418,402.04
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,753,517.21	3,815,781.29	3,895,979.33	61,413.66	3,957,392.99
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21064	UTILITY ENVIRONMENTAL REGULATORY ACCOUNT	-	-	-	-	-
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	-	502,131.45	1,451,151.01	666,038.95	2,117,209.96
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	3,831,224.96	4,002,371.89	4,188,892.37	(565,285.77)	3,624,606.60
21067	ENCON-RECREATION	-	-	-	-	-
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	48,283,147.72	43,303,518.17	41,961,717.50	598,130.01	42,559,847.51
21082	NATURAL RESOURCES ACCOUNT	13,905,143.11	13,388,009.95	13,235,356.34	(148,808.26)	13,086,548.08
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	470,862.66	521,474.68	601,495.49	51,955.16	653,450.65
21202	HEALTH DEPT OIL SPILL	165,229.16	190,882.09	228,699.06	21,085.08	249,784.14
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	9,960,630.03	11,437,109.92	13,332,368.05	1,566,706.16	14,899,074.21
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	47,735,804.77	20,280,452.03	-	199,468,283.30	199,468,283.30
21402	METROPOLITAN MASS TRANSPORTATION	25,976,949.51	27,315,858.78	24,765,937.49	453,914.12	25,159,851.61
21451	OPERATING PERMIT PROGRAM	804,697.49	5,066,732.61	1,941,779.24	(675,611.96)	1,266,167.28
21452	MOBILE SOURCE	-	-	-	-	-
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	-	-	-	-	-
21907	MENTAL HYGIENE PROGRAM	-	-	-	-	-
21909	MENTAL HYGIENE PATIENT INCOME ACCOUNT	-	-	-	-	-
21911	FINANCIAL CONTROL BOARD	787,197.42	966,842.85	340,654.01	-	-
21912	RACING REGULATION ACCOUNT	3,631,399.23	3,169,491.22	2,906,689.15	191,457.28	532,111.29
21913	NY METROPOLITAN TRANSPORTATION COUNCIL	18,292,577.21	18,292,577.21	18,292,577.21	172,226.57	3,078,915.72
21937	SU DORM INCOME REIMBURSE	908,643.51	517,630.68	5,630,868.04	-	18,292,577.21
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	(5,306,608.48)	324,259.56
21959	ENV LAB REF FEE	-	-	-	-	-
21962	CLINICAL LAB FEE	10,867,197.87	12,051,694.82	9,979,606.38	(6,586.91)	9,973,019.47
21978	INDIRECT COST RECOVERY	-	-	-	-	-
21979	HIGH SCHOOL EQUIVALENCY PROGRAM	-	-	-	-	-
21989	MULTI- AGENCY TRAINING ACCOUNT	-	-	-	-	-
22003	BELL JAR COLLECTION ACCOUNT	-	-	-	-	-
22004	INDUSTRY AND UTILITY SERVICE	-	-	-	-	-
22006	REAL PROPERTY DISPOSITION	-	-	-	-	-
22007	PARKING ACCOUNT	-	-	-	-	-
22008	COURTS SPECIAL GRANTS	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	168,846.63	161,553.07	148,858.15	(3,590.40)	145,267.75
22032	BATAVIA SCHOOL FOR THE BLIND	8,862,710.48	8,669,942.58	9,125,303.84	764,814.03	9,890,117.87
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	951,957.82	1,237,810.02	353,666.31	286,389.07	640,035.38
22046	REGULATION INDIAN GAMING	76,533,323.31	76,435,334.04	77,923,763.70	1,128,606.93	79,023,370.63
22053	ROME SCHOOL FOR THE DEAF	1,523,569.23	1,259,444.64	1,903,636.93	633,796.85	2,737,633.78

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	Account Title	August 31, 2018	September 30, 2018	October 31, 2018	Change	November 30, 2018
22054	DSP-SEIZED ASSETS	5,175,239.36	5,071,414.80	5,047,683.83	(161,117.42)	4,886,566.41
22055	ADMINISTRATIVE ADJUDICATION	11,480,901.67	18,398,252.43	16,163,675.70	(3,334,493.11)	12,809,182.59
22056	FEDERAL SALARY SHARING	2,046,519.13	2,176,990.23	2,442,735.94	114,030.10	2,556,766.04
22062	NYC ASSESSMENT ACCT	-	-	-	-	-
22063	CULTURAL EDUCATION ACCOUNT	4,662,239.86	4,182,439.10	4,877,639.58	(326,283.29)	4,551,356.29
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-
22085	DHCR MORTGAGE SERVICES	11,863,827.72	12,105,889.22	12,442,310.76	247,911.10	12,690,221.86
22090	HOUSING INDIRECT COST RECOVERY	766,505.95	1,016,500.62	1,374,346.98	248,043.74	1,622,389.72
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	4,800,436.64	5,383,285.40	5,797,051.43	341,021.24	6,138,072.67
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-
22144	MONTROSE VETERAN'S HOME	-	-	-	-	-
22151	DEFERRED COMPENSATION ADMIN	293,684.14	350,193.77	422,988.10	(347,476.03)	75,512.07
22156	RENT REVENUE OTHER - NYC	4,941,767.90	16,262,015.39	20,822,091.88	4,052,885.48	24,874,977.36
22158	RENT REVENUE	-	-	-	-	-
22188	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-
22751	S.U. NON-RESIDENT REV. OFFSET	19,913,275.02	19,949,884.15	19,983,232.65	36,911.43	20,020,144.08
22802	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-
22802	STATE POLICE M/V ENFORCE	-	-	-	-	-
23001	DOT - HIGHWAY SAFETY PRGM	11,181,409.77	11,435,855.09	11,765,832.32	17,783.05	11,783,615.37
23102	DOH DRINKING WATER PROGRAM	5,350,949.70	5,350,949.70	5,350,949.70	-	5,350,949.70
23151	NYCCC OPERATING OFFSET	40,309,535.66	42,176,122.91	46,246,163.40	2,335,942.01	48,584,105.41
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-
23702	COMMERCIAL GAMING REGULATION	-	-	-	-	-
23800	INTERSTATE RECIPROcity FOR POST SEC DIST ED	10,928,723.70	11,284,717.09	11,756,263.93	362,531.66	12,118,795.59
23801	HIGHWAY USE TAX ADMIN	-	-	-	-	-
23806	NYS SECURE CHOICE ADMIN	-	-	-	-	-
24951	FANTASY SPORTS ADMINISTRATION	-	-	-	-	-
	TOTAL STATE SPECIAL REVENUE FUNDS	430,965,299.05	1,301,241,455.76	1,478,301,565.06	98,894,637.59	1,577,186,202.65
	FEDERAL FUNDS					
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	8,808,884.60	5,304,239.37	10,112,289.61	(110,529.40)	10,001,760.21
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	481,228,663.29	483,007,222.93	660,402,486.89	(357,048,232.44)	303,354,264.45
25200-25249	FEDERAL EDUCATION GRANTS FUND	58,830,191.63	148,693,136.60	176,707,004.88	(154,192,675.68)	22,514,329.20
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-
25300-25399	FEDERAL OPERATING GRANTS FUND	450,317,635.89	453,711,934.08	462,925,638.02	170,145,662.40	633,071,300.42
31351	MILITARY AND NAVAL AFFAIRS	8,563,528.84	8,661,821.31	8,948,560.38	1,376,177.07	10,324,737.45
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	383,017,093.31	288,605,546.65	469,140,272.83	(48,951,319.08)	420,188,953.75
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	77,907,972.51	93,467,777.90	109,670,254.59	62,082.79	109,732,337.38
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	9,876,080.00	6,245,905.25	14,226,125.85	4,241,996.38	18,468,122.23
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	348,658.12	457,885.25	392,389.05	353,460.25	353,460.25
	TOTAL FEDERAL FUNDS	1,480,046,869.59	1,488,655,690.10	1,913,905,516.35	(384,149,623.31)	1,529,755,893.01
	AGENCY FUNDS					
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-
	TOTAL AGENCY FUNDS	-	-	-	-	-
	ENTERPRISE FUND					
50318	OGS CONVENTION CENTER ACCOUNT	148,512.25	240,354.11	335,985.95	(17,805.84)	318,180.11
50327	EMPIRE PLAZA GIFT SHOP	172,522.79	195,148.23	221,431.57	(41,399.76)	180,031.81
	TOTAL ENTERPRISE FUND	321,035.04	435,502.34	557,417.52	(59,205.60)	498,211.92
	INTERNAL SERVICE FUNDS					
55001	CENTRALIZED SERVICES-FLEET MGMT	109,704.24	205,298.95	397,778.73	108,229.72	506,008.45
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-
55003	CENTRALIZED SERVICES-PRINTING	1,372,727.11	1,300,275.54	1,288,537.22	108,699.74	1,397,236.96
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-
55005	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	1,711,913.46	2,269,932.36	2,553,529.34	(477,801.47)	2,075,727.87
55008	CENTRALIZED SERVICES-PASNY	13,450,535.79	14,593,520.78	15,203,756.28	1,556,527.25	16,760,283.53
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	6,860,630.21	9,915,313.25	9,137,386.64	(3,700,536.72)	5,436,851.92
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	88,946.34	169,610.34	181,879.34	(3,942.99)	177,936.35
55011	CENTRALIZED SERVICES-INSURANCE	-	-	-	-	-
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	-	-	-	-	-
55013	CENTRALIZED SERVICES-COPS	-	-	-	-	-
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-
55015	CENTRALIZED SERVICES-HOMER FOLKS	1,969,176.56	1,946,265.72	2,034,835.63	(186,720.83)	1,848,114.80
55016	CENTRALIZED SERVICES-IMMICS	326,644.61	342,869.81	423,277.75	(99,867.08)	323,410.67
55017	DOWNSTATE WAREHOUSE	6,876,095.25	6,314,966.09	6,781,184.50	1,196,727.69	7,977,912.19
55018	BUILDING ADMINISTRATION	-	-	-	-	-

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	August 31, 2018	September 30, 2018	October 31, 2018	Change	November 30, 2018
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	O&S ENTERPRISE CONTRACTING ACCT	28,344,086.01	36,574,550.38	40,793,139.45	294,618.33	41,087,757.78
55021	NYS MEDIA CENTER	4,953,638.09	4,911,510.10	5,035,369.26	366,313.31	5,401,682.57
55022	BUSINESS SERVICES CENTER	2,838,046.20	3,464,448.54	4,397,226.38	534,122.49	4,931,348.87
55052	ARCHIVES RECORD MGMT I/S	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	24,003.53	152,119.13	93,401.65	245,520.78
55057	BANKING SERVICES ACCOUNT	37,066.01	4,391.50	41,925.48	(16,535.06)	25,390.42
55058	CULTURAL RESOURCE SURVEY	2,371,919.75	2,740,065.32	2,995,758.53	184,036.60	3,179,795.13
55059	NEIGHBOR WORK PROJECT	10,610,712.93	10,108,519.75	10,065,800.50	(961,494.52)	9,104,305.98
55060	AUTOMATIC/PRINT CHARGEBACKS	1,542,811.47	-	325,535.26	1,143,378.58	1,468,913.84
55061	OFT NYT ACCT	2,048,108.24	2,048,108.24	2,042,518.24	7,075.97	2,049,594.21
55062	DATA CENTER ACCOUNT	45,448,438.77	45,448,438.77	45,448,438.77	-	45,448,438.77
55066	CYBER SECURITY INTRUSION ACCT	1,261,584.27	1,261,584.27	1,261,584.27	-	1,261,584.27
55067	DOMESTIC VIOLENCE GRANT	59,589.92	53,662.08	74,839.44	32,045.89	108,885.33
55069	CENTRALIZED TECHNOLOGY SERVICES	65,030,746.28	64,677,556.18	66,314,412.61	1,000,396.07	67,314,808.68
55071	LABOR CONTACT CENTER ACCT	499,082.65	648,542.60	846,081.82	(289,412.99)	556,668.83
55072	HUMAN SERVICES CONTACT CNTR ACCT	-	1,722,758.08	2,924,076.80	(2,592,189.50)	331,887.30
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55074	CIVIL RECOVERIES ACCT	15,889,182.52	17,463,527.93	18,105,751.09	967,542.24	19,073,293.33
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	8,682,285.72	9,253,609.61	9,179,074.74	375,130.16	10,154,204.90
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	33,495,311.20	35,620,228.00	38,103,742.70	2,997,046.52	41,100,789.22
55300	HEALTH INSURANCE INTERNAL SERVICE	11,252,413.79	12,224,302.82	13,481,588.47	1,173,969.93	14,655,578.40
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	3,626,101.63	3,763,004.77	3,063,382.40	(475,806.72)	2,587,575.66
55350	CORR INDUSTRIES INTERNAL SERVICE	29,184,676.70	30,931,174.05	32,592,423.20	882,135.33	33,474,558.53
	TOTAL INTERNAL SERVICE FUNDS	299,992,195.72	320,062,237.16	335,846,955.97	4,217,109.59	340,064,065.56
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	\$ 3,933,048,982.59	\$ 5,606,240,461.75	\$ 5,505,948,812.84	\$ (220,510,817.49)	\$ 5,285,437,995.45

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 59, Part BBB, Section 1, of the Laws of 2018-19. The loans represent authorizations made by the Legislature to allow certain funds/accounts to make appropriated payments regardless of the fund (cash) balance. Such loans are made from the State's Short-Term Investment Pool (STIP) and are intended to satisfy temporary cash shortfalls whenever scheduled disbursements exceed available revenues during the fiscal year. Generally, temporary loans are repaid from the first cash receipts of the fund or account; however, in some cases actual revenues are not sufficient to repay all loans made to the fund or account and a transfer from the General Fund "Repayment of Receivables" appropriation is approved by the Budget Director. The balances reported here in Appendix F are the actual fund balances as of the close of business on the last day of the reporting month and do not include post-closing adjustments. Please refer to Schedule 1 for a detailed analysis of the "reported" cash balances of the fund group.

(**) Temporary loans to federal funds are typically reimbursed within 2-3 days. Such loans are made pursuant to federal regulations which require the State to disburse funds prior to making a reimbursement claim from the U.S. Treasury.

(***) Per Section 72 of the State Finance Law, the General Fund includes the Local Assistance Fund (10000) and State Purpose Fund (10050).

STATE OF NEW YORK DEDICATED INFRASTRUCTURE INVESTMENT FUND (*) STATEMENT OF RECEIPTS AND DISBURSEMENTS FISCAL YEAR 2018-2019														APPENDIX C
	2018 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2019 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30, 2018	
OPENING CASH BALANCE	\$ 61,655,957	\$ 135,765,684	\$ 191,206,988	\$ 266,815,434	\$ 212,303,783	\$ 328,687,237	\$ 238,468,147	\$ 78,500,952					\$ 61,655,957	
RECEIPTS:														
Transfers from General Fund (**)	100,000,000	200,000,000	170,000,000	80,000,000	200,000,000	-	-	150,000,000	-	-	-	-	900,000,000	
Total Receipts	100,000,000	200,000,000	170,000,000	80,000,000	200,000,000	-	-	150,000,000	-	-	-	-	900,000,000	
DISBURSEMENTS:														
Affordable and Homeless Housing	2,000,000	28,512,817	-	-	-	1,899,681	-	1,600,000	-	-	-	-	34,012,498	
Broadband Initiative	6,122,914	4,460,310	6,175,544	4,566,866	3,667,643	13,503,057	2,773,263	24,629,393	-	-	-	-	65,898,990	
Downtown Revitalization	513,141	42,196	896,108	71,083	-	23,638	-	-	-	-	-	-	1,546,166	
Health Care / Hospital Initiatives	2,834,953	2,747,912	2,602,340	2,756,547	2,643,273	3,828,458	5,975,088	1,410,425	-	-	-	-	24,798,996	
Empire State Poverty Reduction Initiatives	531,642	608,224	928,214	888,906	428,319	1,416,327	2,328,798	491,211	-	-	-	-	7,621,601	
Information Technology/Infrastructure for Behavioral Sciences	-	-	(59,639)	-	78,627	-	6,945	9,655	-	-	-	-	35,588	
Infrastructure Improvements	15,989	-	2,662,996	697,012	1,175,379	1,100,965	183,134	1,698,752	-	-	-	-	7,534,247	
Jacob Javits Center Expansion	-	68,411,544	2,108,000	82,763,713	-	-	84,750,385	79,871,102	-	-	-	-	315,796,744	
Life Sciences Initiative	-	7,500,000	-	-	-	1,286,435	-	-	-	-	-	-	10,874,435	
Municipal Restructuring / Consolidation Competition	372,477	-	391,037	-	-	-	1,332,784	37,675	-	-	-	-	2,133,973	
Penn Station Access	-	-	-	-	-	-	-	-	-	-	-	-	-	
Resiliency, Mitigation, Security and Emergency Response	3,622,682	11,881,706	(3,152,844)	12,837,911	7,646,835	3,623,435	3,547,942	3,365,333	-	-	-	-	43,373,000	
Southern Tier / Hudson Valley Farm Initiative	134,401	49,376	1,948,902	87,164	1,375,076	29,700	-	174,288	-	-	-	-	3,802,907	
Thruway Station Access	4,291,738	19,143,308	67,699,706	19,710,005	44,072,974	28,282,067	43,427,892	74,021,287	-	-	-	-	300,648,977	
Transformative Economic Development Projects	4,200	775,821	8,590,634	2,515,440	101,500	7,744,336	10,705,370	205,796	-	-	-	-	30,643,997	
Transportation Capital Plan	-	-	3,006,528	15,186	-	17,166,414	-	-	-	-	-	-	20,190,128	
Update Revitalization Program	5,446,136	425,482	592,028	7,601,818	22,422,920	10,334,557	4,935,634	777,416	-	-	-	-	52,535,991	
Total Disbursements	25,890,273	144,558,696	94,391,554	134,511,651	83,616,546	90,219,090	159,967,195	188,292,333	-	-	-	-	921,447,338	
OPERATING TRANSFERS:														
Transfers to General Fund	-	-	-	-	-	-	-	-	-	-	-	-	-	
Total Operating Transfers	-	-	-	-	-	-	-	-	-	-	-	-	-	
Total Disbursements and Transfers	25,890,273	144,558,696	94,391,554	134,511,651	83,616,546	90,219,090	159,967,195	188,292,333	-	-	-	-	921,447,338	
CLOSING CASH BALANCE	\$ 135,765,684	\$ 191,206,988	\$ 266,815,434	\$ 212,303,783	\$ 328,687,237	\$ 238,468,147	\$ 78,500,952	\$ 40,208,619	\$ -	\$ -	\$ -	\$ -	\$ 40,208,619	

(*) Fund created pursuant to Chapter 60, Laws of 2015-16, Part H and SFL § 93-b

(**) Pursuant to Section 93(b) of the State Finance Law