December 27, 2017
Vol. XXXIX
Issue 52

DEPARTMENT OF STATE
Division of Administrative Rules

NEW YORK STATE REGISTER

INSIDE THIS ISSUE:

- Temporary Certificate for Teachers Displaced from Puerto Rico and/or Another U.S. Territory to Teach in NY
- Biological Products in the Profession of Pharmacy
- Public Retirement Systems

Regulatory Agenda
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 45 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 45 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 25, 2018
– the 45-day period expires on February 10, 2018
– the 30-day period expires on January 26, 2018

ANDREW M. CUOMO
GOVERNOR

ROSSANA ROSADO
SECRETARY OF STATE

NEW YORK STATE DEPARTMENT OF STATE

For press and media inquiries call:
(518) 474-0050

For ***State Register*** production, scheduling and subscription information
call: (518) 474-6957
E-mail: adminrules@dos.ny.gov

For legal assistance with ***State Register*** filing requirements
call: (518) 474-6740
E-mail: dos.dl.inetcounsel@dos.ny.gov

The ***New York State Register*** is now available on-line at:
www.dos.ny.gov/info/register.htm

*The **New York State Register** (ISSN 0197 2472) is published weekly. Subscriptions are $80 per year for first class mailing and $40 per year for periodical mailing. The **New York State Register** is published by the New York State Department of State, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001. Periodical postage is paid at Albany, New York and at additional mailing offices.*

POSTMASTER: Send address changes to NY STATE REGISTER, the Department of State, Division of Administrative Rules, One Commerce Plaza, 99 Washington Avenue, Albany, NY 12231-0001

printed on recycled paper

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 45-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

Each paid subscription to the *New York State Register* includes one weekly issue for a full year and four "Quarterly Index" issues. The Quarterly is a cumulative list of actions that shows the status of every rule making action in progress or initiated within a calendar year.

The *Register* costs $80 a year for a subscription mailed first class and $40 for periodical (second) class. Prepayment is required. To order, send a check or money order payable to the NYS Department of State to the following address:

NYS Department of State
One Commerce Plaza
99 Washington Avenue
Suite 650
Albany, NY 12231-0001
Telephone: (518) 474-6957

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

Civil Service, Department of

1 / Jurisdictional Classification (A)
5 / Supplemental Military Leave Benefits (A)
5 / Jurisdictional Classification (A)

Education Department

10 / Continuing Teacher and Leader Education for Teachers in Nonpublic Schools (E)
11 / Temporary Certificate for Teachers Displaced from Puerto Rico and/or Another U.S. Territory to Teach in NY (E)
14 / Biological Products in the Profession of Pharmacy (EP)
18 / Superintendent Determination for Certain Students with Disabilities to Graduate with a Local Diploma (EP)
22 / Requirements Relating to the EdTPA Teacher Certification Examination (A)
24 / Eligibility Criteria for the Tuition Assistance Program (A)
24 / Principal Preparation Programs and Annual Professional Performance Reviews (A)
24 / Requires Teachers to Complete a Mentoring Program During Their First Year of Teaching (P)
27 / Creation of New Certification Area and Tenure Area in the Classroom Teaching Service for Computer Science (P)
31 / Alternative Teacher Certification Program Models (P)
32 / Grade-Level Extensions for Certain Candidates Who Hold a Students with Disabilities Generalist Certificate (P)

Financial Services, Department of

35 / Public Retirement Systems (E)
38 / Special Risk Insurance (P)
38 / Suitability in Life Insurance and Annuity Transactions (P)

Health, Department of

41 / Medical Use of Marihuana (A)

Information Technology Services, Office of

41 / Implementing the Electronic Signatures and Records Act (P)
42 / Concerning State Agency Internet Posting of Application Forms (P)
43 / Providing Public Access to the Records of the Office of Information Technology Services (P)
43 / Providing Access to Personal Information (P)

Power Authority of the State of New York

45 / Rates for the Sale of Power and Energy (A)

Public Service Commission

45 / Oversight and Support of Clean Energy Fund and Related NYSERDA Activities (P)
45 / Development of an Aggregation Standard for Release of Customer Usage Information That Protects the Privacy of Customers (P)
46 / SUEZ O-N's Rates of the Forest Park Systems for the Provision of Water (P)
46 / Waiver of PSC Regulations, 16 NYCRR, Sections 86.3(a)(2), (b)(2) and 88.4(a)(4) (P)
46 / Daily Delivery Service (DDS) Program; Winter Bundled Sales Service (WBSS) and Managed Sup-

ply Service (MSS) Programs (P)
47 / Petition to Submeter Electricity (P)
State, Department of
47 / Establishment of the Identity Theft Prevention and Mitigation Program (EP)
Workers' Compensation Board
49 / Impairment Guidelines for Schedule Loss of Use Evaluations (A)
50 / Establishment of Prescription Drug Formulary (P)
Hearings Scheduled for Proposed Rule Makings / 53
Action Pending Index / 55

Regulatory Agenda
101 / Motor Vehicles, Department of

Rule Review
103 / Motor Vehicles, Department of

Securities Offerings
105 / State Notices

Miscellaneous Notices/Hearings
107 / Notice of Abandoned Property Received by the State Comptroller
107 / Public Notice

Financial Reports / 111

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 Civil Service

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00006-A
Filing No. 1065
Filing Date: 2017-12-07
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00006-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00008-A
Filing No. 1058
Filing Date: 2017-12-07
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text of final rule: At a meeting of the State Civil Service Commission held November 15, 2016, the following resolution was adopted pursuant to Section 6 of the Civil Service Law:

RESOLVED, That subject to the approval of the Governor, Appendix 1 of the Rules for the Classified Service, listing positions in the exempt class, in the Executive Department under the subheading "Gaming Commission," be and hereby is amended by adding thereto the following position:

Director Office of Racing and Promotion Development

it having been determined that competitive or non-competitive classification is not practicable for filling this position.

Final rule as compared with last published rule: Nonsubstantive changes were made in Appendix 1.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Revised Regulatory Impact Statement, Regulatory Flexibility Analysis, Rural Area Flexibility Analysis and Job Impact Statement
Changes made to the last published rule do not necessitate revision to the previously published RIS, RFA, RAFA, and JIS.

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00010-A
Filing No. 1059
Filing Date: 2017-12-07
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00010-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00011-A
Filing No. 1060
Filing Date: 2017-12-07
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify a position in the exempt class.
Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00011-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00012-A
Filing No. 1064
Filing Date: 2017-12-07
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To delete a position from and classify a position in the exempt class.
Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00012-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00013-A
Filing No. 1062
Filing Date: 2017-12-07
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify a position in the exempt class.
Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00013-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00014-A
Filing No. 1057
Filing Date: 2017-12-07
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To delete a position from and classify a position in the exempt class.
Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00014-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-01-17-00015-A
Filing No. 1061
Filing Date: 2017-12-07
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify a position in the exempt class.
Text or summary was published in the January 4, 2017 issue of the Register, I.D. No. CVS-01-17-00015-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-04-17-00003-A
Filing No. 1063
Filing Date: 2017-12-07
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the January 25, 2017 issue of the Register, I.D. No. CVS-04-17-00003-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-04-17-00004-A

Filing No. 1066

Filing Date: 2017-12-07

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the January 25, 2017 issue of the Register, I.D. No. CVS-04-17-00004-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-07-17-00004-A

Filing No. 1084

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the February 15, 2017 issue of the Register, I.D. No. CVS-07-17-00004-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-07-17-00005-A

Filing No. 1077

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the February 15, 2017 issue of the Register, I.D. No. CVS-07-17-00005-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-07-17-00006-A

Filing No. 1083

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the February 15, 2017 issue of the Register, I.D. No. CVS-07-17-00006-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-07-17-00007-A

Filing No. 1086

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the February 15, 2017 issue of the Register, I.D. No. CVS-07-17-00007-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00004-A
Filing No. 1085
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 2 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify a position in the non-competitive class.
Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00004-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00005-A
Filing No. 1078
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 2 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To delete a position from and classify a position in the non-competitive class.
Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00005-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00006-A
Filing No. 1079
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 2 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To delete positions from and classify positions in the non-competitive class.
Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00006-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00007-A
Filing No. 1081
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify positions in the exempt class.
Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00007-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00008-A
Filing No. 1080
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 2 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify a position in the non-competitive class.
Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00008-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00009-A
Filing No. 1082
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 2 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify positions in the non-competitive class.
Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00009-P.
Final rule as compared with last published rule: No changes.

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-12-17-00010-A

Filing No. 1089

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the exempt class.

Text or summary was published in the March 22, 2017 issue of the Register, I.D. No. CVS-12-17-00010-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Supplemental Military Leave Benefits

I.D. No. CVS-17-17-00002-A

Filing No. 1095

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of sections 21.15 and 28-1.17 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Supplemental military leave benefits.

Purpose: To extend the availability of supplemental military leave benefits for certain New York State employees until December 31, 2017.

Text or summary was published in the April 26, 2017 issue of the Register, I.D. No. CVS-17-17-00002-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00001-A

Filing No. 1090

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00001-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00003-A

Filing No. 1087

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00003-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00004-A

Filing No. 1093

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00004-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00005-A

Filing No. 1091

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00005-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

At its regularly scheduled public meeting, held in Albany, NY on March 15, 2017, the State Civil Service Commission approved multiple positions in this job title for placement outside of the competitive class. Article V, section 6, of the State Constitution requires that appointments in the classified service of the State shall be "made according to merit and fitness, to be ascertained, as far as practicable, by examination which, as far as practicable, shall be competitive…" In Civil Service Law sections 41 and 42, the Legislature has set forth classes of positions for which competitive examination is not practicable, thereby authorizing the filling of positions in the exempt and non-competitive jurisdictional classes, respectively. The State Civil Service Commission may place positions and titles in exempt and non-competitive classes in accordance with powers conferred by section 6 of the Civil Service Law.

Thirty-four (34) public comments were received opposing the Commission's placement of the positions subject to this rule making outside of the competitive class. All submitters identified themselves as current or former State employees or as affiliated with the Public Employees Association Inc., AFL-CIO. Almost all of the public comments were duplicative "form letter"-style responses. No public comment clearly set forth why competitive examination was practicable for the subject positions or proposed any alternative to the proposed rule making, other than to posit that the proposed jurisdictional classification was somehow contrary to or a purported circumvention of the merit system. By contrast, the appointing authority and Department of Civil Service personnel professionals have established, in detail, why competitive examination would be impracticable for the subject positions based upon the carefully articulated duties and qualifications necessary for successful job performance. Accordingly, the Commission continues to find that these positions properly belong outside of the competitive class and this amendment to the Appendices of Title 4 of NYCRR has been approved for adoption without modification.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00006-A
Filing No. 1094
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00006-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00007-A
Filing No. 1088
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00007-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00009-A
Filing No. 1092
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the non-competitive class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00009-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00010-A
Filing No. 1096
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00010-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00011-A
Filing No. 1097
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify positions in the exempt class.
Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00011-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
At its regularly scheduled public meeting, held in Albany, NY on March 15, 2017, the State Civil Service Commission approved multiple positions in this job title for placement outside of the competitive class. Article V, section 6, of the State Constitution requires that appointments in the classified service of the State shall be "made according to merit and fitness, to be ascertained, as far as practicable, by examination which, as far as practicable, shall be competitive…" In Civil Service Law sections 41 and 42, the Legislature has set forth classes of positions for which competitive examination is not practicable, thereby authorizing the filling of positions in the exempt and non-competitive jurisdictional classes, respectively. The State Civil Service Commission may place positions and titles in exempt and non-competitive classes in accordance with powers conferred by section 6 of the Civil Service Law.

Thirty-four (34) public comments were received opposing the Commission's placement of the positions subject to this rule making outside of the competitive class. All submitters identified themselves as current or former State employees or as affiliated with the Public Employees Association Inc., AFL-CIO. Almost all of the public comments were duplicative "form letter"-style responses. No public comment clearly set forth why competitive examination was practicable for the subject positions or proposed any alternative to the proposed rule making, other than to posit that the proposed jurisdictional classification was somehow contrary to or a purported circumvention of the merit system. By contrast, the appointing authority and Department of Civil Service personnel professionals have established, in detail, why competitive examination would be impracticable for the subject positions based upon the carefully articulated duties and qualifications necessary for successful job performance. Accordingly, the Commission continues to find that these positions properly belong outside of the competitive class and this amendment to the Appendices of Title 4 of NYCRR has been approved for adoption without modification.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-18-17-00015-A
Filing No. 1105
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To classify positions in the exempt class.
Text or summary was published in the May 3, 2017 issue of the Register, I.D. No. CVS-18-17-00015-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
At its regularly scheduled public meeting, held in Albany, NY on March 15, 2017, the State Civil Service Commission approved multiple positions in this job title for placement outside of the competitive class. Article V, section 6, of the State Constitution requires that appointments in the classified service of the State shall be "made according to merit and fitness, to be ascertained, as far as practicable, by examination which, as far as practicable, shall be competitive…" In Civil Service Law sections 41 and 42, the Legislature has set forth classes of positions for which competitive examination is not practicable, thereby authorizing the filling of positions in the exempt and non-competitive jurisdictional classes, respectively. The State Civil Service Commission may place positions and titles in exempt and non-competitive classes in accordance with powers conferred by section 6 of the Civil Service Law.

Thirty-four (34) public comments were received opposing the Commission's placement of the positions subject to this rule making outside of the competitive class. All submitters identified themselves as current or former State employees or as affiliated with the Public Employees Association Inc., AFL-CIO. Almost all of the public comments were duplicative "form letter"-style responses. No public comment clearly set forth why competitive examination was practicable for the subject positions or proposed any alternative to the proposed rule making, other than to posit that the proposed jurisdictional classification was somehow contrary to or a purported circumvention of the merit system. By contrast, the appointing authority and Department of Civil Service personnel professionals have established, in detail, why competitive examination would be impracticable for the subject positions based upon the carefully articulated duties and qualifications necessary for successful job performance. Accordingly, the Commission continues to find that these positions properly belong outside of the competitive class and this amendment to the Appendices of Title 4 of NYCRR has been approved for adoption without modification.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00001-A
Filing No. 1100
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)
Subject: Jurisdictional Classification.
Purpose: To delete a position from and classify a position in the exempt class.
Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00001-P.
Final rule as compared with last published rule: No changes.
Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov
Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00002-A
Filing No. 1106
Filing Date: 2017-12-12
Effective Date: 2017-12-27

PURSUANT TO THE PROVISIONS OF THE State Administrative Procedure Act, NOTICE is hereby given of the following action:
Action taken: Amendment of Appendix 1 of Title 4 NYCRR.
Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00002-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00003-A

Filing No. 1102

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00003-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00005-A

Filing No. 1099

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the non-competitive class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00005-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00006-A

Filing No. 1103

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the non-competitive class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00006-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00007-A

Filing No. 1104

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00007-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00008-A

Filing No. 1101

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 2 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the non-competitive class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00008-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00009-A
Filing No. 1098
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify a position in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00009-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00010-A
Filing No. 1107
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00010-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00011-A
Filing No. 1108
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To classify positions in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00011-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00012-A
Filing No. 1109
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00012-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00013-A
Filing No. 1111
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00013-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment
The agency received no public comment.

NOTICE OF ADOPTION

Jurisdictional Classification

I.D. No. CVS-23-17-00014-A
Filing No. 1110
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of Appendix 1 of Title 4 NYCRR.

Statutory authority: Civil Service Law, section 6(1)

Subject: Jurisdictional Classification.

Purpose: To delete positions from and classify positions in the exempt class.

Text or summary was published in the June 7, 2017 issue of the Register, I.D. No. CVS-23-17-00014-P.

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

Text of rule and any required statements and analyses may be obtained from: Jennifer Paul, NYS Department of Civil Service, Empire State Plaza, Agency Building 1, Albany, NY 12239, (518) 473-6598, email: jennifer.paul@cs.ny.gov

Assessment of Public Comment

The agency received no public comment.

Education Department

EMERGENCY RULE MAKING

Continuing Teacher and Leader Education for Teachers in Nonpublic Schools

I.D. No. EDU-44-17-00007-E

Filing No. 1076

Filing Date: 2017-12-12

Effective Date: 2018-01-15

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

Action taken: Amendment of section 80-6.1 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 3001, 3004, 3006 and 3006-a; L. 2017, ch. 311

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

Specific reasons underlying the finding of necessity: The 2015-2016 State Budget added Education Law § 3006-a to require all holders of teaching certificates, teaching assistant certificates, and educational leadership certificates which are valid for life (Permanent, Professional and Teaching Assistant Level III) to register with the Department every five years and that holders of the Professional and Teaching Assistant Level III certificates complete 100 hours of continuing teacher and leader education during the five-year registration period.

Chapter 311 of the Laws of 2017 amends Education Law § 3006-a to add nonpublic schools to the provisions relating to the mandatory continuing education requirements for all holders of professional certificates in the classroom teaching service, holders of level III teaching assistant certificates, and holders of professional certificates in the educational leadership service. In order to implement the new law, the proposed regulation amends the definition of applicable school in section 80-6.1 of the Commissioner's regulations to include non-public schools.

Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (non-emergency) adoption, after publication in the State Register and expiration of the 45-day public comment period provided for in the State Administrative Procedure Act (SAPA) sections 202(1) and (5), is the January 2018 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed amendment, if adopted at the January Regents meeting, is January 25, 2018, the date a Notice of Adoption would be published in the State Register. Since the emergency rule adopted at the October 2017 meeting will expire on January 14, 2018, emergency action to adopt the proposed rule is necessary now for the preservation of the general welfare in order to ensure that the proposed amendment is effective immediately in order to timely implement Chapter 311 of the Laws of 2017 and to ensure that the emergency rule adopted at the October 2017 meeting will not expire before it can be adopted as a permanent rule.

Subject: Continuing Teacher and Leader Education for Teachers in Nonpublic Schools.

Purpose: To implement chapter 311 of the Laws of 2017.

Text of emergency rule: Subdivision (a) of section 80-6.1 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(a) Applicable school means a school district or board of cooperative educational services *or nonpublic school that is providing instruction pursuant to Education Law § 3204(2)* located in New York State. For purposes of this definition, the City School District of New York and any of its components shall be considered a single school district.

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-44-17-00007-EP, Issue of November 1, 2017. The emergency rule will expire February 9, 2018.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS 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:

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 relating 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 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.

Education Law 3006 authorizes the Commissioner to issue teaching certificates and to promulgate regulations relating to the requirements for such certificates.

Education Law 3006-a contains the requirements for registration and continuing teacher and leader education for holders of professional certificates in the classroom teaching service, holders of level III teaching assistant certificates, holders of professional certificates in the educational leadership service.

Chapter 311 of the Laws of 2017 amends Education Law 3006-a to require continuing teacher and leader education for holders of professional certificates in the classroom teaching service, holders of level III teaching assistant certificates, holders of professional certificates in the educational leadership service in non-public schools.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed emergency amendment is to implement Chapter 311 of the Laws of 2017 which amends Education Law 3006-a to add nonpublic schools to the provisions relating to the mandatory continuing teacher and leader education requirements for all holders of professional certificates in the classroom teaching service, holders of Level III teaching assistant certificates, and holders of professional certificates in the educational leadership service.

3. NEEDS AND BENEFITS:

The purpose of the proposed emergency amendment is to implement Chapter 311 of the Laws of 2017 which amends Education Law 3006-a to add nonpublic schools to the provisions relating to the mandatory continuing teacher and leader education requirements for all holders of professional certificates in the classroom teaching service, holders of Level III teaching assistant certificates, and holders of professional certificates in the educational leadership service.

Proposed Amendment

To implement this new law, the proposed regulation amends the definition of applicable school in Section 80-6.1 of the Regulations to include non-public schools.

4. COSTS:

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

b. Costs to local government: The amendment does not impose any costs on local government.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

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:

The proposed amendment is the result of Chapter 311 of the Laws of 2017 which amends Education Law 3006-a. No alternatives were considered.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted by the Board of Regents at its October meeting, the proposed amendment will become effective as an emergency measure on October 17, 2017. Following the 45-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be presented to the Board of Regents for adoption at its January 2018 meeting and would become effective as a permanent rule on February 7, 2018.

Regulatory Flexibility Analysis

The purpose of the proposed emergency amendment to Subpart 80-6 of the Regulations of the Commissioner of Education is to implement Chapter 311 of the Laws of 2017 which amends Education § 3006-a to add nonpublic schools to the provisions relating to the mandatory continuing teacher and leader education requirements for certain holders of professional certificates in the classroom teaching service, holders of Level III teaching assistant certificates, and holders of professional certificates in the educational leadership service.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments 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 holders of professional certificates in the classroom teaching service, holders of Level III teaching assistant certificates, and holders of professional certificates in the educational leadership service practicing in non-public schools, 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 emergency amendment to Subpart 80-6 of the Regulations of the Commissioner of Education is to implement Chapter 311 of the Laws of 2017 which amends Education § 3006-a to add nonpublic schools to the provisions relating to the mandatory continuing teacher and leader education requirements for certain holders of professional certificates in the classroom teaching service, holders of Level III teaching assistant certificates, and holders of professional certificates in the educational leadership service.

Proposed Amendment

The amendment to section 80-6.1 of the Regulations is amended to include non-public schools. The proposed amendment imposes no reporting, recordkeeping, and other compliance requirements and/or professional services beyond those imposed by law.

3. COSTS:

The proposed amendment does not impose any additional costs beyond those imposed by the law.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment seeks to implement Chapter 311 of the Laws of 2017 which amends Education Law § 3006-a. Therefore, no alternatives were considered.

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 emergency amendment to Subpart 80-6 of the Regulations of the Commissioner of Education is to implement Chapter 311 of the Laws of 2017 which amends Education § 3006-a to add nonpublic schools to the provisions relating to the mandatory continuing teacher and leader education requirements for certain holders of professional certificates in the classroom teaching service, holders of Level III teaching assistant certificates, and holders of professional certificates in the educational leadership service.

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, and 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

Temporary Certificate for Teachers Displaced from Puerto Rico and/or Another U.S. Territory to Teach in NY

I.D. No. EDU-44-17-00010-E

Filing No. 1070

Filing Date: 2017-12-12

Effective Date: 2018-01-15

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

Action taken: Addition of section 80-5.26 to Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 3001, 3004 and 3009

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

Specific reasons underlying the finding of necessity: On September 20, 2017, Category 5 Hurricane Maria made landfall in Puerto Rico and other U.S. territories and wreaked havoc. As a result of this catastrophic event, many individuals directly affected by Hurricane Maria have been displaced, including children who may come to New York State and enroll in schools.

The expectation is that many of these students may not be fluent in English, and the Department wants to ensure that there are adequate teachers capable of teaching these students. The Department also anticipates an influx of individuals who were certified teachers in Puerto Rico and other U.S. territories coming to New York State as well, and the Department would like to advance a regulation that will allow those certified in Puerto Rico or another U.S. territory who have been affected by and displaced by Hurricane Maria to become certified in New York for a temporary period of time.

At this time, the Department would like to add a new Section 80-5.26 to the Commissioner's Regulations to allow those who hold a teaching certificate in Puerto Rico or another U.S. territory to obtain a nonrenewable temporary hardship certificate that is valid until June 30, 2018 to teach in New York State public school districts and BOCES, provided they meet certain requirements. Because the Board of Regents meets at scheduled intervals, the earliest the proposed amendment could be presented for regular (non-emergency) adoption, after publication in the State Register and expiration of the 45-day public comment period provided for in the State Administrative Procedure Act (SAPA) sections 202(1) and (5), is the January 2018 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed amendment, if adopted at the January Regents meeting, is January 25, 2018, the date a Notice of Adoption would be published in the State Register. However, emergency action taken at the October 2017 meeting will expire on January 14, 2017. Therefore, a second emergency adoption is needed to preserve by the general welfare by ensuring that the proposed rule adopted at the October 2017 meeting will remain in effect until it can be adopted as a permanent rule and because the resulting influx of individuals from Puerto Rico and other U.S. territories who have been affected by Hurricane Maria is expected to be immediate, and the Department must ensure that the proposed amendment is effective immediately to timely allow for those individuals who meet the requirements to apply for this temporary certificate.

Subject: Temporary certificate for teachers displaced from Puerto Rico and/or another U.S. territory to teach in NY.

Purpose: To establish requirements for a temporary certificate for teachers displaced from Puerto Rico and/or another U.S. territory.

Text of emergency rule: Add a new section 80-5.26 to the Regulations of the Commissioner of Education, to read as follows:

80-5.26 Temporary "Hurricane Maria" certificate for teachers displaced from Puerto Rico and/or another U.S. territory as a result of Hurricane Maria to teach in New York.

(a) Temporary "Hurricane Maria" hardship certificate to teach in New York. The Commissioner may issue a temporary certificate in the classroom teaching service for teachers who held a certificate or authorization to practice from Puerto Rico or another United States territory prior to Hurricane Maria and who as a result of the hurricane were forced to relocate to New York. The requirements for such certificate are as follows:

(1) (i) The candidate shall hold a valid certificate or equivalent authorization to practice from Puerto Rico or another U.S. territory impacted by Hurricane Maria that is equivalent to the title and type of the certificate sought;

(ii) if the candidate is unable to provide the Department with a

copy of such certificate and/or authorization to practice, the candidate shall either:

(a) submit verification of such certificate from the Department of Education of such U.S. territory or the equivalent thereof, in a form and format prescribed by the Commissioner; or

(b) submit a signed and notarized attestation stating that the candidate holds a valid certificate or the equivalent authorization in Puerto Rico or another U.S. territory that was impacted by Hurricane Maria and as a result of such hurricane he/she is unable to produce written evidence of such certificate.

(2) The candidate shall provide evidence of satisfactory employment in a public school (K-12) in Puerto Rico or another U.S. territory (such as pay-stubs or W-2 forms) impacted by Hurricane Maria in a position that is equivalent to the title and type of the certificate sought. Such experience must be within one year of the stated effective date of this section.

(3) The candidate shall meet the general requirements for certificates prescribed in Subpart 80-1 of this Part, including but not limited to the requirements of section 80-1.3 relating to citizenship, section 80-1.4 relating to study in child abuse identification and reporting, and school violence prevention and intervention; section 80-1.13 relating to coursework or training in harassment, bullying and discrimination prevention and intervention; and section 80-1.1 relating to a criminal history check.

(4) The candidate shall submit satisfactory evidence of having a commitment of employment from a school district or BOCES for one year or employment as a teacher in the area of the certificate sought, which shall include a plan from the school district for mentoring and appropriate instructional support.

(b) Upon meeting the requirements in subdivision (a) of this section, the Commissioner may issue a nonrenewable temporary hardship certificate that is valid until June 30, 2018.

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-44-17-00010-EP, Issue of November 1, 2017. The emergency rule will expire February 9, 2018.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS 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:

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 relating 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 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.

Education Law 3009 prohibits school district monies from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed addition of new section 80-5.26 to the Regulations of the Commissioner of Education is to allow a temporary certificate for teachers who have been displaced from Puerto Rico and/or another U.S. territory as a result of hurricane Maria to teach in New York state, upon meeting certain requirements.

3. NEEDS AND BENEFITS:

As a result, of the category 5 Hurricane that made landfall in Puerto Rico on September 20, 2017, we are anticipating an influx of individuals who are certified teachers in Puerto Rico and other U.S. territories affected by Hurricane Maria coming to New York State, and the Department would like to advance a regulation that will allow individuals who are appropriately certified in Puerto Rico or another U.S. territory and who have been affected by and displaced by Hurricane Maria to become certified in New York for a temporary period of time. The Department also anticipates that many children from Puerto Rico and other U.S. territories will come to New York (possibly staying with family who reside in New York) and enroll in New York State public schools and/or BOCES.

The expectation is that many of these students may not be fluent in English, and the Department wants to ensure that there are a sufficient number of certified teachers capable of teaching and supporting these students so that their education can continue over the course of the next several months.

Proposed Amendment

The Department is proposing to add a new Section 80-5.26 to the Regulations to allow for a temporary certificate for teachers who have been displaced from Puerto Rico and/or other U.S. territories as a result of Hurricane Maria to teach in New York if they meet the following requirements:

(1) The candidate holds a certificate or authorization to teach from Puerto Rico or another U.S. territory prior to Hurricane Maria and who, as a result of the Hurricane, has relocated to NY;

• They must provide satisfactory evidence of such certificate or equivalent authorization, or provide verification of such certificate from the Department of Education of such U.S. territory, or the equivalent thereof, or a notarized attestation that such individual is certified;

(2) They must also provide satisfactory evidence of employment, such as recent pay-stubs or W-2 forms, from a public school in Puerto Rico or another U.S. territory affected by Hurricane Maria in a position that is equivalent to the title and type of certificate sought;

(3) Meet the general requirements for certificates prescribed in Subpart 80-1 (including all workshops and a criminal history check); and

(4) A commitment of employment from a school district or BOCES for one year of employment as a teacher in the area of the certificate sought (including a plan for mentoring from the school district).

The Department recognizes that these candidates may have difficulty obtaining a copy of their certificate and/or proof of employment, therefore, the regulations have allowed for certain alternatives that candidates may use to show proof of certification and employment. However, the Department will be working with the Puerto Rico Department of Education to verify that the candidate has the appropriate certification, to the extent possible, through the Department of Education's online verification system.

This temporary certificate is valid until June 30, 2018 and would allow the teacher to work in a public school or BOCES for the remainder of the 2017-2018 school. This temporary certificate is not renewable.

However, during this time, teachers from Puerto Rico may pursue a New York State initial teaching certificate through the existing reciprocity pathway provided for in Section 80-5.8 of the Commissioner's Regulations, which allows certified teachers from other states or U.S. territories to obtain a New York certification if they have at least three years of experience in a public school in another state or territory and the candidates received ratings of effective or highly effective or the substantial equivalent during each of his/her three most recent years of experience. In addition, these candidates must complete the required workshops and receive fingerprint clearance.

If they do not have three years of teaching experience they may also choose to pursue a conditional initial certificate, as set forth in Section 80-5.17 of the Regulations which requires that candidates meet all requirements for an Initial Certificate (including a passing score on the EAS and any required CSTs). The Conditional Initial certificate allows candidates to work in a school district for one year while they complete the edTPA requirement and gain their Initial Certificate.

4. COSTS:

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

b. Costs to local government: The amendment does not impose any costs on local government.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

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:

The proposed amendment is meant to directly address the natural disaster imposed by Hurricane Maria in Puerto Rico and other affected U.S. territories and the individuals displaced by such disaster. No other alternatives were considered at the time.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

If adopted as an emergency measure at the October meeting, the proposed amendment will become effective on October 17, 2017. Follow-

ing the 45-day public comment period required under the State Administrative Procedure Act, it is anticipated that the proposed amendment will be adopted by the Board of Regents at its January 2018 meeting. If adopted at the January 2018 meeting, the proposed amendment will become effective on February 7, 2018.

Regulatory Flexibility Analysis

The purpose of the proposed amendment is to provide a temporary certificate for teachers who have been displaced from Puerto Rico and/or another U.S. territory as a result of Hurricane Maria to teach in New York State. This temporary certificate will be available for those who provide evidence that they hold a valid certificate or authorization to teach from Puerto Rico and/or another U.S. territory affected by Hurricane Maria employment in a public school in Puerto Rico or another U.S. territory. The candidate must also complete the required workshops and have a fingerprint clearance, and a commitment of employment from a school district or BOCES in New York.

The proposed amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments 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 all individuals pursuing certification as a teacher in the classroom teaching service from Puerto Rico and/or another U.S. Territory who were directly impacted by Hurricane Maria and came to New York, as well as all New York State school districts and BOCES who wish to hire those individuals, including those 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:

As a result, of the category 5 Hurricane that made landfall in Puerto Rico on September 20, 2017, we are anticipating an influx of individuals who are certified teachers in Puerto Rico and other U.S. territories affected by Hurricane Maria coming to New York State, and the Department would like to advance a regulation that will allow individuals who are appropriately certified in Puerto Rico or another U.S. territory and who have been affected by and displaced by Hurricane Maria to become certified in New York for a temporary period of time. The Department also anticipates that many children from Puerto Rico and other U.S. territories will come to New York (possibly staying with family who reside in New York) and enroll in New York State public schools and/or BOCES.

The expectation is that many of these students may not be fluent in English, and the Department wants to ensure that there are a sufficient number of certified teachers capable of teaching and supporting these students so that their education can continue over the course of the next several months.

Proposed Amendment

The Department is proposing to add a new Section 80-5.26 to the Regulations to allow for a temporary certificate for teachers who have been displaced from Puerto Rico and/or other U.S. territories as a result of Hurricane Maria to teach in New York if they meet the following requirements:

(1) The candidate holds a certificate or authorization to teach from Puerto Rico or another U.S. territory prior to Hurricane Maria and who, as a result of the Hurricane, has relocated to NY;

• They must provide satisfactory evidence of such certificate or equivalent authorization, or provide verification of such certificate from the Department of Education of such U.S. territory, or the equivalent thereof, or a notarized attestation that such individual is certified;

(2) They must also provide satisfactory evidence of employment, such as recent pay-stubs or W-2 forms, from a public school in Puerto Rico or another U.S. territory affected by Hurricane Maria in a position that is equivalent to the title and type of certificate sought;

(3) Meet the general requirements for certificates prescribed in Subpart 80-1 (including all workshops and a criminal history check); and

(4) A commitment of employment from a school district or BOCES for one year of employment as a teacher in the area of the certificate sought (including a plan for mentoring from the school district).

The Department recognizes that these candidates may have difficulty obtaining a copy of their certificate and/or proof of employment, therefore, the regulations have allowed for certain alternatives that candidates may use to show proof of certification and employment. However, the Department will be working with the Puerto Rico Department of Education to verify that the candidate has the appropriate certification, to the extent possible, through the Department of Education's online verification system.

This temporary certificate is valid until June 30, 2018 and would allow the teacher to work in a public school or BOCES for the remainder of the 2017-2018 school. This temporary certificate is not renewable.

However, during this time, teachers from Puerto Rico may pursue a New York State initial teaching certificate through the existing reciprocity pathway provided for in Section 80-5.8 of the Commissioner's Regulations, which allows certified teachers from other states or U.S. territories to obtain a New York certification if they have at least three years of experience in a public school in another state or territory and the candidates received ratings of effective or highly effective or the substantial equivalent during each of his/her three most recent years of experience. In addition, these candidates must complete the required workshops and receive fingerprint clearance.

If they do not have three years of teaching experience they may also choose to pursue a conditional initial certificate, as set forth in Section 80-5.17 of the Regulations which requires that candidates meet all requirements for an Initial Certificate (including a passing score on the EAS and any required CSTs). The Conditional Initial certificate allows candidates to work in a school district for one year while they complete the edTPA requirement and gain their Initial Certificate.

3. COSTS:

The proposed amendment does not impose any costs on those pursuing this temporary certificate, and/or the New York State school districts/BOCES who wish to hire them.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment seeks to address the specific disaster caused by Hurricane Maria in Puerto Rico and other U.S. territories. In anticipation of children from the affected areas enrolling in New York Schools, the Department is proposing this temporary certificate to address the increased need for teachers to teach these children, where many will be ELLs.

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 provide a temporary certificate for teachers who have been displaced from Puerto Rico and/or another U.S. territory as a result of Hurricane Maria to teach in New York State. This temporary certificate will be available for those who provide evidence that they hold a valid certificate or authorization to teach from Puerto Rico and/or another U.S. territory affected by Hurricane Maria employment in a public school in Puerto Rico or another U.S. territory. The candidate must also complete the required workshops and have a fingerprint clearance, and a commitment of employment from a school district or BOCES in New York.

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.

Assessment of Public Comment

Since publication of the Notice of Emergency Adoption and Proposed Rule Making in the State Register on November 1, 2017, the State Education Department (SED) received the following comments on the proposed amendment. Below is an assessment of the public comment received:

1. COMMENT:

One commenter agrees with the Department's proposal to provide qualified teachers displaced from Puerto Rico with a temporary certificate to teach in New York. However, the commenter recommends that these candidates should be allowed to complete the DASA training online and that the certificate should be valid until June 2019 rather than 2018.

DEPARTMENT RESPONSE:

In response to the recommendation that candidates from Puerto Rico applying for a temporary certificate be allowed to complete DASA training online, please note that while 6 clock hours of DASA training is required to obtain a certificate in the classroom teaching service, only 3 of those hours are required to be face-to-face. Therefore, 3 may be completed in an online format.

In response to the recommendation that certification be extended until June 2019, the Department believes that the current sunset date of June 2018 is sufficient to address any immediate teaching shortages directly related to the hurricane and will allow sufficient time for those who are temporarily certified through this regulation to obtain the documentation necessary to pursue their Initial certificate.

2. COMMENT:

Another commenter suggested that the temporary certificate for teachers displaced in Puerto Rico be extended until June 2019 because after the completion of paperwork and applying for a job there would not realistically be enough time to find employment.

DEPARTMENT RESPONSE:

Please see answer to COMMENT #1 above. In order to obtain a temporary certificate under this regulation, the candidate must already have an offer of employment to fill an immediate need from a school district or BOCES. Moreover, the purpose of this regulation is to fill immediate employment needs resulting from Hurricane Maria and therefore it was time limited.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Biological Products in the Profession of Pharmacy

I.D. No. EDU-52-17-00007-EP

Filing No. 1075

Filing Date: 2017-12-12

Effective Date: 2017-12-12

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

Proposed Action: Amendment of sections 29.7 and 63.6 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207(not subdivided), 6504(not subdivided), 6507(2)(a), 6509(9), 6802, 6810 and 6816-a; L. 2017, ch. 357

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

Specific reasons underlying the finding of necessity: The proposed amendment is necessary to implement Chapter 357 of the Laws of 2017 (Chapter 357), which amended the Education Law by defining the terms "biological product" and "interchangeable biological product" and establishing the requirements for both the substitution of a biological product and the appropriate method of communication by the pharmacist to the prescriber to notify him or her of the substitution of the biological product dispensed, effective October 23, 2017. Pursuant to Chapter 357, a "biological product" means a biological product as defined in subsection (i) of section 351 of the Public Health Service Act, 42 U.S.C. section 262(i) and an "interchangeable biological product" means a biological product licensed by the United States Food and Drug Administration (FDA) pursuant to 42 U.S.C. section 262(k)(4) as set forth in the latest edition or supplement of the United States Food and Drug Administration Lists of Licensed Biological Products with Reference Product Exclusivity and Biosimilarity or Interchangeability Evaluations, sometimes referred to as the "Purple Book," or a biological product determined by the United States Food and Drug Administration to be therapeutically equivalent as set forth in the latest edition or supplement of the United States Food and Drug Administration Approved Drug Products with Therapeutic Equivalence Evaluations, sometimes referred to as the "Orange Book."

Chapter 357 further requires that, notwithstanding any other law, when an interchangeable biological product is not available and the biological product originally prescribed is available and the pharmacist agrees to dispense the prescribed biological product for a price that will not exceed the price that would have been charged for the interchangeable biological substitute had it been available, substitution of an interchangeable biological product will not be required. If the interchangeable biological product is not available and a medical emergency situation, which for purposes of Chapter 357 is defined as any condition requiring alleviation of severe pain or which threatens to cause disability or take life if not promptly treated, exists, then the pharmacist may dispense the prescribed biological product at his or her regular price. In such instances the pharmacist must record the date, hour and nature of the medical emergency on the back of the prescription and keep a copy of all such prescriptions.

Chapter 357 also requires that the prescriber inform the patient whether he or she has prescribed a brand name or its generic equivalent drug product or interchangeable biological product.

Prior to Chapter 357, New York State law permitted and established requirements for the substitution by pharmacists of generic drugs from their branded counterparts, but did not allow for the substitution of biological products. Chapter 357 updated the law to reflect the growing market of biological products and allows for the substitution of an FDA designated interchangeable biological product by a pharmacist when not prohibited by the prescriber. By permitting the substitution of biological products, when the specified requirements for such substitutions are met, Chapter 357 furthers the public health by improving access to these products. Therefore, it is imperative that the requirements for these biological products substitutions be implemented as soon as possible.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for adoption, after expiration of the required 45-day public comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the March 12-13, 2018 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the March meeting, would be March 28, 2018, the date the Notice of Adoption would be published in the State Register.

Therefore, emergency action is necessary at the December 2017 Regents meeting for the preservation of the public health and the general welfare in order to enable the State Education Department to immediately establish requirements to timely implement Chapter 357, which is already in effect, so that pharmacists will be able to substitute FDA designated biological products, unless prohibited from doing so by the prescriber.

It is anticipated that the proposed rule will be presented for permanent adoption as a permanent rule at the March 12-13, 2018 Regents meeting, which is the first scheduled meeting after expiration of the 45-day public comment period prescribed in the State Administrative Procedure Act for State agency rule makings.

Subject: Biological products in the profession of pharmacy.

Purpose: Establishes requirements for substitution of interchangeable biological products for prescribed products.

Text of emergency/proposed rule: 1. Subdivision (a) of section 29.7 of the Rules of the Board of Regents is amended, as follows:

(a) The requirements of this section set forth for written prescriptions shall also be applicable to electronic prescriptions, as defined in section 63.6(a)(7)(i)(a) of this Title, unless otherwise indicated. For purposes of this section signature shall include an electronic signature, as defined in section 63.6(a)(7)(i)(c) of this Title, when applicable, and sign shall include the affixing of an electronic signature. Unprofessional conduct in the practice of pharmacy shall include all conduct prohibited by sections 29.1 and 29.2 of this Part except as provided in this section, and shall also include the following:

(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) Failure to identify a generic product *or interchangeable biological product* dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law, section*s* 6816-a(1)(c) *and 6816-a(3)(c)*.
(7) . . .
(8) . . .
(i) . . .
(ii) . . .
(iii) . . .
(iv) . . .
(v) . . .
(a) . . .
(b) . . .
(vi) . . .
(vii) . . .
(9). . .
(10) . . .
(11) . . .
(i) . . .
(ii) . . .
(iii) . . .
(iv) . . .
(12) . . .
(13) . . .
(14) . . .
(15) . . .
(i) . . .
(ii) . . .
(a) . . .
(b) . . .
(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) . . .
(c) . . .
(d) . . .
(e) . . .
(f) . . .

(g) . . .
(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) . . .
(7) . . .
(16) . . .
(i) . . .
(ii) . . .
(17) . . .
(i) . . .
(ii) . . .
(18) . . .
(19) . . .
(20) . . .
(21) Aiding and abetting an unlicensed person to dispense drugs.
(i) . . .
(a) . . .
(b) . . .
(c) . . .
(d) . . .
(e) . . .
(f) . . .
(g) . . .
(h) . . .
(i) . . .
(j) . . .
(ii) . . .
(a) . . .
(b) Unlicensed persons shall not be authorized to:
(1) . . .
(2) . . .
(3) make determinations of the therapeutic equivalency as such determinations apply to generic substitution *or interchangeable biological product substitution*;
(4) . . .
(5) . . .
(6) . . .
(7) . . .
(c) . . .

2. Paragraph (7) of subdivision (a) of section 63.6 of the Regulations of the Commissioner of Education is amended, as follows:

(a) General provisions.
(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) . . .
(7) Electronic prescriptions.
(i) . . .
(a) . . .
(b) . . .
(c) . . .
(ii) A pharmacist may, based upon his or her professional judgment, accept an electronic prescription from a prescriber, to the pharmacy of the patient's choice, subject to the following requirements:
(a) . . .
(b) . . .
(c) . . .
(d) . . .
(e) [such prescriptions shall be processed in accordance with the requirements of section 29.7 of this Title, provided, however, that prescriptions for controlled substances shall be filled in accordance with the requirements of article 33 of the Public Health Law; and] *except when the prescriber inserts an electronic direction to dispense the drug as written, the prescriber's electronic signature shall designate approval of an interchangeable biological product by a pharmacist. Notwithstanding any other provision of this section or any other law to the contrary, when an interchangeable biological product is not available and the biological product originally prescribed is available and the pharmacist agrees to dispense the prescribed biological product for a price that will not exceed the price that would have been charged for the interchangeable biological substitute had it been available, substitution of an interchangeable biological product will not be required. If the interchangeable biological product is not available and a medical emergency situation, which for purposes of this section is defined as any condition requiring alleviation of severe pain or which threatens to cause disability or take life if not promptly treated, exists, then the pharmacist may dispense the prescribed biological product at his or her regular price. In such instances, the pharmacist must record the date, hour and nature of the medical emergency on the back of the prescription and keep a copy of all such prescriptions*;
(f) [in accepting an electronic prescription, the pharmacist shall be subject to the applicable requirements of Part 29 of this Title relating to unprofessional conduct, including but not limited to section 29.1(b)(2) and (3) of this Title.] *such prescriptions shall be processed in accordance with the requirements of section 29.7 of this Title, provided, however, that prescriptions for controlled substances shall be filled in accordance with the requirements of article 33 of the Public Health Law; and*
(g) in accepting an electronic prescription, the pharmacist shall be subject to the applicable requirements of Part 29 of this Title relating to unprofessional conduct, including but not limited to section 29.1(b)(2) and (3) of this Title.
(iii) . . .
(8) . . .
(i) . . .
(a) . . .
(b) . . .
(c) . . .
(d) . . .
(e) . . .
(ii) . . .
(a) . . .
(b) . . .
(c) . . .
(iii) . . .
(iv) . . .
(v) . . .
(9) . . .

3. Clause (c) of subparagraph (ii) of paragraph (8) of subdivision (b) of section 63.6 of the Regulations of the Commissioner of Education is amended, as follows:

(b) Pharmacies.
(1) . . .
(i) . . .
(ii) . . .
(iii) . . .
(iv) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) . . .
(i) . . .
(a) . . .
(b) . . .
(1) . . .
(2) . . .
(ii) . . .
(a) . . .
(b) . . .
(c) . . .
(d) . . .
(e) . . .
(f) . . .
(g) . . .
(iii) . . .
(7) . . .
(8) Counseling.
(i) . . .
(a) . . .
(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) . . .
(7) . . .
(8) . . .
(b) . . .
(c) . . .
(d) . . .
(e) . . .
(ii) Off-premises delivery. For a prescription that is delivered to the patient or the person authorized to act on behalf of the patient off the premises of the pharmacy through mail delivery, a delivery service or otherwise, the pharmacist or pharmacy intern shall meet the requirements of this subparagraph.

(a) . . .
(b) . . .
(c) Except for instances covered by clause (d) of this subparagraph, which applies in those cases, if upon presentation of the prescription, the pharmacist or pharmacy intern determines that the prescription is a prescriber approved alternative drug, meaning a change in the drug originally prescribed exclusive of generic substitutions *or interchangeable biological product substitutions*, the pharmacist or pharmacy intern shall meet the following requirements in addition to the requirements of clauses (a) and (b) of this subparagraph:
(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(6) . . .
(7) . . .
(d) . . .
(1) . . .
(2) . . .
(3) . . .
(4) . . .
(5) . . .
(9) . . .

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 11, 2018.

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, State Education Department, Office of Counsel, State Education Building Room 148, 89 Washington Ave., Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Office of the Professions, Office of the Deputy Commissioner, State Education Department, State Education Building 2M, 89 Washington Ave., Albany, NY 12234, (518) 486-1765, email: opdepcom@nysed.gov

Public comment will be received until: 45 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:

Section 207 of the Education Law grants general rulemaking authority to the Board of Regents to carry into effect the laws and policies of the State relating to education.

Section 6504 of the Education Law authorizes the Board of Regents to supervise the admission to and regulation of the practice of the professions.

Paragraph (a) of subdivision (2) of section 6507 of the Education Law authorizes the Commissioner of Education to promulgate regulations in administering the admission to and the practice of the professions.

Subdivision (9) of section 6509 of the Education Law authorizes the Board of Regents to define unprofessional conduct in the professions.

Section 6802 of the Education Law, as amended by Chapter 357 of the Laws of 2017, defines the terms "biological product" and "interchangeable biological product."

Section 6810 of the Education Law, as amended by Chapter 357 of the Laws of 2017, establishes the conditions under which the substitution of a biological product is required and requires the prescriber to inform the patient as to whether he or she has prescribed a brand name or interchangeable biological product.

Section 6816-a of the Education Law, as amended by Chapter 357 of the Laws of 2017, establishes the conditions under which the substitution of a biological product is required and the appropriate method of communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed.

2. LEGISLATIVE OBJECTIVES:

The proposed amendment carries out the intent of the aforementioned statutes that the Department shall supervise the regulation of the practice of the professions for the benefit of the public. The proposed amendment will conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 357 of the Laws of 2017 (Chapter 357), which amended the Education Law by adding definitions for the terms "biological product" and "interchangeable biological product", effective October 23, 2017. Chapter 357 also amended the Education Law to set forth the conditions under which the substitution of a biological product is required and established the appropriate method of communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed.

Biological products are regulated by the United States Food and Drug Administration (FDA) and are used to diagnose, prevent, treat and cure diseases. Biological products are generally large complex molecules, produced through biotechnology in living systems such as a microorganism from plant or animal cells, making them more difficult to characterize than small molecule drugs. Currently, there are over 200 biological products approved by the FDA for use, including monoclonal antibodies, vaccines, and proteins. Biological products are used to treat patients with complex chronic disease and/or critically ill patients, including, but not limited to, cancer, heart disease, arthritis, multiple sclerosis, and HIV/AIDS.

Single biological products, already approved by FDA, are called reference products which are the products against which a proposed biosimilar product is compared. Products designated by the FDA as biosimilar are highly similar to, and have no clinically meaningful differences from, an existing FDA-approved reference product. Biosimilar products are specifically prescribed by a practitioner and should not be substituted for a reference product.

A biosimilar product may be designated by the FDA as an interchangeable biological if it is biosimilar to the reference product, and has proven that it can be expected to produce the same clinical result as the reference product in any given patient. In addition, to be determined to be an interchangeable biological product, it must be shown that for a biological product that is administered more than once to an individual, the risk, in terms of safety or diminished efficacy of alternating or switching between use of the biological product and the reference product, is not greater than the risk of using the reference product without such alternation or switch. An interchangeable product may be substituted for the reference product without the involvement of the prescriber.

Prior to Chapter 357, New York State law permitted and established requirements for the substitution by pharmacists of generic drugs from their branded counterparts, but did not allow for the substitution of biological products. Chapter 357 updated the law to reflect the growing market of biological products and allows for the substitution of an FDA designated interchangeable biological product by a pharmacist when not prohibited by the prescriber.

The proposed amendment of subdivision (a) of section 29.7 of the Rules of the Board of Regents adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. The proposed amendment also prohibits unlicensed persons from making determinations of the therapeutic equivalency as such determinations apply to interchangeable biological product substitution.

The proposed amendment of paragraph (7) of subdivision (a) of section 63.6 of the Regulations of the Commissioner of Education provides that a pharmacist may, based upon his or her professional judgment, accept an electronic prescription from a prescriber, to the pharmacy of the patient's choice except when the prescriber inserts an electronic direction to dispense the drug as written, otherwise, the prescriber's electronic signature shall designate approval of substitution by a pharmacist of an interchangeable biological product. The proposed amendment further provides that notwithstanding any other provision of section 63.6 or any other law to the contrary, when an interchangeable biological product is not available and the biological product originally prescribed is available and the pharmacist agrees to dispense the prescribed biological product for a price that will not exceed the price that would have been charged for the interchangeable biological substitute had it been available, substitution of an interchangeable biological product will not be required. In addition, the proposed amendment provides that if the interchangeable biological product is not available and a medical emergency exists, then the pharmacist may dispense the prescribed biological product at his or her regular price. The proposed amendment also requires that, in such instances, the pharmacist must record the date, hour and nature of the medical emergency on the back of the prescription and keep a copy of all such prescriptions.

The proposed amendment of clause (c) of subparagraph (ii) of paragraph (8) of subdivision (b) of section 63.6 of the Regulations of the Commissioner of Education includes substitutions of interchangeable biological products along with generic substitutions in the off-premise counseling requirements. The proposed amendment clarifies that permitted substitution of an interchangeable biological product is not a change in prescribed therapy and does not require the additional patient notifications and counseling that result from a prescriber approved alternative therapy.

3. NEEDS AND BENEFITS:

The proposed amendment is necessary to conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 357. The proposed amendment defines the terms "biological product" and "interchangeable biological product." The proposed amendment also sets forth the conditions under which the substitution of a biological product is required and establishes the appropriate method of

communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed.

Additionally, the proposed amendment adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. The proposed amendment also prohibits unlicensed persons from making determinations of the therapeutic equivalency as such determinations apply to interchangeable biological product substitution.

4. COSTS:

The proposed amendment imposes no additional costs on the State or local governments or the regulatory agency.

(a) Costs to State government. There are no additional costs to State government.

(b) Costs to local government. There are no additional costs to local government.

(c) Costs to private regulated parties. There are no additional costs to private regulated parties.

(d) Costs to the regulatory agency. There are no additional costs to the State Education Department.

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment does not impose any program, service, duty, or responsibility on local governments.

6. PAPERWORK:

The proposed amendment of subdivision (a) of section 29.7 of the Rules of the Board of Regents adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. This is already the standard for a generic product dispensed on a prescription. Thus, the Department does not anticipate that regulated parties will encounter any challenges with complying with this proposed requirement with respect to an interchangeable biological product dispensed on a prescription.

The proposed amendment of paragraph (7) of subdivision (a) of section 63.6 of the Regulations of the Commissioner of Education provides that a pharmacist may, based upon his or her professional judgment, accept an electronic prescription from a prescriber, to the pharmacy of the patient's choice except when the prescriber inserts an electronic direction to dispense the drug as written, otherwise, the prescriber's electronic signature shall designate approval of substitution by a pharmacist of an interchangeable biological product. The proposed amendment further provides that notwithstanding any other provision of section 63.6 or any other law to the contrary, when an interchangeable biological product is not available and the biological product originally prescribed is available and the pharmacist agrees to dispense the prescribed biological product for a price that will not exceed the price that would have been charged for the interchangeable biological substitute had it been available, substitution of an interchangeable biological product will not be required. In addition, the proposed amendment provides that if the interchangeable biological product is not available and a medical emergency exists, then the pharmacist may dispense the prescribed biological product at his or her regular price. The proposed amendment also requires that, in such instances, the pharmacist must record the date, hour and nature of the medical emergency on the back of the prescription and keep a copy of all such prescriptions. This process is the standard used when a brand name medication is dispensed due to generic medication unavailability or if a medical emergency exists. The Department does not anticipate that regulated parties will encounter any challenges with complying with this proposed requirement with respect to an interchangeable biological product.

7. DUPLICATION:

The proposed amendment does not duplicate any other existing State or federal requirements and is necessary to implement Chapter 357.

8. ALTERNATIVES:

The proposed amendment is necessary to implement Chapter 357, which amended the Education Law by adding definitions for the terms "biological product" and "interchangeable biological product", setting forth the conditions under which the substitution of a biological product is required and establishing the appropriate method of communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed. There are no significant alternatives to the proposed amendment and none were considered.

9. FEDERAL STANDARDS:

The proposed amendment conforms the definition for biological and interchangeable biological product with federal standards outlined in the Biologics Price Competition and Innovation Act of 2009 which amended the Public Health Services Act. The proposed amendment does not exceed any minimum federal standards for the same or similar subject areas.

10. COMPLIANCE SCHEDULE:

The proposed amendment is necessary to conform the Rules of the Board of Regents and the Regulations of the Commissioner of Education to Chapter 357. It is anticipated that the regulated parties will be able to comply with the proposed amendments by the effective date.

Regulatory Flexibility Analysis

The purpose of the proposed amendment is to implement Chapter 357 of the Laws of 2017 (Chapter 357), which amended the Education Law by adding definitions for the terms "biological product" and "interchangeable biological product", effective October 23, 2017. Chapter 357 also amended the Education Law to set forth the conditions under which the substitution of a biological product is required and established the appropriate method of communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed.

Biological products are regulated by the United States Food and Drug Administration (FDA) and are used to diagnose, prevent, treat and cure diseases. Biological products are generally large complex molecules, produced through biotechnology in living systems such as a microorganism from plant or animal cells, making them more difficult to characterize than small molecule drugs. Currently, there are over 200 biological products approved by the FDA for use, including monoclonal antibodies, vaccines, and proteins. Biological products are used to treat patients with complex chronic disease and/or critically ill patients, including, but not limited to, cancer, heart disease, arthritis, multiple sclerosis, and HIV/AIDS.

Single biological products, already approved by FDA, are called reference products which are the products against which a proposed biosimilar product is compared. Products designated by the FDA as biosimilar are highly similar to, and have no clinically meaningful differences from, an existing FDA-approved reference product. Biosimilar products are specifically prescribed by a practitioner and should not be substituted for a reference product.

A biosimilar product may be designated by the FDA as an interchangeable biological if it is biosimilar to the reference product, and has proven that it can be expected to produce the same clinical result as the reference product in any given patient. In addition, to be determined to be an interchangeable biological product, it must be shown that for a biological product that is administered more than once to an individual, the risk, in terms of safety or diminished efficacy of alternating or switching between use of the biological product and the reference product, is not greater than the risk of using the reference product without such alternation or switch. An interchangeable product may be substituted for the reference product without the involvement of the prescriber.

Prior to Chapter 357, New York State law permitted and established requirements for the substitution by pharmacists of generic drugs from their branded counterparts, but did not allow for the substitution of biological products. Chapter 357 updated the law to reflect the growing market of biological products and allows for the substitution of an FDA designated interchangeable biological product by a pharmacist when not prohibited by the prescriber.

The proposed amendment of subdivision (a) of section 29.7 of the Rules of the Board of Regents adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. The proposed amendment also prohibits unlicensed persons from making determinations of the therapeutic equivalency as such determinations apply to interchangeable biological product substitution.

The proposed amendment of paragraph (7) of subdivision (a) of section 63.6 of the Regulations of the Commissioner of Education provides that a pharmacist may, based upon his or her professional judgment, accept an electronic prescription from a prescriber, to the pharmacy of the patient's choice except when the prescriber inserts an electronic direction to dispense the drug as written, otherwise, the prescriber's electronic signature shall designate approval of substitution by a pharmacist of an interchangeable biological product. The proposed amendment further provides that notwithstanding any other provision of section 63.6 or any other law to the contrary, when an interchangeable biological product is not available and the biological product originally prescribed is available and the pharmacist agrees to dispense the prescribed biological product for a price that will not exceed the price that would have been charged for the interchangeable biological substitute had it been available, substitution of an interchangeable biological product will not be required. In addition, the proposed amendment provides that if the interchangeable biological product is not available and a medical emergency exists, then the pharmacist may dispense the prescribed biological product at his or her regular price. The proposed amendment also requires that, in such in-

stances, the pharmacist must record the date, hour and nature of the medical emergency on the back of the prescription and keep a copy of all such prescriptions.

The proposed amendment of clause (c) of subparagraph (ii) of paragraph (8) of subdivision (b) of section 63.6 of the Regulations of the Commissioner of Education includes substitutions of interchangeable biological products along with generic substitutions in the off-premise counseling requirements. The proposed amendment clarifies that permitted substitution of an interchangeable biological product is not a change in prescribed therapy and does not require the additional patient notifications and counseling that result from a prescriber approved alternative therapy.

The proposed amendment does not impose any additional costs on regulated parties beyond those required by statute. The proposed amendment adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. This is already the standard for a generic product dispensed on a prescription. Thus, the Department does not anticipate that regulated parties will encounter any challenges with complying with this proposed requirement with respect to an interchangeable biological product dispensed on a prescription.

The proposed amendment also provides that a pharmacist may, based upon his or her professional judgment, accept an electronic prescription from a prescriber, to the pharmacy of the patient's choice except when the prescriber inserts an electronic direction to dispense the drug as written, otherwise, the prescriber's electronic signature shall designate approval of substitution by a pharmacist of an interchangeable biological product. The proposed amendment further provides that notwithstanding any other provision of section 63.6 or any other law to the contrary, when an interchangeable biological product is not available and the biological product originally prescribed is available and the pharmacist agrees to dispense the prescribed biological product for a price that will not exceed the price that would have been charged for the interchangeable biological substitute had it been available, substitution of an interchangeable biological product will not be required. In addition, the proposed amendment provides that if the interchangeable biological product is not available and a medical emergency exists, then the pharmacist may dispense the prescribed biological product at his or her regular price. The proposed amendment also requires that, in such instances, the pharmacist must record the date, hour and nature of the medical emergency on the back of the prescription and keep a copy of all such prescriptions. This process is the standard used when a brand name medication is dispensed due to generic medication unavailability or if a medical emergency exists. The Department does not anticipate that regulated parties will encounter any challenges with complying with this proposed requirement with respect to an interchangeable biological product. The Department anticipates that the potential costs for complying with these proposed amendment's requirements will be minimal.

The proposed amendment does not impose any new reporting, recordkeeping, or other compliance requirements on local governments or have any adverse economic impact on small businesses or local governments. Because it is evident from the nature of the proposed amendment that it will not adversely affect small businesses or local governments, no affirmative steps were needed to ascertain that fact and none were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments is not required, and one has not been prepared.

Rural Area Flexibility Analysis

The proposed rule is necessary to implement Chapter 357 of the Laws of 2017 ("Chapter 357"), which amended the Education Law to define the terms "biological product" and "interchangeable biological product", set forth the conditions under which the substitution of a biological product is required, and establish the appropriate method of communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed, effective October 23, 2017. Additionally, the proposed amendment adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. The proposed amendment also prohibits unlicensed persons from making determinations of the therapeutic equivalency as such determinations apply to interchangeable biological product substitution.

Chapter 357 does not provide any exceptions from these requirements for any pharmacists, pharmacies or prescribers located in rural areas. Thus, the proposed amendment does not adversely impact entities in rural areas of New York State because all New York State pharmacists, pharmacies and prescribers must comply with the same interchangeable biological product substitution requirements. Accordingly, no further steps were needed to ascertain the impact of the proposed amendment on entities in rural areas and none were taken. Thus, a rural flexibility analysis is not required and one has not been prepared.

Job Impact Statement

The proposed amendment implements Chapter 357 of the Laws of 2017 by defining the terms "biological product" and "interchangeable biological product", setting forth the conditions under which the substitution of a biological product is required and establishing the appropriate method of communication by the pharmacist to the prescriber notifying the prescriber of the substitution of the biological product dispensed. Additionally, the proposed amendment adds the failure to identify an interchangeable biological product dispensed on a prescription by writing the name of the manufacturer and of the distributor, if different, on the prescription and on the label, except as otherwise provided in Education Law section 6816-a(3)(c), to the unprofessional conduct special provisions for the profession of pharmacy. The proposed amendment also prohibits unlicensed persons from making determinations of the therapeutic equivalency as such determinations apply to interchangeable biological product substitution.

The proposed amendment will not have a substantial adverse impact on jobs and employment opportunities. Because it is evident from the nature of the proposed amendment that it will not affect job and employment opportunities, no affirmative steps were needed to ascertain these facts and none were taken. Accordingly, a job impact statement is not required and one has not been prepared.

EMERGENCY/PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Superintendent Determination for Certain Students with Disabilities to Graduate with a Local Diploma

I.D. No. EDU-52-17-00012-EP
Filing No. 1074
Filing Date: 2017-12-12
Effective Date: 2017-12-12

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

Proposed Action: Amendment of section 100.5(d)(12) of Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 208(not subdivided), 209(not subdivided), 305(1), (2), 308(not subdivided), 309(not subdivided), 3204(3) and (4)

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

Specific reasons underlying the finding of necessity: The proposed amendment is necessary to implement Regents policy to permit students with disabilities to meet the Regents ELA and/or mathematics examinations eligibility conditions for the superintendent determination option by completing the requirements for the New York State Career Development and Occupational Studies (CDOS) Commencement Credential. In addition, the proposed rule would allow, for students with disabilities who are otherwise eligible to exit from high school in either the 2017-2018 school year or 2018-2019 school year only, a school district or nonpublic school to award the CDOS Commencement Credential to a student with a disability who has not met all of the requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards. Students who are awarded the CDOS commencement credential under this exception may not use such credential to meet the requirements for the career development and occupational studies graduation pathway option.

Since the Board of Regents meets at fixed intervals, the earliest the proposed rule can be presented for regular (non-emergency) adoption, after expiration of the required 45-day public comment period provided for in the State Administrative Procedure Act (SAPA) sections 201(1) and (5), would be the March 12-13, 2018 Regents meeting. Furthermore, pursuant to SAPA section 203(1), the earliest effective date of the proposed rule, if adopted at the March meeting, would be March 28, 2017, the date a Notice of Adoption would be published in the State Register. However, the proposed rule would allow students with disabilities to meet the Regents ELA and/or mathematics examinations eligibility conditions for the superintendent determination option by completing the requirements for the CDOS Commencement Credential beginning with students who are otherwise eligible to graduate in January 2018.

Therefore, emergency action is necessary at the December 2017

Regents meeting for the preservation of the general welfare in order to ensure that certain students with disabilities who are otherwise eligible to graduate from high school in January 2018 and thereafter are aware that they may be considered an eligible student for the superintendent determination option if they meet the requirements of the proposed rule. It is also necessary to ensure that superintendents are on notice that they must make a determination as to whether certain students with disabilities are eligible for a local diploma, if the student meets the requirements of the proposed rule.

It is anticipated that the proposed rule will be presented for adoption as a permanent rule at the March 12-13, 2018 Regents meeting, which is the first scheduled meeting after expiration of the 45-day public comment period prescribed in the SAPA for State agency rule makings.

Subject: Superintendent determination for certain students with disabilities to graduate with a local diploma.

Purpose: To expand the safety net options for students with disabilities to graduate with local diplomas when certain conditions are met.

Text of emergency/proposed rule: 1. Paragraph (12) of subdivision (d) of section 100.5 of the Regulations of the Commissioner of Education is amended, effective December 12, 2017, as follows:

(12) Superintendent determination pathway for certain students with disabilities for eligibility for a local diploma.

(i) For purposes of this paragraph only, superintendent shall mean the superintendent of a school district or the principal, head of school, or their equivalent, of a charter school or nonpublic school, as applicable.

(ii) School districts, registered nonpublic high schools and charter schools shall ensure that every student who is identified as a student with a disability as defined in Education Law section 4401(1) and section 200.1(zz) of this Title and who does not meet the assessment requirements for graduation through the existing appeal options, including the compensatory score option or the 55-64 low pass safety net option available under this section but who is otherwise eligible to graduate in June 2016 and thereafter shall be considered for a local diploma through the superintendent determination pathway in accordance with the requirements of this paragraph, provided that the student:

(a) has a current individualized education program and is receiving special education programs and/or related services pursuant to Education Law section 4402 and section 200.4 of this Title;

(b) took the English Regents examination required for graduation pursuant to this section and achieved a minimum score of 55 or successfully appealed a score of between 52 and 54 on such examination pursuant to paragraph (7) of this subdivision*, except as otherwise provided in subparagraph (v) of this paragraph*; and

(c) took a mathematics Regents examination required for graduation pursuant to this section and achieved a minimum score of 55 or successfully appealed a score of between 52 and 54 on such examination pursuant to paragraph (7) of this subdivision*, except as otherwise provided in subparagraph (v) of this paragraph*; and

(d) participated in the remaining Regents examinations required for graduation pursuant to clauses (a)(5)(i), (c), (d), (e) and (f) of this section, but was unable to achieve a minimum score of 55 on one or more of the remaining assessments required for graduation or did not initiate an appeal of a score of between 52 and 54 on one or more such examinations pursuant to paragraph (7) of this subdivision, or was unable to use the compensatory score option for one or more such examinations pursuant to clause (7)(vi)(c) of this subdivision; and

(e) has earned the required course credits pursuant to this section and passed, in accordance with district policy, all courses required for graduation.

(iii) For each eligible student under this paragraph, the superintendent shall conduct a review to determine whether the student has otherwise demonstrated proficiency in the knowledge, skills and abilities in the subject area(s) where the student was not able to demonstrate his/her proficiency of the State's learning standards as measured by the corresponding Regents examination(s) and document such determination in accordance with the following procedures:

(a) the superintendent shall consider evidence that the student attained a grade for the course that meets or exceeds the required passing grade by the school for the subject area(s) under review and such grade is recorded on the student's official transcript with grades achieved by the student in each quarter of the school year. Such evidence may include, but need not be limited to, the student's final course grade, student work completed throughout the school year and/or any interim grades on homework, class work, quizzes and tests; and

(b) the superintendent shall consider the evidence that demonstrates that the student actively participated in the Regents examination(s) for the subject area(s) under review; and

(c) the superintendent shall, as soon as practicable, in a form and manner prescribed by the commissioner, document the evidence reviewed for an eligible student with disability under this paragraph and make a determination as to whether the student met the requirements for issuance of a local diploma pursuant to this paragraph and certify that the information provided is accurate; and

(d) the superintendent shall, as soon as practicable, provide each student and parent or person in parental relation to the student with a copy of the completed form and written notification of the superintendent's determination, and place a copy of the completed form in the student's record.

(1) Where the superintendent determines that the student has not met the requirements for graduation pursuant to this paragraph, the written notice shall inform the student and parent or person in parental relation to the student that the student has the right to attend school until receipt of a local or Regents diploma or until the end of the school year in which the student turns age 21, whichever shall occur first.

(2) Where the superintendent determines that the student has met the requirements for graduation pursuant to this paragraph, the parent shall receive prior written notice pursuant to the requirements of section 200.5(a)(5)(ii) of this Title indicating that the student is not eligible to receive a free appropriate public education after graduation with the receipt of the local diploma pursuant to this paragraph; and

(e) the superintendent shall, no later than August 31 of each year, provide the commissioner with a copy of the completed form for each student; and

(f) the commissioner may conduct audits of compliance with the requirements of this paragraph.

(iv) On or after October 18, 2016, a superintendent shall only make a determination under this paragraph upon receipt of a written request from an eligible student's parent or guardian. Such request shall be submitted in writing to the student's school principal or chairperson of the district's committee on special education. A written request received by the school principal, chairperson of the district's committee on special education, or any other employee of the school as applicable, shall be forwarded to school superintendent immediately upon its receipt.

(v) On or after December 12, 2017, a student who was unable to achieve a minimum score of 55 or did not initiate an appeal of a score of between 52 and 54 on the English and/or mathematics Regents exams shall be considered an eligible student for the superintendent determination pathway pursuant to this paragraph, provided that the student has completed the requirements for the New York State career development and occupational studies commencement credential pursuant to section 100.6(b) of this Part.

(a) For students with disabilities who are otherwise eligible to graduate in either the 2017-2018 school year or the 2018-2019 school year only, the district, registered nonpublic high school or charter school may award the career development and occupational studies commencement credential to a student who has not met all of the requirements in section 100.6(b)(3)(ii) of this Part, for purposes of eligibility for the superintendent determination pathway pursuant to this paragraph, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills relating to the commencement level career development and occupational studies learning standards. The principal must have evidence that the student has successfully completed relevant instructional and work-based learning activities during the student's secondary school years that demonstrate the student has readiness skills for entry-level employment. Students who are awarded the career development and occupational studies commencement credential pursuant to this clause may not use such credential to meet the requirements set forth in section 100.5(d)(11) of this Part for the career development and occupational studies pathway to a local or Regents diploma.

(b) The superintendent shall, in accordance with the requirements of subparagraph (iii) of this paragraph, conduct a review to determine whether such student has otherwise demonstrated proficiency in the knowledge, skills and abilities in English language arts and/or mathematics, in addition to reviewing any other subject areas required for graduation where the student was not able to demonstrate his/her proficiency of the State's learning standards as measured by the corresponding Regents examination pursuant to clause (ii)(d) of this paragraph.

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 11, 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 12234, (518) 474-8966, email: legal@nysed.gov

Data, views or arguments may be submitted to: Christopher Suriano, New York State Education Department, 89 Washington Avenue, Room 309 EB, Albany, NY 12234, (518) 473-2878, email: spedpubliccomment@nysed.gov

Public comment will be received until: 45 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 section 101 continues the existence of the Education Department, with the Board of Regents at its head and the Commissioner of Education as the chief administrative officer, and charges the Department with the general management and supervision of public schools and the educational work of the State.

Education Law section 207 empowers the Regents and the Commissioner to adopt rules and regulations to carry out State laws regarding education and the functions and duties conferred on the State Education Department by law.

Education Law section 208 authorizes the Regents to establish examinations as to attainments in learning and to award and confer suitable certificates, diplomas and degrees on persons who satisfactorily meet the requirements prescribed.

Education Law section 209 authorizes the Regents to establish secondary school examinations in studies furnishing a suitable standard of graduation and of admission to colleges; to confer certificates or diplomas on students who satisfactorily pass such examinations; and requires the admission to these examinations of any person who shall conform to the rules and pay the fees prescribed by the Regents.

Education Law section 305(1) and (2) provide that the Commissioner, as chief executive officer of the State system of education and of the Board of Regents, shall have general supervision over all schools and institutions, and execute all educational policies determined by the Regents.

Education Law section 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.

Education Law section 309 charges the Commissioner with the general supervision of boards of education and their management and conduct of all departments of instruction.

Education Law 3204(3) and (4) sets forth the course of study and requires students with disabilities to receive a free appropriate public education.

2. LEGISLATIVE OBJECTIVES:

The proposed rule is consistent with the authority conferred by the above statutes and is necessary to implement policy enacted by the Regents relating to a superintendent review option for students with disabilities to graduate with a local diploma.

3. NEEDS AND BENEFITS:

All students with disabilities must be held to high expectations and be provided meaningful opportunities to participate and progress in the general education curriculum to prepare them to graduate with a regular high school diploma. The majority of students with disabilities can meet the State's learning standards for graduation. However, there are some students who, because of their disabilities, are unable to demonstrate their proficiency on standard State assessments, even with testing accommodations. For these students, the State provided a superintendent determination option for eligible students to graduate with a local diploma, beginning in June 2016 and thereafter. Under current regulations, to be eligible for the superintendent determination option to graduate with a local diploma, a student with a disability must have earned a minimum score of 55 on both the English Language Arts (ELA) and mathematics Regents examinations or successfully appealed a score between 52 and 54.

The proposed rule would, on or after December 12, 2017, allow students with disabilities who have not earned a minimum score of 55 on the ELA and/or mathematics Regents examinations or did not initiate an appeal of a score between 52 and 54 to meet the ELA and/or mathematics Regents examinations eligibility conditions for the superintendent determination option by completing the requirements for the New York State Career Development and Occupational Studies (CDOS) Commencement Credential. For these students, the superintendent must conduct a review to determine whether such student has otherwise demonstrated proficiency in the knowledge, skills and abilities in ELA and/or mathematics, in addition to any other subject areas where the student was not able to demonstrate his/her proficiency of the State's learning standards as measured by the corresponding Regents examination(s) required for graduation.

In addition, because some students may not have had the opportunity to work towards earning the CDOS Commencement Credential and would therefore be unable to use the credential to meet the thresholdeligibility conditions for the superintendent determination option, the proposed rule includes an exception to certain requirements to allow appropriate discretion to school principals to determine whether students have otherwise demonstrated the knowledge and skills related to the CDOS learning standards sufficient for entry-level employment. Specifically, for students with disabilities who are otherwise eligible to graduate during the 2017-18 and 2018-19 school years only, the exception would allow school districts, and nonpublic high schools and charter schools to award the CDOS Commencement Credential to a student with a disability who has not fully met all of the requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards 1, 2 and 3a. The principal must have evidence that the student has successfully completed relevant instructional and work-based learning activities during the student's secondary school years that demonstrates the student has readiness skills for entry-level employment. However, for students who are otherwise eligible to graduate during the 2017-18 and 2018-19 school years, the total hours of the career and technical education coursework and/or work-based learning activities may be less than the required equivalent of two units of study (216 hours).

Students who are awarded the CDOS Commencement Credential under this exception may not use such credential to meet the requirements for the career development and occupational studies graduation pathway to a local or Regents diploma.

4. COSTS:

(a) Costs to State: none.

(b) Costs to local governments: It is anticipated that any costs associated with extending the population of students with disabilities that can earn a local diploma will be minimal and capable of being absorbed by districts using existing staff and resources.. School districts, BOCES and registered nonpublic schools may also incur costs for the superintendent review and with recording the evidence reviewed and the decision rendered by the superintendent in these reviews.

However, in the long term, the proposed amendment is expected to be a cost-saving measure in that it will boost the graduation rate, allowing more students to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in local communities.

In addition, there may be costs associated with extending the population of students with disabilities who are awarded a CDOS Commencement Credential. These costs are anticipated to be minimal and capable of being absorbed by districts using existing staff and resources.

(c) Costs to private regulated parties: See (b) above.

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

5. LOCAL GOVERNMENT MANDATES:

The proposed amendment would require, on or after December 12, 2017 (the effective date of the revised rule), districts to conduct a superintendent determination review for students with disabilities who met the eligibility conditions for the superintendent determination option by completing the requirements for the CDOS Commencement Credential. It would also allow for students with disabilities who are otherwise eligible to graduate during the 2017-18 and 2018-19 school years, school districts, and nonpublic high schools and charter schools to award the CDOS Commencement Credential to a student with a disability who has not fully met all of the CDOS requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards 1, 2 and 3a.

6. PAPERWORK:

The proposed rule does not impose any new paperwork requirements, upon local government, including school districts or BOCES beyond those already required when a superintendent makes a determination that a student has met the requirements for a local diploma.

7. DUPLICATION:

The proposed rule does not duplicate any existing State or federal requirements.

8. ALTERNATIVES:

There were no significant alternatives, and none were considered. The proposed rule is necessary to implement Regents policy relating to safety net options for students with disabilities to graduate with a local diploma.

9. FEDERAL STANDARDS:

There are no related federal standards in this area.

10. COMPLIANCE SCHEDULE:

On or after December 12, 2017 (the effective date of the revised rule), students with disabilities who have not earned a minimum score of 55 on the ELA and/or mathematics Regents examinations or did not initiate an appeal of a score between 52 and 54 to meet the ELA and/or mathematics Regents examinations may meet the threshold eligibility conditions for the superintendent determination option by completing the requirements for the CDOS Commencement Credential. It is anticipated that regulated parties will be able to achieve compliance with the proposed amendment by its effective date.

Regulatory Flexibility Analysis

(a) Small businesses:

The proposed amendment is necessary to implement Regents policy to permit students with disabilities to meet the threshold eligibility conditions for the superintendent determination option by completing the requirements for the New York State Career Development and Occupational Studies (CDOS) Commencement Credential. In addition, the proposed rule would allow, for students with disabilities who are otherwise eligible to exit from high school in either the 2017-2018 school year or 2018-2019 school year only, a school district, charter school or nonpublic school to award the CDOS Commencement Credential to a student with a disability who has not met all of the CDOS requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards. Students who are awarded the CDOS commencement credential under this exception may not use such credential to meet the requirements for the career development and occupational studies graduation pathway option.

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 each of the 689 public school districts in the State, and to charter schools and nonpublic schools that are authorized to issue regular high school diplomas with respect to State assessments and high school graduation and diploma requirements.

2. COMPLIANCE REQUIREMENTS:

The proposed rule would, on or after December 12, 2017, allow students with disabilities who have not earned a minimum score of 55 on the ELA and/or mathematics Regents examinations or did not initiate an appeal of a score between 52 and 54 to meet the ELA and/or mathematics Regents examinations eligibility conditions for the superintendent determination option by completing the requirements for the CDOS Commencement Credential. For these students, the superintendent must conduct a review to determine whether such student has otherwise demonstrated proficiency in the knowledge, skills and abilities in ELA and/or mathematics, in addition to any other subject areas where the student was not able to demonstrate his/her proficiency of the State's learning standards as measured by the corresponding Regents examination(s) required for graduation.

In addition, because some students may not have had the opportunity to work towards earning the CDOS Commencement Credential and would therefore be unable to use the credential to meet the threshold eligibility conditions for the superintendent determination option, the proposed rule includes an exception to certain requirements to allow appropriate discretion to school principals to determine whether students have otherwise demonstrated the knowledge and skills related to the CDOS learning standards sufficient for entry-level employment. Specifically, for students with disabilities who are otherwise eligible to graduate during the 2017-18 and 2018-19 school years only, the exception would allow school districts, and nonpublic high schools and charter schools to award the CDOS Commencement Credential to a student with a disability who has not fully met all of the requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards 1, 2 and 3a. The principal must have evidence that the student has successfully completed relevant instructional and work-based learning activities during the student's secondary school years that demonstrates the student has readiness skills for entry-level employment. However, for students who are otherwise eligible to graduate during the 2017-18 and 2018-19 school years, the total hours of the career and technical education coursework and/or work-based learning activities may be less than the required equivalent of two units of study (216 hours).

Students who are awarded the CDOS Commencement Credential under this exception may not use such credential to meet the requirements for the career development and occupational studies graduation pathway to a local or Regents diploma.

3. PROFESSIONAL SERVICES:

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

4. COMPLIANCE COSTS:

It is anticipated that any costs associated with extending the population of students with disabilities that can earn a local diploma will be minimal and capable of being absorbed by districts using existing staff and resources. School districts, BOCES and registered non-publics may also incur costs for the superintendent review and with recording the evidence reviewed and the decision rendered by the superintendent in these reviews.

However, in the long term, the proposed amendment is expected to be a cost-saving measure in that it will boost the graduation rate, allowing more students to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in local communities.

In addition, there may be costs associated with extending the population of students with disabilities who are awarded a CDOS Commencement Credential. These costs are anticipated to be minimal and capable of being absorbed by districts using existing staff and resources.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

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

6. MINIMIZING ADVERSE IMPACT:

The proposed amendment is necessary to implement Regents policy relating to the expansion of the available safety net options for students with disabilities to graduate with a local diploma.

Because the Regents policy upon which the proposed amendment is based applies to all school districts in the State, it is not possible to establish differing compliance or reporting requirements or timetables or to exempt school districts from coverage by the proposed amendment. The proposed amendment does not directly impose any additional compliance requirements or costs on school districts. It is anticipated that any indirect costs associated with the proposed amendment will be minimal and capable of being absorbed using existing school resources.

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 and from charter schools.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

The proposed amendment applies to each of the 689 public school districts in the State, charter schools, and registered nonpublic schools in the State, to the extent that they offer instruction in the high school grades, 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. At present, there is one charter school located in a rural area that is authorized to issue diplomas.

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

The proposed amendment is necessary to implement Regents policy to permit students with disabilities to meet the threshold eligibility conditions for the superintendent determination option by completing the requirements for the New York State Career Development and Occupational Studies (CDOS) Commencement Credential. In addition, the proposed rule would allow, for students with disabilities who are otherwise eligible to exit from high school in either the 2017-2018 school year or 2018-2019 school year only, a school district, charter school or nonpublic school to award the CDOS Commencement Credential to a student with a disability who has not met all of the CDOS requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards. Students who are awarded the CDOS commencement credential under this exception may not use such credential to meet the requirements for the career development and occupational studies graduation pathway option.

3. COMPLIANCE COSTS:

It is anticipated that any costs associated with extending the population of students with disabilities that can earn a local diploma will be minimal and capable of being absorbed by districts using existing staff and resources. School districts, BOCES and registered non-publics may also incur costs for the superintendent review and with recording the evidence reviewed and the decision rendered by the superintendent in these reviews.

However, in the long term, the proposed amendment is expected to be a cost-saving measure in that it will boost the graduation rate, allowing more students to access higher education or enter the workforce with a high school diploma. Both of these outcomes will in turn stimulate workforce productivity and economic performance in local communities.

In addition, there may be costs associated with extending the population of students with disabilities who are awarded a CDOS Commencement Credential. These costs are anticipated to be minimal and capable of being absorbed by districts using existing staff and resources.

4. MINIMIZING ADVERSE IMPACT:

There were no significant alternatives and none were considered. The proposed rule is necessary to implement Regents policy relating to safety net options for students with disabilities to graduate with a local diploma.

Because the Regents policy upon which the proposed amendment is based applies to all school districts in the State and to charter schools and

registered nonpublic high schools, it is not possible to establish differing compliance or reporting requirements or timetables or to exempt schools in rural areas from coverage by the proposed amendment.

5. RURAL AREA PARTICIPATION:

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

Job Impact Statement

The proposed amendment is necessary to implement Regents policy to permit students with disabilities to meet the threshold eligibility conditions for the superintendent determination option by completing the requirements for the New York State Career Development and Occupational Studies (CDOS) Commencement Credential. In addition, the proposed rule would allow, for students with disabilities who are otherwise eligible to exit from high school in either the 2017-2018 school year or 2018-2019 school year only, a school district, charter school or nonpublic school to award the CDOS Commencement Credential to a student with a disability who has not met all of the CDOS requirements, for purposes of eligibility for the superintendent determination option, provided that the school principal, in consultation with relevant faculty, has determined that the student has otherwise demonstrated knowledge and skills in the commencement level CDOS learning standards. Students who are awarded the CDOS commencement credential under this exception may not use such credential to meet the requirements for the career development and occupational studies graduation pathway option.

The proposed amendment will not have a substantial adverse impact on jobs or employment opportunities. Because it is evident from the nature of the proposed amendment that it will have no impact, or a positive impact, on jobs or employment opportunities, 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.

NOTICE OF ADOPTION

Requirements Relating to the EdTPA Teacher Certification Examination

I.D. No. EDU-39-17-00006-A

Filing No. 1073

Filing Date: 2017-12-12

Effective Date: 2017-12-27

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

Action taken: Amendment of section 80-1.5 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 215, 3001, 3003 and 3009

Subject: Requirements relating to the edTPA teacher certification examination.

Purpose: Extend the edTPA Safety Net and Revise the Eligibility Criteria for the Multiple Measures Review Process.

Text or summary was published in the September 27, 2017 issue of the Register, I.D. No. EDU-39-17-00006-EP.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112, Albany, NY 12234, (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 2020, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

Since publication of Emergency Adoption and Proposed Rule Making in the State Register on September 27, 2017, the State Education Department (SED) received several comments:

1. COMMENT:

One commenter raised a concern related to the certification exams because he/she is pursuing a teaching certificate but cannot pass the exams.

DEPARTMENT RESPONSE:

The intent behind the regulatory changes related to the edTPA is to make implementation of the exam in New York more effective and to address significant concerns raised by test takers and the field. The concerns included feedback from candidates related to the difficulty of the exams. The recommendations of the Task Force also included actions such as eliminating the Academic Literacy Skills Test (ALST), extending the safety net for those who cannot pass the edTPA until June 30, 2018, reviewing the edTPA passing score, and creating a Multiple Measures Review Process for those candidates who fall within 2 points of the new edTPA passing score but meet certain other requirements demonstrating that they have the knowledge, skills, and abilities to step into the classroom. The new passing score for the edTPA, beginning on January 1, 2018, will be 38, which is lower than the current passing score of 41. Ultimately, under the recommended phase-in period, the new passing score will be a 40 beginning on January 1, 2022. In addition, the safety nets for the EAS and the more recently released and/or revised content specialty tests have been extended.

2. COMMENT:

Several commenters ask that the Board of Regents reconsider the decision to lower the requirements for teacher certification. The concerns raised include the negative impact this would have on students and that teachers leave the profession due to deplorable teaching conditions, not because of the exams.

DEPARTMENT RESPONSE:

The intent behind the regulatory changes related to the edTPA was not to lower the standards for teacher certification in New York, but to make the implementation of the exam in New York more effective, and to address significant concerns raised by the field. The decision to lower the edTPA cut score (as well as the process to phase in a higher cut score) was a result of the edTPA standard setting panel convened in June 2017. This panel included both P-20 and higher education stakeholders, and was geographically and demographically representative of New York State. This panel of experts ultimately recommended the new edTPA cut score, phase-in process, and cut-off for the Multiple Measures Review Process which they decided will still ensure that a teacher certification candidate possess the requisite knowledge, skills, and abilities to become a teacher of record.

3. COMMENT:

One commenter expressed frustration that the safety net exams are no longer available, that the exams are too costly, that the edTPA safety net (the ALST) is too costly, that too much time is spent studying for the exams, and that New York is facing a teacher shortage.

DEPARTMENT RESPONSE:

At this time, the safety net for the edTPA (which is the Assessment of Teaching Skills-Written [ATS-W]) is available until June 30, 2018. The safety net exams for most of the recently developed content specialty tests are still available as well, and for a detailed breakdown of the safety net dates for all content specialty tests, please see: http://www.highered.nysed.gov/tcert/certificate/certexamsafetynet chart.html.

4. COMMENT:

One commenter asked that the Department review and revise the pathways to obtain a teaching certificate in an additional science subject, noting that there should be an easier way for a teacher of one of the sciences to obtain an additional certificate in another science.

DEPARTMENT RESPONSE:

While this is outside the scope of the regulation change related to the edTPA, the Department is currently reviewing all certification pathways including the sciences.

5. COMMENT:

One commenter expressed concern that the Board of Regents is lowering standards and making it easier to become a teacher, but also noted that it appears that the intent is to create multiple pathways for teacher certification. The commenter was concerned that these multiple pathways do not necessarily help and that all pathways may not lead to the same quality of teacher. Last, the commenter is concerned that this could be a cause of the teacher shortage by discouraging candidates from entering the profession.

DEPARTMENT RESPONSE:

See Response to Comment #2. The intent behind the regulatory changes related to the edTPA was not to lower the standards for teacher certification in New York, but to make the implementation of the exam in New York more effective, and to address significant concerns raised by the field. In response to the "multiple pathways" concern, the Department acknowledges that there are multiple pathways that one may pursue to obtain a teaching certificate (for example, individual evaluation pathways, pathways for those with postsecondary teaching experience, and transitional program pathways). However, this flexibility was intentional because the Department recognizes that one single pathway does not fit all candidates pursuing a certificate. The Department works to ensure that each pathway leading to a certificate in the classroom teaching service leads to a certified teacher who possesses the minimum knowledge, skills, and abilities to effectively teach students in their certificate area.

6. COMMENT:

Several commenters disagree with lowering standards for teacher certification as a solution to the teacher shortage and suggest that the Department solve this problem by making it more desirable to become a teacher,

increasing teacher salaries, and creating better working conditions for teachers.

DEPARTMENT RESPONSE:

Please see response to COMMENT #2. While outside the scope of this regulation, the Department also recognizes that there are shortages in certain certification titles and is exploring ways to address these shortages.

7. COMMENT:

Several commenters disagree with the decision of the Board of Regents to lower the standards for teacher certification.

DEPARTMENT RESPONSE:

Please see response to COMMENT #2.

8. COMMENT:

One commenter disagrees with the decision of the Board of Regents to lower standards for teacher certification and suggests the creation of a pathway to allow a "visiting professional" status for accomplished and retired professionals to become teachers.

DEPARTMENT RESPONSE:

In response to the comment related to lowering the standards, please see response to COMMENT #2. In response to the suggestion of a pathway for professionals to pursue a teaching certificate, there is a Transitional G pathway available for individuals who hold a graduate degree in any subject who have had teaching experience at the college level in such subject. This pathway was formerly only open to those holding a graduate degree in a STEM subject, but the Department proposed a change at the November 2017 Board of Regents meeting to open this option up to all subjects.

9. COMMENT:

One commenter with an expired conditional initial certificate asked that the Board of Regents to consider making it easier for teachers who have lost their license to regain their license, allowing good teachers to re-enter the workforce.

DEPARTMENT RESPONSE:

While this comment is outside the scope of the proposed amendment, a candidate with an expired conditional initial teaching certificate would need to re-take the applicable content specialty test and the EAS. While the candidate will also have to take the edTPA, it was not required for the conditional initial and so would not be a re-take. Lastly, the ALST is no longer a certification examination requirement and therefore this examination would not have to be re-taken.

10. COMMENT:

Several commenters expressed concern related to the process of state-to-state reciprocity of teaching certificates. The commenter argues that rather than lowering the standards for candidates entering the profession, the Department should make it easier for those with a teaching certificate and experience from another state to become a certified teacher in New York. The commenter also suggests that the Department look to other states that have exceptional standards for educators.

DEPARTMENT RESPONSE:

The Department has recently examined the endorsement pathways for individuals who hold a teaching certificate from another state who are pursuing certification in New York. If an individual has a certificate from another state and three years of teaching under such certificate in a public school (within the last five years) along with ratings of effective or highly effective, along with a bachelor's degree and at least a 2.5 GPA, he/she may pursue endorsement of his/her teaching certificate without having to take and pass the New York State teaching certification exams.

11. COMMENT:

One commenter acknowledged that there may be a teacher shortage in some areas, but that there is a surplus of teachers in some certification areas. The commenter suggests that the Department address this issue as well as the perceived shortage.

DEPARTMENT RESPONSE:

See Response to COMMENT #6.

12. COMMENT:

One commenter suggested that the Board of Regents eliminate the edTPA and replace this requirement with more time spent in the classroom.

DEPARTMENT RESPONSE:

See Response to COMMENT #1. In addition, by request of the Board of Regents, the Department convened a Clinical Practice Workgroup that has been tasked with reviewing all requirements related to the field experience and student teaching requirements applicable to all educator preparation programs to determine if additional time is needed in the classroom. This workgroup contains both P-12 and higher education experts, faculty, teachers, and administration. The workgroup plans to have recommendations to present to the Board of Regents in early 2018.

13. COMMENT:

One commenter expressed concern that standards for teacher certification are being lowered, and that this is a continuation of bad concepts being implemented by the New York State Education Department.

DEPARTMENT RESPONSE:

See Response to COMMENT #2.

14. COMMENT:

One commenter does not support lessening the requirements for teacher certification and in fact supports an initiative to strengthen teacher certification requirements. The commenter explains that it is the paperwork, meetings, and "bureaucracy" that is stifling the teaching profession and pushing current teachers out of the profession.

DEPARTMENT RESPONSE:

In response to the concern that the Department is lowering standards for teacher certification, please see response to COMMENT #2. In addition, the Department has made efforts to strengthen teacher certification requirements through initiatives such as the Clinical Practice Workgroup. See Response to COMMENT #13.

15. COMMENT:

One commenter disagrees with lowering the standards for teacher certification. The commenter explained that teachers face poor public perception and a lack of respect which influences the number of individuals pursuing the profession. The commenter suggests increasing the demands for teacher certification to send the message that only the most qualified candidates can become teachers in New York.

DEPARTMENT RESPONSE:

Please see response to COMMENT #2 and COMMENT #14 above.

16. COMMENT:

One commenter explained that her daughter wishes to be a teacher, but has test anxiety and wishes there were no tests.

DEPARTMENT RESPONSE:

Please see response to COMMENT #1. In addition, NYSTCE offers alternative testing arrangements for those test takers with disabilities who would not be able to take the test under standard conditions. Please see: http://www.nystce.nesinc.com/TestView.aspx?f=NYCBT_RequestingAlternativeTestingArrangements.html=NY028 for additional information about requesting alternative testing arrangements.

17. COMMENT:

One commenter suggests that the Board of Regents eliminate the edTPA because it is not practical and because too much time is spent in the classroom preparing for it.

DEPARTMENT RESPONSE:

Please see response to COMMENT #1. In addition, this was one of the concerns brought to the edTPA Task Force and considered by the Task Force, which ultimately presented final recommendations to the Board of Regents which included the regulation changes related to the edTPA cut score and implementation of the Multiple Measures Review Process.

18. COMMENT:

One commenter expressed concern that the regulation change is unfair to those who have already paid to take the tests.

DEPARTMENT RESPONSE:

See Response to COMMENT #1. These changes were made based on recommendations from the edTPA Task Force, which includes representatives from CUNY, SUNY, cIcu, the Teacher Education Advisory Group, the United University Professions, the Professional Staff Congress and P-12.

19. COMMENT:

One commenter expressed concern that "dumbing down" the profession is not the way to encourage new teachers to enter the profession and encourage growth in the teaching profession. The commenter suggests that the Board of Regents and the Department determine why there is a teacher shortage and why young teachers leave the profession. The commenter suggests that the public perception of the teaching profession may be the cause.

DEPARTMENT RESPONSE:

Please see Responses to COMMENTS #2 and #6.

20. COMMENT:

One commenter expressed his/her desire to move back to New York but explains that the requirement to obtain a Master's degree to become a certified teacher along with the cost of living in New York is prohibitive.

DEPARTMENT RESPONSE:

While outside the scope of the proposed amendment, after obtaining an Initial Certificate in the classroom teaching service, a candidate has five years to obtain a Master's degree. In addition, candidates may get an extension on their Initial Certificate for an additional five years, ultimately giving them ten years within which to complete the Master's degree requirement. The Department believes this is a sufficient amount of time to obtain a Master's degree.

21. COMMENT:

One commenter expressed support to the changes related to the edTPA because changes to the edTPA are needed, but expressed concern that the certification tests have hindered teacher certification including colleagues of the commenter.

DEPARTMENT RESPONSE:

To the extent that the comment is supportive, no comment is necessary. In response to the concern related to teacher certification, the work of the edTPA Task Force focused on responding to these concerns. To address these concerns, the Task Force developed a set of recommendations related to all certification exams, which were presented to the Board of Regents, and have been implemented and/or are in the process of being implemented. These recommended included actions such as eliminating the Academic Literacy Skills Test (ALST), extending the safety net for those who cannot pass the edTPA until June 30, 2018, reviewing the edTPA passing score, and creating a Multiple Measures Review Process for those candidates who fall within 2 points of the new edTPA passing score but meet certain other requirements demonstrating that they have the knowledge, skills, and abilities to step into the classroom. For the full Task Force Report, please see: https://www.regents.nysed.gov/common/regents/files/117hed2.pdf.

22. COMMENT:

One commenter expressed concern that decreasing qualifying scores (passing scores on the edTPA) is not the way to address issues in the teaching profession. The commenter suggests that the Department look at the "untapped resource" of young men and potentially creating a campaign to encourage young men to enter the profession.

DEPARTMENT RESPONSE:

It has been, and continues to be, a mission of the Department to attract as many highly qualified and diverse candidates to the educator workforce as possible. Under New York State's ESSA Plan, the Department will be working to leverage P-20 partnerships to enhance the quality and diversity of the educator workforce.

23. COMMENT:

One commenter expressed concern that lowering the edTPA score to a 39 will not make a difference because there is no exam that can show teacher effectiveness.

DEPARTMENT RESPONSE:

The decision to phase in the edTPA cut score was a result of the edTPA standard setting panel convened in June 2017. This panel included both P-20 and higher education stakeholders, and was geographically and demographically representative of New York State. This panel of experts ultimately recommended the new edTPA cut score, phase-in process, and cut-off for the Multiple Measures Review Process which they decided will still ensure that a teacher certification candidate possess the requisite knowledge, skills, and abilities to become a teacher of record.

24. COMMENT:

One commenter expressed concern that the edTPA is very costly and time consuming, does not prove teaching ability, and the internship required in education preparation programs is enough to prove teaching effectiveness.

DEPARTMENT RESPONSE:

In response to the concerns raised related to the time and cost of the edTPA, the edTPA Task Force was convened to specifically review concerns related to all of the certification exams. Also, please see responses to COMMENTS # 1 and #3. In response to the comment related to the internship, the edTPA is meant to be embedded in a teacher preparation program, and to be completed during a student teaching placement. Rather than being redundant, the edTPA is meant to enhance and assess the skills gained during a placement.

25. COMMENT:

The Department received several comments supporting the proposed amendments.

DEPARTMENT RESPONSE:

No response is necessary because the comments were supportive.

26. COMMENT:

One commenter raised concerns related to the teacher certification process including: teacher shortage, the poor retirement system, APPR, the registration process for teachers, the cost of obtaining a Master's degree, the cost of the edTPA, the fingerprinting process, and over-testing in schools.

DEPARTMENT RESPONSE:

In response to the teacher shortage, the Department has been working to explore ways to address the perceived shortages while maintaining the high quality of the teaching profession. In response to the concerns related to the retirement system, APPR, the registration process, the cost of obtaining a Master's degree, the fingerprinting process, and over-testing in schools, these concerns are outside the scope of the proposed amendments. Last, in response to the cost of the edTPA, the total cost of the certification exams was one concern addressed by the edTPA Task Force. See response to COMMENT #3.

NOTICE OF ADOPTION

Eligibility Criteria for the Tuition Assistance Program

I.D. No. EDU-39-17-00012-A
Filing No. 1071
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of section 145-2.1 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 305, 602 and 661

Subject: Eligibility Criteria for the Tuition Assistance Program.

Purpose: Define certain terms to be used for eligibility for the Tuition Assistance Program.

Text or summary was published in the September 27, 2017 issue of the Register, I.D. No. EDU-39-17-00012-P.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, Office of Counsel, 89 Washington Avenue, Room 112, Albany, NY 12234, (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 2020, 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.

NOTICE OF ADOPTION

Principal Preparation Programs and Annual Professional Performance Reviews

I.D. No. EDU-39-17-00013-A
Filing No. 1072
Filing Date: 2017-12-12
Effective Date: 2017-12-27

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

Action taken: Amendment of sections 30-3.2, 30-3.5, 52.1, 52.21 and 80-3.10 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101(not subdivided), 207(not subdivided), 305(1), (2) and 3012-d(4)

Subject: Principal Preparation Programs and Annual Professional Performance Reviews.

Purpose: Establishes new professional practice guidelines and expectations for principals.

Text or summary was published in the September 27, 2017 issue of the Register, I.D. No. EDU-39-17-00013-P.

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

Text of rule and any required statements and analyses may be obtained from: Kirti Goswami, NYS Education Department, 89 Washington Avenue, Room 112, Albany, NY 12234, (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 2020, 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

Requires Teachers to Complete a Mentoring Program During Their First Year of Teaching

I.D. No. EDU-52-17-00008-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 80-3.4 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 215, 305, 3001, 3004 and 3009

Subject: Requires teachers to complete a mentoring program during their first year of teaching.

Purpose: Outlines the requirements for candidates seeking a professional certificate in the classroom teaching service.

Text of proposed rule: Section 80-3.4 of the Regulations of the Commissioner shall be amended to read as follows:

(a) . . .

(b) Requirements for professional certificates in all titles in classroom teaching service, except in a specific career and technical subject within the field of agriculture, business and marketing, family and consumer sciences, health, a technical area, or a trade (grades 7 through 12).

The candidate shall meet the requirements in each of the following paragraphs:

(1) . . .

(2) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(3) . . .

(c) Requirements for professional certificates in a specific career and technical subject (grades 7 through 12). The candidate shall meet the requirements for the professional certificate by successfully completing the requirements in paragraphs (1) through (8) of this subdivision, as applicable.

(1) Option A. The requirements of this paragraph are applicable to candidates who seek a professional certificate and who hold an associate degree or its equivalent. The candidate shall meet the requirements for the professional certificate in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(2) Option B. The requirements of this paragraph are applicable to candidates who seek a professional certificate and do not possess an associate degree or its equivalent. This option shall not be available in specific family and consumer science, business and marketing, and technical subject titles. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(3) Option C. The requirements of this paragraph are applicable to candidates who seek a professional certificate and who hold an associate degree or its equivalent in the career and technical field in which a certificate is sought and who have had at least two years of satisfactory teaching experience, at the post-secondary level, in the certificate area to be taught or in a closely related subject acceptable to the department. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(4) Option D. The requirements of this paragraph are applicable to candidates who seek a professional certificate and who hold a full license as a teacher issued by the department pursuant to section 126.6(f) of this Title in the career and technical field in which a certificate is sought and who have two years of satisfactory teaching experience under a full license issued by the department pursuant to section 126.6(f) of this Title in a licensed private career school in the certificate area under such license, or in a closely related subject area acceptable to the department. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(5) Option G. The requirements of this paragraph are applicable to candidates who seek a professional certificate and who hold an industry acceptable credential in the certificate area taught or in a closely related subject area acceptable to the department or receive a satisfactory passing score on an industry accepted career and technical education examination that demonstrates mastery in the career and technical education subject for which a certificate is sought or a closely related area as approved by the department through a request for qualifications process; and have at least two years of acceptable work experience in the certificate area to be taught or in a closely related subject area acceptable to the department. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(6) Option H. The requirements of this paragraph are applicable to candidates who seek a professional certificate and who completed an approved career and technical education program registered pursuant to section 52.21 of this Title or its equivalent in the certificate area to be taught or in a closely related subject area acceptable to the department; and have either at least one year of acceptable work experience in the certificate area to be taught or in a closely related subject area acceptable to the department or receive a satisfactory passing score on an industry accepted career and technical education examination that demonstrates mastery in the career and technical education subject sought or in a closely related area approved by the department through a request for qualifications process. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(7) Option I. The requirements of this paragraph are applicable to candidates who seek a professional certificate and who are currently certified as a teacher in grades 7-12 in any subject area acceptable to the department, and who either hold an industry related credential in the career and technical education subject to be taught or in a closely related subject area, as determined by the department, or have two years of satisfactory work experience in the certificate area taught, or in a closely related subject area, as determined by the department. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

(8) Option J. The requirements of this paragraph are applicable to candidates who seek a professional certificate and possess a bachelor's degree or higher, in the career and technical field in which a certificate is sought, or in a closely related subject area, as determined by the department, and have one year of documented and satisfactory work experience

in the career and technical education subject for which a certificate is sought, or a related area, as determined by the department, or hold an industry related credential in the career and technical subject for which a certificate is sought, or a related area, as determined by the department. The candidate shall meet the requirements in each of the following subparagraphs:

(i) . . .

(ii) Teaching experience. The candidate shall successfully complete three school years of teaching experience, or its equivalent. The candidate who completes this requirement in total or part through teaching in New York public schools shall be required to participate in a mentored program in the first [year] *180 school days* of employment, as prescribed in Part 100 of this Title, unless the candidate has successfully completed two years of teaching experience prior to such teaching in the public schools.

(iii) . . .

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, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Kelly Grace, NYS Education Department, 89 Washington Avenue, 975 EBA, Albany, NY 12234, (518) 486-2573, email: regcomments@nysed.gov

Public comment will be received until: 45 days after publication of this notice.

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 210(not subdivided) authorizes the Regents to register domestic and foreign institutions in terms of New York standards.

Education Law 305(1) authorizes the Commissioner to enforce laws relating 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 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.

Education Law 3009 prohibits school district money from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to Section 80-3.4 of the Regulations of the Commissioner of Education is to change the current mentoring requirement from having to take place during the first year of employment to the first 180 days of employment (the equivalent of an academic year). This change enables new teachers who are hired late in the school year to have the same amount of time to participate in mentoring as those hired early in a school year.

3. NEEDS AND BENEFITS:

Section 80-3.4 of the Regulations of the Commissioner of Education outlines the requirements for candidates seeking a professional certificate in the classroom teaching service. One of these requirements is that candidates must complete three years of teaching experience, and as a part of that experience, participate in a mentored program during the first year of employment. Mentoring programs provide support for new teachers in order to ease the transition from teacher preparation to practice. The goals of mentoring programs include increasing the retention and skills of new teachers.

Requiring teachers to complete a mentoring program during their first year of teaching is critical for their professional development. The current regulation requires mentoring to take place during the first year of employment. However, some teachers are hired late in the academic year, giving them only until the end of the academic year to engage in a mentoring program.

Proposed Amendment

The proposed amendment would change the mentoring requirement from the first year of employment to the first 180 school days of employment, which is equivalent to an academic year. This change would enable new teachers who are hired late in the academic year to have the same amount of time to participate in a mentoring program as new teachers who begin teaching on the first day of the academic year. The proposed amendment is also consistent with one of the policy recommendations in the draft New York State ESSA plan.

4. COSTS:

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

b. Costs to local government: The amendment does not impose any costs on local government.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

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:

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 adopted as a permanent rule by the Board of Regents at its March 2018 meeting. If adopted at the March 2018 meeting, the proposed amendment will become effective on March 28, 2018.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 80-3.4 of the Regulations of the Commissioner of Education is to change the current mentoring requirement for candidates seeking a professional teaching certificate from having to take place during the first year of employment to the first 180 days of employment (the equivalent of an academic year). This change enables new teachers who are hired late in the school year to have the same amount of time to participate in mentored experience as those hired early in a school year.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments 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 all individuals in New York State pursuing a professional certificate in the classroom teaching service and school districts or BOCES who wish to hire them for their experience to gain their professional certificate, 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:

Section 80-3.4 of the Regulations of the Commissioner of Education outlines the requirements for candidates seeking a professional certificate in the classroom teaching service. One of these requirements is that candidates must complete three years of teaching experience, and as a part of that experience, participate in a mentored program during the first year of employment. Mentoring programs provide support for new teachers in order to ease the transition from teacher preparation to practice. The goals of mentoring programs include increasing the retention and skills of new teachers.

Requiring teachers to complete a mentoring program during their first year of teaching is critical for their professional development. The current regulation requires mentoring to take place during the first year of employment. However, some teachers are hired late in the academic year, giving them only until the end of the academic year to engage in a mentoring program.

Proposed Amendment

The proposed amendment would change the mentoring requirement from the first year of employment to the first 180 school days of employment, which is equivalent to an academic year. This change would enable new teachers who are hired late in the academic year to have the same amount of time to participate in a mentoring program as new teachers who begin teaching on the first day of the academic year. The proposed amendment is also consistent with one of the policy recommendations in the draft New York State ESSA plan.

3. COSTS:

The proposed amendment does not impose any costs on teacher certifi-

cation candidates and/or the New York State school districts/BOCES who wish to hire them in rural areas.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment has no adverse impact on teacher certification candidates and/or the New York State school districts/BOCES who wish to hire them in rural areas.

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 to Section 80-3.4 of the Regulations of the Commissioner of Education is to change the current mentoring requirement from having to take place during the first year of employment to the first 180 days of employment (the equivalent of an academic year). This change enables new teachers who are hired late in the school year to have the same amount of time to participate in mentoring as those hired early in a school year.

Because it is evident from the nature of the proposed amendments that they 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

Creation of New Certification Area and Tenure Area in the Classroom Teaching Service for Computer Science

I.D. No. EDU-52-17-00009-P

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

Proposed Action: Amendment of Parts 30, 80 and section 52.21 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 215, 305, 3001, 3004 and 3009

Subject: Creation of new certification area and tenure area in the classroom teaching service for computer science.

Purpose: To establish the requirements for a computer science certification area (all grades) and a new tenure area.

Text of proposed rule: 1. Subdivisions (d) and (e) of Section 30-1.2 of the Rules of the Board of Regents shall be renumbered as subdivisions (e) and (f) and the renumbered subdivision (e) shall be amended to read as follows:

(e) Except as otherwise provided in subdivisions (b) [and], (c) *and (d)* of this section, each board of education or board of cooperative educational services shall on and after the effective date of this Subpart make probationary appointments and appointments on tenure in accordance with the provisions of this Subpart.

2. A new subdivision (d) shall be added to section 30-1.2 of the Rules of the Board of Regents to read as follows:

(d) The provisions of this Subpart shall apply to a professional educator employed by a school district or board of cooperative educational services to devote a substantial portion of his or her time to the provision of instruction in computer science, on or after August 1, 1975, as follows:

(1) A professional educator employed by a school district or board of cooperative educational services on September 1, 2022 who was previously appointed by the board to tenure or a probationary period in a tenure area identified in this Subpart shall either:

(i) continue to receive credit toward tenure and/or accrue tenure and seniority rights in his or her previous tenure area from the initial date of his or her assignment and continue to receive tenure and/or seniority rights in his or her previous tenure area while assigned to devote a substantial portion of his or her time to the provision of instruction in computer science; or

(ii) if the professional educator provides knowing consent to the school district or board of cooperative educational services to change his or her tenure area pursuant to section 30-1.9 of this Subpart by September 1, 2022, he or she may receive credit toward tenure and/or accrue tenure and seniority rights in the special subject tenure area of computer science, established in section 30-1.8 of this Subpart, from the date of his or her initial assignment to a position where he or she devoted a substantial portion of his or her time to the provision of instruction in computer science and he or she shall continue to receive tenure and seniority rights in that tenure area while assigned to a position where he or she devotes a substantial portion of his or her time to the provision of computer science instruction appropriate for such tenure area.

(2) Any school district or board of cooperative educational services that appoints or assigns a professional educator on or after September 1, 2022 to devote a substantial portion of his or her time to the provision of computer science instruction shall make probationary appointments and appointments on tenure in accordance with section 30-1.8(e) of this Subpart.

(3) Any board of cooperative educational services that appoints a professional educator on or after September 1, 2022 to devote a substantial portion of his or her time to computer science instruction as a result of a board of cooperative educational services taking over a program formerly operated by a school district or a county vocational education and extension board pursuant to section 3014-a of the Education Law, shall credit the professional educator with tenure and seniority rights in the special subject tenure area for computer science instruction established in section 30-1.8(e) of this Subpart from the initial date of his or her assignment to the performance of computer science instruction in the school district or county vocational education and extension board and shall continue to credit the professional educator with tenure and/or seniority rights in such tenure area while he or she is assigned to devote a substantial portion of his or her time to the performance of computer science instruction in such tenure area at the board of cooperative educational services.

(4) Any board of education that appoints a professional educator on or after September 1, 2022 to devote a substantial portion of his or her time to computer science instruction as a result of a school district taking over a program formerly operated by a board of cooperative educational services pursuant to section 3014-b of the Education Law, where the professional educator is serving in a computer science instruction tenure area pursuant to section 30-1.9(b) of this Subpart, shall credit the professional educator with tenure and seniority rights in a tenure area for which he or she holds the proper certification as described in section 30-1.9(b) of this Subpart, from the initial date of his or her assignment to the performance of computer science instruction in the board of cooperative educational services and shall continue to credit such professional educator with tenure and/or seniority rights in such tenure area while he or she is assigned to devote a substantial portion of his or her time to the performance of computer science instruction provided that he or she holds the proper certification for such tenure area.

3. Paragraphs (14) through (16) of subdivision (a) of section 30-1.8 of the Rules of the Board of Regents shall be amended to read as follows:

(14) speech—remedial; [and]

(15) English as a second language[.]*; and*

(16) Computer science.

4. Subdivision (d) in section 30-1.9 of the Rules of the Board of Regents, is amended to read as follows:

(d) If a professional educator possesses certification appropriate to more than a single tenure area and the board of education or board of cooperative educational services proposes at the time of initial appointment to assign such individual in such a manner that he will devote a substantial portion of his time during each of the school years constituting the probationary period in more than one of the tenure areas established by this Subpart, the board shall in its resolution of appointment designate such tenure area and shall thereafter separately confer or deny tenure to such individual in the manner prescribed by statute in each designated tenure area, except that individuals accruing tenure and/or seniority rights in their previous tenure area for the performance of duties in instructional support services *or computer science* as provided for in [section] *sections* 30-1.2(c)(1)(i) *and (d)(1)(i)* of this Subpart *as applicable*, shall only accrue tenure and/or seniority rights in their previous tenure area and not in one of the instructional support services tenure areas *or the computer science tenure area* [prescribed] *described* in section *30-1.8(a) and (e)* of this Subpart as applicable.

5. Subparagraph (v) of paragraph (3) of subdivision (b) of section 52.21 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(v) Programs leading to initial certificates valid for teaching a special subject (all grades).

(a) Content core. [In] *Except as provided in paragraph (1) of this subdivision, in* addition to meeting the general requirements for the content core prescribed in clause (2)(ii)(b) of this subdivision, the content core shall be a major or its equivalent in the subject area of the certificate that provides a knowledge base for assisting students in meeting the State learning standards for students, as applicable to one of the following subjects and prescribed in Part 100 of this Title: dance, family and consumer sciences, health education, music, physical education, technology education, theatre, or visual arts.

(1) For certificates in computer science (all grades), in addition to meeting the general requirements for the content core prescribed in clause (2)(ii)(b) of this subdivision and until such time as the Department adopts State learning standards for computer science in Part 100 of this Title, the content core shall be at least a total of 12 semester hours that provides a knowledge base for assisting students in understanding the following concepts:

(i) Algorithms and programming;
(ii) Computing systems;
(iii) Data and analysis;
(iv) Impacts of computing; and
(v) Networks and the internet.

6. Subparagraphs (xxvi) through (xlvii) of paragraph (1) of subdivision (e) of section 80-3.2 of the Regulations of the Commissioner of Education shall be renumbered subparagraphs (xxvii) through (xlviii) of section 80-3.2 of the Regulations of the Commissioner of Education and a new subdivision (xxvi) shall be added to read as follows:

(xxvi) Computer science, all grades.

7. Subdivision (b) of section 80-3.3 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(b) Requirements for initial certificates in all titles in classroom teaching service, except in a specific career and technical subject within the field of agriculture, business and marketing, family and consumer sciences, health, a technical area or a trade (grades 7 through 12). The candidate shall meet the requirements in each of the following paragraphs:

(1) . . .

(2) Examination. The candidate shall meet the examination requirement by meeting the requirements in one of the following subparagraphs:

(i) . . .

(a) Except as otherwise provided in this section, for candidates applying for certification on or after May 1, 2014 or candidates who applied for certification on or before April 30, 2014 but did not meet all the requirements for an initial certificate on or before April 30, 2014, such candidates shall submit evidence of having achieved a satisfactory level of performance on the New York State Teacher Certification Examination teacher performance assessment, the educating all students test, and the content specialty test(s) in the area of the certificate*, when available*, except that a candidate seeking an initial certificate in the title of Speech and Language Disabilities (all grades) shall not be required to achieve a satisfactory level of performance on the content specialty test or the teacher performance assessment and a candidate seeking an initial certificate in the title of Educational Technology Specialist (all grades) shall not be required to achieve a satisfactory level of performance on the teacher performance assessment.

(b) . . .

(ii) . . .

8. A new subdivision (d) shall be added to section 80-3.3 of the Regulations of the Commissioner of Education to read as follows:

(d) Requirements for an initial certificate in computer science for candidates who hold a bachelor's degree or higher and have satisfactory industry experience in the field.

(1) The requirements of this paragraph are only applicable to candidates who possess a bachelor's degree or higher, and at least three years of documented and satisfactory occupational work experience in computer science, or a related area, as determined by the department. The candidate shall meet the requirements in each of the following subparagraphs:

(i) Education. The candidate shall meet the education requirement through satisfactory completion of a bachelor's degree or higher from a regionally accredited higher education institution or an equivalently approved higher education institution as determined by the department.

(ii) Pedagogy coursework. The candidate shall complete 18 semester hours of coursework that includes study in each of the following subjects:

(a) human development and learning, including but not limited to the impact of culture, heritage, socioeconomic level and factors in the home, school and community that may affect a student's readiness to learn;

(b) teaching students with disabilities and special health-care needs to develop the skills necessary to provide specially designed instruction to students with disabilities to participate and progress in the general education curriculum, three semester hours;

(c) teaching literacy skills, three semester hours;

(d) curriculum, instruction, and assessment, including instructional technology; and

(e) foundations of education (historical, philosophical, sociological and/or legal).

(ii) Experience. The candidate shall have at least three years of documented and satisfactory occupational work experience in computer science, or a related area, as determined by the department;

(iii) Examination. The candidate shall pass the New York State Teacher Certification Examination Educating all Students test, the content specialty test when available, and the teacher performance assessment, when available in the computer science area.

9. A new section 80-3.14 of the Regulations of the Commissioner of Education shall be added to read as follows:

§ 80-3.14 Statement of continued eligibility for teachers of computer science.

(i) Upon application, any person holding a valid certificate in the classroom teaching service and employed within the five years immediately preceding September 1, 2022, as a teacher of computer science courses in a New York State public school or board of cooperative educational services or any other school where teacher certification is required, may be issued a statement of continued eligibility so that such person may continue to teach computer science courses in the employing school district, school or board of cooperative educational services. The statement of continued eligibility shall be valid for ten years from the date the statement of continued eligibility is issued and the candidate shall not be required to hold a computer science certificate as prescribed in section 80-3.2 of this Title, provided such person holds a permanent or professional certificate in another certification area in the classroom teaching service.

(ii) A statement of continued eligibility shall only be valid for service in the school district, board of cooperative educational services, or other school that employed such individual when the statement of continued eligibility was issued.

(iii) Applications for the statement of continued eligibility must be filed with the department on or before September 1, 2022.

10. Paragraph (1) of subdivision (a) of section 80-3.7 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(1) A candidate seeking to fulfill the education requirement for an initial certificate through individual evaluation of education requirements shall meet the general requirements prescribed in paragraph (2) of this subdivision, and the additional requirements, if any, prescribed in paragraph (3) of this subdivision for the certificate title for which application is made. The following initial certificates have no additional requirements prescribed in paragraph (3) of this subdivision: dance (all grades), health education (all grades), music (all grades), physical education (all grades), theater (all grades), visual arts (all grades), educational technology specialist (all grades), agriculture (all grades), family and consumer sciences (all grades), business and marketing (all grades), [and] technology education (all grades) *and computer science (all grades)*.

11. Subparagraph (iv) of paragraph (2) of subdivision (a) of section 80-3.7 of the Regulations of the Commissioner of Education shall be amended to read as follows:

(iv) Content core. The candidate shall complete 30 semester hours of coursework in the subject area of the certificate title, which may include no more than six of the 30 semester hours in a cognate, meaning a related field as determined by the department*; provided, however that a candidate seeking an initial certificate in computer science shall only be required to complete 12 semester hours of coursework in the subject area of the certificate title.*

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 112, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Kelly Grace, NYS Education Department, 89 Washington Avenue, 975 EBA, Albany, NY 12234, (518) 486-2573, email: regcomments@nysed.gov

Public comment will be received until: 45 days after publication of this notice.

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 210(not subdivided) authorizes the Regents to register domestic and foreign institutions in terms of New York standards.

Education Law 305(1) authorizes the Commissioner to enforce laws relating 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 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.

Education Law 3009 prohibits school district money from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendments to Part 30 of the Regents Rules, Section 52.21 and Part 80 of the Regulations of the Commissioner of Educations are to create a new certification area and tenure area in the classroom teaching service for computer science. At this time, there is a

growing movement at the state and national levels for students to learn about computer science in schools. The Department is recommending the development of a computer science certificate that spans all grades in response to the growing need and desire to prepare students to succeed in a world with constantly evolving computer technologies. This certificate would ensure that students are working with teachers who have the knowledge and skills to provide high-quality computer science instruction and would also establish minimum and consistent standards for teachers of computer science courses.

3. NEEDS AND BENEFITS:

Computer science courses in schools provide students with the opportunity to learn how computers work and how we can use computers to solve problems in our society. The foundational knowledge in these courses is critical to preparing each child for success in college, career, and citizenship for the 21st century.

There is a growing movement at the state and national levels for students to learn about computer science in schools. In New York City, the goal of the "Computer Science for All" initiative is that all public school students will engage in computer science education at the elementary, middle, and high school levels by 2025. The Association for Computing Machinery, Code.org, Computer Science Teachers Association (CSTA), Cyber Innovation Center, and National Math and Science Initiative collaborated with states, school districts, technology companies, and other organizations in the development of a K-12 Computer Science Framework (2016) that describes the computer science concepts and practices in which students should engage through elementary, middle, and high school. In addition, almost all parents (93%) support the use of school resources to provide computer science education at their child's school (Google & Gallup, 2016).

Learning computer science concepts and practices develops computational skills, logic, problem solving, and creativity. This set of skills is important for citizenship and for any career in today's world. Jobs in computing are particularly high-paying and in high-demand. According to Code.org, there are currently 486,686 openings for computing jobs while only 42,969 computer science students graduated into the workforce last year. The Bureau of Labor Statistics also projects that two of the top 15 fastest growing jobs from 2016-2026 will be computing jobs: software developers/applications (30.5% expected growth rate) and information security analysts (28.4% expected growth rate).

The College Board offers two Advanced Placement (AP) exams where high school students can demonstrate their understanding of computer science and earn college credit: AP Computer Science A and AP Computer Science Principles. The latter test was launched this year. Code.org found that the number of AP computer science test takers more than doubled from last year to 111,262 test takers in 2017. However, only 20% of the test takers were students of color and 27% of the test takers were female. These percentages highlight the need to provide each student with access to computer science education throughout their schooling, enabling them to learn important knowledge and skills to help close equity gaps in achievement and employment.

The Department is recommending the development of a computer science certificate that spans all grades in response to the growing need and desire to prepare students to succeed in a world with constantly evolving computer technologies. A computer science certificate in the classroom teaching service would ensure that students are working with teachers who have the knowledge and skills to provide high-quality computer science instruction and would establish minimum and consistent standards for teachers of computer science courses.

Proposed Amendment

At this time, the Department is proposing amendments to Parts 30, 52, and 80 to create a computer science certificate for all grades (P-12) and program registration requirements for computer science education programs. The computer science education programs would enable candidates to obtain an initial certificate in computer science. To allow colleges time to prepare for and develop computer science programs, the proposed amendments will allow certified educators who are currently teaching computer science courses to continue teaching these courses without holding a computer science certificate while holding a statement of continued eligibility.

The amendments also make changes to Part 30 which relates to tenure areas. Computer science will be considered a "special subject" across all grades. The proposed amendment provides flexibility and allows certain candidates who teach a substantial portion of their time in computer science courses to choose to either continue accruing tenure in their base certificate or in the special subject computer science area.

Transition and Implementation of the Computer Science Certificate:

Currently, teachers who hold a certificate in any area are teaching computer science courses. The proposed amendment outlines a process for "grandfathering" those teachers currently teaching computer science courses, as well as those who begin teaching computer science courses between now and September 1, 2022. This process will allow those teaching computer science courses in school districts and BOCES to continue doing so without holding a computer science certificate for 10 years from the date the statement of continued eligibility is issued. Having these teachers continue to teach computer science courses provides time for institutions of higher education to implement computer science teacher preparation programs and additional time for these individuals teaching such courses to obtain computer science certification. This process also helps to ensure flexibility during this time of transition for school districts and BOCES.

Creating a new certificate, and therefore a new tenure area, will impact those currently teaching and those entering the profession with a computer science certificate. In response, the proposed amendment adds computer science as a "special subject" tenure area. After September 1, 2022, an educator who was previously appointed tenure in a different tenure area may choose to continue to receive credit toward tenure and seniority rights in their previous tenure area while devoting a substantial portion of their time to teaching computer science courses, or they may choose to change their tenure area to receive credit and accrue seniority rights in the special subject tenure area of computer science. By giving educators a choice, they will be able to make an informed decision as to the accrual of their tenure and seniority rights based on their teaching assignments.

For educators assigned/appointed on or after September 1, 2022 who are devoting a substantial portion (40% or more) of their time teaching computer science, probationary appointments and appointments in tenure are made in accordance with normal tenure rules. Specifically, these teachers must be appointed tenure in the special subject tenure area (computer science).

Pathways to a Computer Science Certificate:

Overall, the proposed amendments create four pathways for an individual to pursue an initial certificate in computer science:

1. Approved program pathway: an individual pursuing a bachelor's degree in an educator preparation program leading to an initial certificate in computer science or a master's degree in an educator preparation program leading to an initial computer science certificate.

2. Individual evaluation pathway: an individual with a bachelor's degree or higher and at least 12 semester hours of coursework in computer science may pursue this pathway upon meeting pedagogy and student teaching requirements.

3. Industry experience: individuals who already have a bachelor's degree or higher and also have had three or more years of experience working in a position that requires the skills of a computer scientist may pursue this pathway and would need to complete specific pedagogical coursework.

4. Additional certificate pathway: individuals who already hold a teaching certificate may pursue an additional certificate in computer science by meeting specific computer science coursework.

Currently, there is no content specialty test (CST) for computer science. However, at such time one becomes available, the Department will require those pursuing an initial certificate in computer science to take and pass the exam.

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 amendment do not impose any costs on private regulated parties.

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:

While alternatives to the creation of a computer science certificate were considered, the proposed amendments were heavily influenced by the results of a Request for Information survey the Department sent to the field (including higher education and P12).

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated that the proposed amendment will be adopted as a permanent rule by the Board of Regents at its March 2018 meeting. If adopted at the March 2018 meeting, the proposed amendment will become effective on March 28, 2018.

Regulatory Flexibility Analysis

(a) Small businesses:

The purpose of the proposed amendments to Part 30 of the Regents

Rules, Section 52.21 and Part 80 of the Regulations of the Commissioner of Educations are to create a new certification area and tenure area in the classroom teaching service for computer science. At this time, there is a growing movement at the state and national levels for students to learn about computer science in schools. The Department is recommending the development of a computer science certificate that spans all grades in response to the growing need and desire to prepare students to succeed in a world with constantly evolving computer technologies. This certificate would ensure that students are working with teachers who have the knowledge and skills to provide high-quality computer science instruction and would also establish minimum and consistent standards for teachers of computer science courses.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact on small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one 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 purpose of the proposed amendments to Part 30 of the Regents Rules, Section 52.21 and Part 80 of the Regulations of the Commissioner of Educations are to create a new certification area and tenure area in the classroom teaching service for computer science. Beginning on September 1, 2022, all teachers in grades K-12 who teach computer science courses will be required to hold a certificate in the classroom teaching service in the area of computer science. There will be a transition period (outlined under Compliance Requirements) during which those currently teaching computer science will be "grandfathered" in to the new requirement for a period of time.

Institutions of higher education wishing to offer education preparation programs in the area of computer science must register these programs with the Department.

2. COMPLIANCE REQUIREMENTS:

Currently, teachers who hold a certificate in any area are teaching computer science courses. The proposed amendment outlines a process for "grandfathering" those teachers currently teaching computer science courses, as well as those who begin teaching computer science courses between now and September 1, 2022. This process will allow those teaching computer science courses in school districts and BOCES to continue doing so without holding a computer science certificate for 10 years from the date the statement of continued eligibility is issued. Having these teachers continue to teach computer science courses provides time for institutions of higher education to implement computer science teacher preparation programs and additional time for these individuals teaching such courses to obtain computer science certification. This process also helps to ensure flexibility during this time of transition for school districts and BOCES.

Creating a new certificate, and therefore a new tenure area, will impact those currently teaching and those entering the profession with a computer science certificate. In response, the proposed amendment adds computer science as a "special subject" tenure area. After September 1, 2022, an educator who was previously appointed tenure in a different tenure area may choose to continue to receive credit toward tenure and seniority rights in their previous tenure area while devoting a substantial portion of their time to teaching computer science courses, or they may choose to change their tenure area to receive credit and accrue seniority rights in the special subject tenure area of computer science. By giving educators a choice, they will be able to make an informed decision as to the accrual of their tenure and seniority rights based on their teaching assignments.

3. PROFESSIONAL SERVICES:

No professional services are needed to comply with the proposed amendment.

4. COMPLIANCE COSTS:

The proposed amendment does not impose any additional compliance costs on school districts and BOCES.

5. ECONOMIC AND TECHNOLOGICAL FEASIBILITY:

The proposed amendment does not impose any additional technological requirements on school districts and BOCES.

6. MINIMIZING ADVERSE IMPACT:

The Department believes that uniform certification and tenure standards must be established for all teachers employed in school districts and BOCES across the State. Therefore, no alternatives were considered. Moreover, the proposed amendment does not directly impose any additional compliance requirements or costs on school districts.

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 and from charter schools.

Rural Area Flexibility Analysis

1. TYPES AND ESTIMATED NUMBER OF RURAL AREAS:

This proposed amendment applies to all individuals in New York State pursuing a computer science certificate in the classroom teaching service, as well as the school districts and BOCES offering courses in computer science and any institutions of higher education that seek to register computer science programs, 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 Part 30 of the Regents Rules, Section 52.21 and Part 80 of the Regulations of the Commissioner of Educations are to create a new certification area and tenure area in the classroom teaching service for computer science. At this time, there is a growing movement at the state and national levels for students to learn about computer science in schools. The Department is recommending the development of a computer science certificate that spans all grades in response to the growing need and desire to prepare students to succeed in a world with constantly evolving computer technologies. This certificate would ensure that students are working with teachers who have the knowledge and skills to provide high-quality computer science instruction and would also establish minimum and consistent standards for teachers of computer science courses.

Proposed Amendment

At this time, the Department is proposing amendments to Parts 30, 52, and 80 to create a computer science certificate for all grades (P-12) and program registration requirements for computer science education programs. The computer science education programs would enable candidates to obtain an initial certificate in computer science. To allow colleges time to prepare for and develop computer science programs, the proposed amendments will allow certified educators who are currently teaching computer science courses to continue teaching these courses without holding a computer science certificate while holding a statement of continued eligibility.

The amendments also make changes to Part 30 which relates to tenure areas. Computer science will be considered a "special subject" across all grades. The proposed amendment provides flexibility and allows certain candidates who teach a substantial portion of their time in computer science courses to choose to either continue accruing tenure in their base certificate or in the special subject computer science area.

Transition and Implementation of the Computer Science Certificate:

Currently, teachers who hold a certificate in any area are teaching computer science courses. The proposed amendment outlines a process for "grandfathering" those teachers currently teaching computer science courses, as well as those who begin teaching computer science courses between now and September 1, 2022. This process will allow those teaching computer science courses in school districts and BOCES to continue doing so without holding a computer science certificate for 10 years from the date the statement of continued eligibility is issued. Having these teachers continue to teach computer science courses provides time for institutions of higher education to implement computer science teacher preparation programs and additional time for these individuals teaching such courses to obtain computer science certification. This process also helps to ensure flexibility during this time of transition for school districts and BOCES.

Creating a new certificate, and therefore a new tenure area, will impact those currently teaching and those entering the profession with a computer science certificate. In response, the proposed amendment adds computer science as a "special subject" tenure area. After September 1, 2022, an educator who was previously appointed tenure in a different tenure area may choose to continue to receive credit toward tenure and seniority rights in their previous tenure area while devoting a substantial portion of their time to teaching computer science courses, or they may choose to change their tenure area to receive credit and accrue seniority rights in the special subject tenure area of computer science. By giving educators a choice, they will be able to make an informed decision as to the accrual of their tenure and seniority rights based on their teaching assignments.

For educators assigned/appointed on or after September 1, 2022 who are devoting a substantial portion (40% or more) of their time teaching computer science, probationary appointments and appointments in tenure are made in accordance with normal tenure rules. Specifically, these teachers must be appointed tenure in the special subject tenure area (computer science).

3. COSTS:

The proposed amendment does not impose any costs on teacher certification candidates and/or the New York State school districts/BOCES who wish to hire them.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendment was developed after significant feedback from the P-12 and Higher Education sectors, which included individuals

and higher education institutions located in rural areas. The Department believes that uniform standards for certification and tenure in computer science and program registration standards in computer science 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 Part 30 of the Regents Rules, Section 52.21 and Part 80 of the Regulations of the Commissioner of Educations are to create a new certification area and tenure area in the classroom teaching service for computer science. At this time, there is a growing movement at the state and national levels for students to learn about computer science in schools. The Department is recommending the development of a computer science certificate that spans all grades in response to the growing need and desire to prepare students to succeed in a world with constantly evolving computer technologies. This certificate would ensure that students are working with teachers who have the knowledge and skills to provide high-quality computer science instruction and would also establish minimum and consistent standards for teachers of computer science courses.

The proposed amendment includes a provision allowing for those currently teaching computer science courses to be "grandfathered" into the new certification requirement. Upon issuance of a statement of continued eligibility, those teachers will be able to continue teaching computer science courses for 10 years from the date of such statement without holding a computer science certificate. This provision is intended to ease the transition for candidates, school districts, and BOCES in terms of job impact and preventing any teacher shortage.

Because it is evident from the nature of the proposed amendments that they 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

Alternative Teacher Certification Program Models

I.D. No. EDU-52-17-00010-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 80-5.13 of Title 8 NYCRR.

Statutory authority: Education Law, sections 207, 305, 3001, 3003, 3004 and 3009

Subject: Alternative Teacher Certification Program Models.

Purpose: To have greater flexibility in the design of alternative teacher certification program models.

Text of proposed rule: 1. Subparagraph (iii) of paragraph (2) of subdivision (a) of section 80-5.13 is amended to read as follows:

(iii) Employment and support commitment. The candidate shall submit satisfactory evidence of having a commitment from a school or school district of employment as a [full-time] teacher with the school or school district in the area of the certificate sought for at least three school years, which shall include at least one year of [mentoring] *full-time teaching experience that is mentored,* as prescribed in section 52.21(b)(3)(xvii) or (b)(5) *and 80-5.13(b)(1)(iii)* of this Title.

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

Data, views or arguments may be submitted to: Kelly Grace, NYS Education Department, Office of Higher Education, Room 975 EBA, Albany, NY 12234, (518) 486-2573, email: regcomments@nysed.gov

Public comment will be received until: 45 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 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 relating 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 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.

Education Law 3009 prohibits school district money from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to Section 80-5.13 of the Regulations of the Commissioner of Education is to maintain the three-year employment commitment but in lieu of all three years being full-time, the proposed amendment allows a candidate to be initially employed part-time while gradually assuming more responsibility and then ultimately teaching full-time for at least one school year. This amendment will allow for a range of alternative program preparation models and would validate the employment service of Transitional B candidates while completing their alternative teacher preparation program.

3. NEEDS AND BENEFITS:

Alternative teacher preparation (ATP) programs in New York are designed to attract highly competent people who possess a bachelor's degree with a major in the subject they plan to teach, but who initially lack courses in teaching. ATP programs qualify candidates for Transitional B certification validating their employment as teacher of record as they transition to meeting all requirements for initial teaching certification. The model currently supports programs in the State, including the NYC Teaching Fellows and Teach for America programs.

The Transitional B certificate is limited to the employing school district and remains valid only while the candidate is enrolled in the ATP program. The current regulation also requires the employing school district to provide a commitment to the candidate that they will employ the candidate full-time for three school years while they simultaneously complete required credit-bearing courses and seminars that are designed to link educational theory with classroom experience. Like traditional programs of preparation, the ATP candidates must complete coursework that addresses all areas of teaching competency required for initial certification.

Institutions are finding the requirements for a Transitional B certificate limiting because current regulations require the candidate to be employed full-time as a teacher of record at the onset of their employment. Variations of the ATP model have been proposed where the ATP candidate is initially employed part-time and works in the classroom of the mentoring teacher of record. This variation emphasizes mentored scaffolded training where the teaching candidate can observe and practice skills, gradually assuming responsibility of their mentoring teacher's classroom, and ultimately teaching full-time as the teacher of record.

Proposed Amendment

The Department proposes an amendment to the regulation to provide more flexibility for scaffolded training. The proposed amendment maintains the three year employment commitment but in lieu of all three years being full-time, the proposed amendment allows a candidate to be initially employed part-time while gradually assuming more responsibility and then ultimately teaching full-time for at least one school year. This amendment would allow for a range of alternate program preparation models and would validate the employment service of Transitional B candidates while completing their alternative teacher preparation program. The proposed amendment also maintains the current rigor by making it clear that the employment and support commitment include at least one year of full-time mentored teaching to meet the experience requirements required for an Initial teaching certificate as prescribed in Section 80-5.13(b)(1)(ii) of the Regulations.

4. COSTS:

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

b. Costs to local government: The amendment does not impose any costs on local government.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

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:

No alternatives were considered. The proposed amendment seeks to create more flexibility for alternative teacher preparation models and candidates enrolled in such programs obtaining a Transitional B certificate.

9. FEDERAL STANDARDS:
There are no applicable Federal standards.
10. COMPLIANCE SCHEDULE:
It is anticipated that the proposed amendment will be adopted as a permanent rule by the Board of Regents at its March 2018 meeting. If adopted at the March 2018 meeting, the proposed amendment will become effective on March 28, 2018.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 80-5.13 of the Regulations of the Commissioner of Education is to maintain the three-year employment commitment but in lieu of all three years being full-time, the proposed amendment allows a candidate to be initially employed part-time while gradually assuming more responsibility and then ultimately teaching full-time for at least one school year. This amendment will allow for a range of alternative program preparation models and would validate the employment service of Transitional B candidates while completing their alternative teacher preparation program.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments 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 all individuals in New York State pursuing a Transitional B certificate in the classroom teaching service, 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 amendment to Section 80-5.13 of the Regulations of the Commissioner of Education is to maintain the three-year employment commitment but in lieu of all three years being full-time, the proposed amendment allows a candidate to be initially employed part-time while gradually assuming more responsibility and then ultimately teaching full-time for at least one school year. This amendment will allow for a range of alternative program preparation models and would validate the employment service of Transitional B candidates while completing their alternative teacher preparation program.
Proposed Amendment
The Department proposes an amendment to the regulation to provide more flexibility for scaffolded training. The proposed amendment maintains the three year employment commitment but in lieu of all three years being full-time, the proposed amendment allows a candidate to be initially employed part-time while gradually assuming more responsibility and then ultimately teaching full-time for at least one school year. This amendment would allow for a range of alternate program preparation models and would validate the employment service of Transitional B candidates while completing their alternative teacher preparation program. The proposed amendment also maintains the current rigor by making it clear that the employment and support commitment include at least one year of full-time mentored teaching to meet the experience requirements required for an Initial teaching certificate as prescribed in Section 80-5.13(b)(1)(ii) of the Regulations.
3. COSTS:
The proposed amendment does not impose any costs on teacher certification candidates pursuing a Transitional B certificate, and/or the New York State school districts/BOCES who wish to hire them.
4. MINIMIZING ADVERSE IMPACT:
The proposed amendments create no adverse impact and in fact creates more flexibility for institutions of higher education offering alternative preparation programs and those candidates enrolled in such programs.
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 to Section 80-5.13 of the Regulations of the Commissioner of Education is to maintain the three-year employment commitment but in lieu of all three years being full-time, the proposed amendment allows a candidate to be initially employed part-time while gradually assuming more responsibility and then ultimately teaching full-time for at least one school year. This amendment will allow for a range of alternative program preparation models and would validate the employment service of Transitional B candidates while completing their alternative teacher preparation program.

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

Grade-Level Extensions for Certain Candidates Who Hold a Students with Disabilities Generalist Certificate

I.D. No. EDU-52-17-00011-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 80-4.3 of Title 8 NYCRR.

Statutory authority: Education Law, sections 101, 207, 210, 215, 305, 3001, 3004 and 3009

Subject: Grade-level extensions for certain candidates who hold a Students with Disabilities Generalist certificate.

Purpose: To expand the pool of qualified teachers of students with disabilities by establishing grade level extensions for certificates.

Text of proposed rule: New subdivisions (o), (p), (q) and (r) shall be added to section 80-4.3 of the Regulations of the Commissioner of Education to read as follows:

(o) Requirements for a grade-level extension to teach students with disabilities (grades 3-4). The candidate shall meet the requirements in each of the following paragraphs:

(1) the candidate shall hold a valid initial or professional certificate in students with disabilities (birth - grade 2);

(2) the candidate shall submit satisfactory evidence of at least three school years of teaching experience; provided that at least 75 percent of the candidate's time is spent teaching students with disabilities in grades 1 and/or 2 in the public schools of this State while holding a valid certificate, during each of the three school years; and

(3) the candidate must either:

(i) provide satisfactory evidence of completion of at least 45 hours of acceptable continuing teacher and leader education focused on students with disabilities at the elementary level; or

(ii) the candidate shall complete a minimum of three semester hours of satisfactory pedagogical study or its equivalent, that is focused on students with disabilities at the elementary level.

(p) Requirements for a grade-level extension to teach students with disabilities in pre-kindergarten and kindergarten. The candidate shall meet the requirements in each of the following paragraphs:

(1) the candidate shall hold a valid initial or professional certificate in students with disabilities (grades 1-6);

(2) the candidate shall submit satisfactory evidence of at least three years of teaching experience; provided that at least 75 percent of the candidate's time is spent teaching students with disabilities in grades 1 and/or 2 in the public schools of this State while holding a valid certificate, during each of the three school years; and

(3) the candidate must either:

(i) provide satisfactory evidence of completion of at least 45 hours of acceptable continuing teacher and leader education focused on students with disabilities at the early childhood level; or

(ii) the candidate shall complete a minimum of three semester hours of satisfactory pedagogical study or its equivalent, that is focused on students with disabilities at the early childhood level.

(q) Requirements for the extension to teach students with disabilities (grades 7-8). The candidate shall meet the requirements in each of the following paragraphs:

(1) the candidate shall hold a valid initial or professional certificate in students with disabilities (grades 1-6);

(2) the candidate shall show satisfactory evidence of a minimum of three years of teaching experience; provided that at least 75 percent of the candidate's time is spent teaching students with disabilities in grades 5 and/or 6 in the public schools of this State while holding a valid certificate, during each of the three school years; and

(3) either:

(i) provide satisfactory evidence of completion of at least 45 hours of acceptable continuing teacher and leader education focused on students with disabilities at the middle level; or

(ii) the candidate shall complete a minimum of three semester hours of satisfactory pedagogical study or its equivalent, that is focused on students with disabilities at the middle level.

(r) Requirements for a grade-level extension to teach students with disabilities (grades 5-6). The candidate shall meet the requirements in each of the following paragraphs:

(1) the candidate shall hold a valid initial or professional certificate in students with disabilities (7-12 generalist);

(2) the candidate shall show satisfactory evidence of a minimum of three years of teaching experience; provided that at least 75 percent of the candidate's time is spent teaching students with disabilities in grades 7 and/or 8 in the public schools of this State while holding a valid certificate, during each of the three school years; and

(3) either:

(i) provide satisfactory evidence of completion of at least 45 hours of acceptable continuing teacher and leader education focused on students with disabilities at the middle level; or

(ii) the candidate shall complete a minimum of three semester hours of satisfactory pedagogical study or its equivalent, as determined by the Commissioner, that is focused on students with disabilities at the middle level.

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, Albany, NY 12234, (518) 474-6400, email: legal@nysed.gov

Data, views or arguments may be submitted to: Kelly Grace, NYS Education Department, 89 Washington Avenue, Room 975 EBA, Albany, NY 12234, (518) 486-2573, email: regcomments@nysed.gov

Public comment will be received until: 45 days after publication of this notice.

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 210 (not subdivided) authorizes the Regents to register domestic and foreign institutions in terms of New York standards.

Education Law 305(1) authorizes the Commissioner to enforce laws relating 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 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.

Education Law 3009 prohibits school district money from being used to pay the salary of an unqualified teacher.

2. LEGISLATIVE OBJECTIVES:

The purpose of the proposed amendment to Section 80-4.3 of the Regulations is to expand the pool of qualified teachers of students with disabilities by extending the grade levels in which they can teach, upon meeting certain requirements including experience and either CTLE or a college course. For each extension, a Students with Disabilities Generalist certificate holder must have a minimum of three years of teaching experience in either of the two grade levels closest to the grade levels of the extension, plus either 45 hours of acceptable Continuing Teacher and Leader Education (CTLE) or 3 semester hours of pedagogical coursework focused on the grade levels of the extension sought. Experience for this purpose shall be defined as at least 75% or more of the candidate's time spent teaching students with disabilities in either of the two grade levels closest to the grade level extension during each of the three school years. By extending the grade bands in which qualified teachers of students with disabilities may teach, the Department believes this will help to address the shortage of teachers of students with disabilities.

3. NEEDS AND BENEFITS:

There has been a continuous shortage of teachers who hold Students with Disabilities Generalist certificate titles in New York. The Department has been considering ways to increase the number of qualified certificate holders in this area, and has worked with the field to address these shortages. One way to expand the pool of qualified teachers of students with disabilities is to extend the grade levels in which they can teach.

Proposed Amendment

At this time, the Department is proposing four different extension certificates for current holders of Students with Disabilities Generalist certificates, as outlined below:

For each of the proposed extension titles, a Students with Disabilities Generalist certificate holder must have a minimum of three years of teaching experience in either of the two grade levels closest to the grade levels of the extension, plus either 45 hours of acceptable Continuing Teacher and Leader education (CTLE) or 3 semester hours of pedagogical coursework focused on the grade levels of the extension sought. Experience for this purpose shall be defined as at least 75% or more of the candidate's time spent teaching students with disabilities in either of the two grade levels closest to the grade level extension during each of the three school years.

Current Certification	Teaching Experience Requirement	Teachers Choose One of the Following Requirements		Proposed Extension
		CTLE	College Course	
Birth – Grade 2	Minimum of 3 years teaching experience at 1st and/or 2nd grade levels.	Minimum of 45 hours of acceptable CTLE focused on elementary level education.	Minimum of 3 semester hours of pedagogical coursework focused on elementary level education.	Grades 3-4
Grades 1-6	Minimum of 3 years teaching experience at 1st and/or 2nd grade levels.	Minimum of 45 hours of acceptable CTLE focused on early childhood education.	Minimum of 3 semester hours of pedagogical coursework focused on early childhood education.	Grades PK-K
	Minimum of 3 years teaching experience at 5th and/or 6th grade levels.	Minimum of 45 hours of acceptable CTLE focused on middle level education.	Minimum of 3 semester hours of pedagogical coursework focused on middle level education.	Grades 7-8
Grades 7-12	Minimum of 3 years teaching experience at 7th and/or 8th grade levels.	Minimum of 45 hours of acceptable CTLE focused on middle level education.	Minimum of 3 semester hours of pedagogical coursework focused on middle level education.	Grades 5-6

4. COSTS:

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

b. Costs to local government: The amendment does not impose any costs on local government.

c. Costs to private regulated parties: The amendment does not impose any costs on private regulated parties.

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:

No alternatives were considered. The proposed amendment seeks to address the shortage of teachers of students with disabilities by creating more flexibility in the grade levels in which they can teach.

9. FEDERAL STANDARDS:

There are no applicable Federal standards.

10. COMPLIANCE SCHEDULE:

It is anticipated that the proposed amendment will be adopted as a permanent rule by the Board of Regents at its March 2018 meeting. If adopted

at the March 2018 meeting, the proposed amendment will become effective on March 28, 2018.

Regulatory Flexibility Analysis

The purpose of the proposed amendment to Section 80-4.3 of the Regulations is to expand the pool of qualified teachers of students with disabilities by extending the grade levels in which they can teach, upon meeting certain requirements including experience and either CTLE or a college course. For each extension, a Students with Disabilities Generalist certificate holder must have a minimum of three years of teaching experience in either of the two grade levels closest to the grade levels of the extension, plus either 45 hours of acceptable Continuing Teacher and Leader Education (CTLE) or 3 semester hours of pedagogical coursework focused on the grade levels of the extension sought. Experience for this purpose shall be defined as at least 75% or more of the candidate's time spent teaching students with disabilities in either of the two grade levels closest to the grade level extension during each of the three school years.

The amendment does not impose any new recordkeeping or other compliance requirements, and will not have an adverse economic impact, on local governments or small businesses. Because it is evident from the nature of the proposed amendment that it does not affect small businesses or local governments, no further steps were needed to ascertain that fact and one were taken. Accordingly, a regulatory flexibility analysis for small businesses and local governments 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 all individuals in New York State pursuing an extension certificate in the classroom teaching service for students with disabilities in grade in the grades 3-4, PK-K, 7-8, or 5-6, 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 amendment to Section 80-4.3 of the Regulations is to expand the pool of qualified teachers of students with disabilities by extending the grade levels in which they can teach, upon meeting certain requirements including experience and either CTLE or a college course.

Proposed Amendment

The Department is proposing four different extension certificates for current holders of Students with Disabilities Generalist certificates. For each extension, a Students with Disabilities Generalist certificate holder must have a minimum of three years of teaching experience in either of the two grade levels closest to the grade levels of the extension, plus either 45 hours of acceptable Continuing Teacher and Leader Education (CTLE) or 3 semester hours of pedagogical coursework focused on the grade levels of the extension sought. Experience for this purpose shall be defined as at least 75% or more of the candidate's time spent teaching students with disabilities in either of the two grade levels closest to the grade level extension during each of the three school years.

Current Certification	Teaching Experience Requirement	Teachers Choose One of the Following Requirements		Proposed Extension
		CTLE	College Course	
Birth – Grade 2	Minimum of 3 years teaching experience at 1st and/or 2nd grade levels.	Minimum of 45 hours of acceptable CTLE focused on elementary level education.	Minimum of 3 semester hours of pedagogical coursework focused on elementary level education.	Grades 3-4
Grades 1-6	Minimum of 3 years teaching experience at 1st and/or 2nd grade levels.	Minimum of 45 hours of acceptable CTLE focused on early childhood education.	Minimum of 3 semester hours of pedagogical coursework focused on early childhood education.	Grades PK-K
	Minimum of 3 years teaching experience at 5th and/or 6th grade levels.	Minimum of 45 hours of acceptable CTLE focused on middle level education.	Minimum of 3 semester hours of pedagogical coursework focused on middle level education.	Grades 7-8
Grades 7-12	Minimum of 3 years teaching experience at 7th and/or 8th grade levels.	Minimum of 45 hours of acceptable CTLE focused on middle level education.	Minimum of 3 semester hours of pedagogical coursework focused on middle level education.	Grades 5-6

3. COSTS:

The proposed amendment does not impose any costs on New York State school districts or BOCES.

4. MINIMIZING ADVERSE IMPACT:

The proposed amendments create no adverse impact on those school districts and BOCES in rural areas, and applies equally. The proposed amendment seeks to address the shortage of teachers of students with disabilities by creating more flexibility in the grade levels in which they can teach.

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 to Section 80-4.3 of the Regulations is to expand the pool of qualified teachers of students with disabilities by extending the grade levels in which they can teach, upon meeting certain requirements including experience and either CTLE or a college course. For each extension, a Students with Disabilities Generalist certificate holder must have a minimum of three years of teaching experience in either of the two grade levels closest to the grade levels of the extension, plus either 45 hours of acceptable Continuing Teacher and Leader Education (CTLE) or 3 semester hours of pedagogical coursework focused on the grade levels of the extension sought. Experience for this purpose shall be defined as at least 75% or more of the candidate's time spent teaching students with disabilities in either of the two grade levels closest to the grade level extension during each of the three school years. By extending the grade bands in which qualified teachers of students with disabilities may teach, the Department believes this will help to address the shortage of teachers of students with disabilities.

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. In fact, the Department believes that the proposed amendment will help to address the shortage of teacher in students with disabilities.

Department of Financial Services

EMERGENCY RULE MAKING

Public Retirement Systems

I.D. No. DFS-52-17-00006-E
Filing No. 1069
Filing Date: 2017-12-11
Effective Date: 2017-12-11

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

Action taken: Amendment of Part 136 (Regulation 85) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202 and 302; Insurance Law, sections 301, 314, 7401(a) and 7402(n)

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

Specific reasons underlying the finding of necessity: The Second Amendment to 11 NYCRR 136 (Insurance Regulation 85), effective November 19, 2008, established new standards of behavior with regard to investment of the assets of the New York State Common Retirement Fund ("Fund"), conflicts of interest, and procurement. In addition, it created new audit and actuarial committees, and greatly strengthened the investment advisory committee. The Second Amendment also set high ethical standards, strengthened internal controls and governance, enhanced the operational transparency of the Fund, and strengthened supervision by the Department.

Nevertheless, recent events surrounding how placement agents conduct business on behalf of their clients with regard to the Fund compel the Superintendent to conclude that the mere strengthening of the Fund's control environment is insufficient to protect the integrity of the state employees' retirement systems. Rather, only an immediate ban on the use of placement agents will ensure sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments.

This regulation was previously promulgated on an emergency basis on June 18, 2009, September 16, 2009, January 5, 2010, April 2, 2010, May 28, 2010, July 29, 2010, September 23, 2010, November 19, 2010, January 18, 2011, March 21, 2011, May 19, 2011, August 16, 2011, November 10, 2011, February 7, 2012, May 7, 2012, August 3, 2012, October 31, 2012, January 28, 2013, April 26, 2013, July 24, 2013, October 21, 2013, January 17, 2014, April 16, 2014, July 14, 2014, October 10, 2014, January 7, 2015, April 6, 2015, July 3, 2015, September 30, 2015, December 28, 2015, March 25, 2016, June 22, 2016, September 19, 2016, December 21, 2016, March 20, 2017, June 16, 2017, and September 13, 2017.

Subject: Public Retirement Systems.

Purpose: To ban the use of placement agents by investment advisers engaged by the state employees' retirement systems.

Text of emergency rule: Section 136-2.2 is amended to read as follows:

§ 136-2.2 Definitions.

The following words and phrases, as used in this Subpart, unless a different meaning is plainly required by the context, shall have the following meanings:

[(a) Retirement system shall mean the New York State and Local Employees' Retirement System and the New York State and Local Police and Fire Retirement System.]

[(b) Fund shall mean the New York State Common Retirement Fund, a fund in the custody of the Comptroller as trustee, established pursuant to Section 422 of the Retirement and Social Security Law, which holds the assets of the retirement system.]

[(c)] *(a)* Comptroller shall mean the Comptroller of the State of New York in his capacity as administrative head of the Retirement System and the sole trustee of the [fund] *Fund*.

[(d) OSC shall mean the Office of the State Comptroller.]

[(e)] *(b)* Consultant or advisor shall mean any person (other than an OSC employee) or entity retained by the [fund] *Fund* to provide technical or professional services to the [fund] *Fund* relating to investments by the [fund] *Fund*, including outside investment counsel and litigation counsel, custodians, administrators, broker-dealers, and persons or entities that identify investment objectives and risks, assist in the selection of [money] *investment* managers, securities, or other investments, or monitor investment performance.

(c) Family member shall mean any person living in the same household as the Comptroller, and any person related to the Comptroller within the third degree of consanguinity or affinity.

(d) Fund shall mean the New York State Common Retirement Fund, a fund in the custody of the Comptroller as trustee, established pursuant to Section 422 of the Retirement and Social Security Law ("RSSL"), which holds the assets of the Retirement System.

[(f)] *(e)* Investment manager shall mean any person (other than an OSC employee) or entity engaged by the Fund in the management of part or all of an investment portfolio of the [fund] *Fund*. "Management" shall include, but is not limited to, analysis of portfolio holdings, and the purchase, sale, and lending thereof. For the purposes hereof, any investment made by the Fund pursuant to RSSL § 177(7) shall be deemed to be the investment of the Fund in such investment entity (rather than in the assets of such investment entity).

(f) Investment policy statement shall mean a written document that, consistent with law, sets forth a framework for the investment program of the Fund.

(g) OSC shall mean the Office of the State Comptroller.

[(g)] *(h)* Placement agent or intermediary shall mean any person or entity*, including registered lobbyists, directly or indirectly* engaged *and compensated* by an investment manager (other than [an] *a regular* employee of the investment manager) to *promote investments to or solicit investment by* [assist the investment manager in obtaining investments by the fund, or otherwise doing business with] the [fund] *Fund*, whether compensated on a flat fee, a contingent fee, or any other basis. Regular employees of an investment manager are excluded from this definition unless they are employed principally for the purpose of *securing or influencing the decision to secure a particular transaction or investment by the Fund.*[obtaining investments or providing other intermediary services with respect to the fund.] *For purpose of this paragraph, the term "employee" shall include any person who would qualify as an employee under the federal Internal Revenue Code of 1986, as amended, but shall not include a person hired, retained or engaged by an investment manager to secure or influence the decision to secure a particular transaction or investment by the Fund.*

[(h) Investment policy statement shall mean a written document that, consistent with law, sets forth a framework for the investment program of the fund.]

[(i) Third party administrator shall mean any person or entity that contractually provides administrative services to the retirement system, including receiving and recording employer and employee contributions, maintaining eligibility rosters, verifying eligibility for benefits or paying benefits and maintaining any other retirement system records. Administrative services do not include services provided to the fund relating to fund investments.]

(i) Retirement System shall mean the New York State and Local Employees' Retirement System and the New York State and Local Police and Fire Retirement System.

(j) Third party administrator shall mean any person or entity that contractually provides administrative services to the Retirement System, including receiving and recording employer and employee contributions, maintaining eligibility rosters, verifying eligibility for benefits, paying benefits or maintaining any other Retirement System records. "Administrative services" do not include services provided to the Fund relating to Fund investments.

[(j)] *(k)* Unaffiliated Person shall mean any person other than: (1) the Comptroller or a family member of the Comptroller, (2) an officer or employee of OSC, (3) an individual or entity doing business with OSC or the [fund] *Fund*, or (4) an individual or entity that has a substantial financial interest in an entity doing business with OSC or the [fund] *Fund*. For the purpose of this paragraph, the term "substantial financial interest" shall mean the control of the entity, whereby *"control"* means the possession, direct or indirect, of the power to direct or cause the direction of the management and policies of the entity, whether through the ownership of voting securities, by contract (except a commercial contract for goods or non-management services) or otherwise; but no individual shall be deemed to control an entity solely by reason of his being an officer or director of such entity. Control shall be presumed to exist if any individual directly or indirectly owns, controls or holds with the power to vote ten percent or more of the voting securities of such entity.

[(k) Family member shall mean any person living in the same household as the Comptroller, and any person related to the Comptroller within the third degree of consanguinity or affinity.]

Section 136-2.4(d) is amended to read as follows:

(d) Placement agents or intermediaries: In order to preserve the independence and integrity of the [fund] *Fund*, to [address] *preclude* potential conflicts of interest, and to assist the Comptroller in fulfilling his or her duties as a fiduciary to the [fund] *Fund*, [the Comptroller shall maintain a reporting and review system that must be followed whenever the fund] *the Fund shall not* [engages, hires, invests with, or commits] *engage, hire,*

invest with or commit to[,] an outside investment manager who is using the services of a placement agent or intermediary to assist the investment manager in obtaining investments by the [fund] *Fund.* [, or otherwise doing business with the fund. The Comptroller shall require investment managers to disclose to the Comptroller and to his or her designee payments made to any such placement agent or intermediary. The reporting and review system shall be set forth in written guidelines and such guidelines shall be published on the OSC public website.]

Section 136-2.5(g) is amended to read as follows:

(g) The Comptroller shall:

(1) file with the superintendent an annual statement in the format prescribed by Section 307 of the Insurance Law, including the [retirement system's] *Retirement System's* financial statement, together with an opinion of an independent certified public accountant on the financial statement;

(2) file with the superintendent the Comprehensive Annual Financial Report within the time prescribed by law, but no later than the time it is published on the OSC public website;

(3) disclose on the OSC public website, on at least an annual basis, all fees paid by the [fund] *Fund* to investment managers, consultants or advisors, and third party administrators;

[(4) disclose on the OSC public website, on at least an annual basis, instances where an investment manager has paid a fee to a placement agent or intermediary;]

[(5)] *(4)* disclose on the OSC public website the [fund's] *Fund's* investment policies and procedures; and

[(6)] *(5)* require fiduciary and conflict of interest reviews of the [fund] *Fund* every three years by a qualified unaffiliated person.

This notice is intended to serve only as an emergency adoption, to be valid for 90 days or less. This rule expires March 10, 2018.

Text of rule and any required statements and analyses may be obtained from: Mark MacLeod, New York State Department of Financial Services, One State Street, New York, NY 10004, (212) 480-4937, email: mark.macleod@dfs.ny.gov

Regulatory Impact Statement

1. Statutory authority: The Superintendent's authority for the adoption of the rule to 11 NYCRR 136 is derived from sections 202 and 302 of the Financial Services Law ("FSL") and sections 301, 314, 7401(a), and 7402(n) of the Insurance Law.

FSL section 202 establishes the office of the Superintendent and designates the Superintendent to be the head of the Department of Financial Services ("DFS").

FSL section 302 and Insurance Law section 301, in material part, authorize the Superintendent to effectuate any power accorded to him by the Insurance Law, the Banking Law, the Financial Services Law, or any other law of this state and to prescribe regulations interpreting the Insurance Law.

Insurance Law section 314 vests the Superintendent with the authority to promulgate standards with respect to administrative efficiency, discharge of fiduciary responsibilities, investment policies and financial soundness of the public retirement and pension systems of the State of New York, and to make an examination into the affairs of every system at least once every five years in accordance with Insurance Law sections 310, 311 and 312. The implementation of the standards is necessarily through the promulgation of regulations.

As confirmed by the Court of Appeals in *Matter of Dinallo* v. *DiNapoli*, 9 N.Y. 3d 94 (2007), the Superintendent functions in two distinct capacities. The first is as regulator of the insurance industry. The second is as statutory receiver of financially distressed insurance entities. Article 74 of the Insurance Law sets forth the Superintendent's role and responsibilities in this latter capacity.

Insurance Law section 7401(a) sets forth the entities, including the public retirement systems, to which Article 74 applies.

Insurance Law section 7402(n) provides that it is a ground for rehabilitation if an entity subject to Article 74 has failed or refused to take such steps as may be necessary to remove from office any officer or director whom the Superintendent has found, after appropriate notice and hearing, to be a dishonest or untrustworthy person.

2. Legislative objectives: Insurance Law section 314 authorizes the Superintendent to promulgate and amend, after consultation with the respective administrative heads of public retirement and pension systems and after a public hearing, standards with respect to the public retirement and pension systems of the State of New York.

This rule, which in effect bans the use of an investment tool that has been found to be untrustworthy, is consistent with the public policy objectives that the Legislature sought to advance in enacting Insurance Law section 314, which provides the Superintendent with the powers to promulgate standards to protect the New York State Common Retirement Fund (the "Fund").

3. Needs and benefits: The Second Amendment to 11 NYCRR 136 (Regulation 85), effective November 19, 2008, established new standards with regard to investment of the assets of the Fund, conflicts of interest and procurement. In addition, the Second Amendment created new audit and actuarial committees, and greatly strengthened the investment advisory committee. The Second Amendment also set high ethical standards, strengthened internal controls and governance, enhanced the operational transparency of the Fund, and strengthened supervision by the Department.

Nevertheless, recent allegations regarding "pay to play" practices, whereby politically connected individuals reportedly sold access to investment opportunities with the Fund, compel the Superintendent to conclude that the mere strengthening of the Fund's control environment is insufficient to protect the integrity of the state employees' retirement systems. The Third Amendment to Regulation 85 will adopt an immediate ban on the use of placement agents to ensure sufficient protection of the Fund's members and beneficiaries, and safeguard the integrity of the Fund's investments. Further, the rule defines "placement agent or intermediary" in a manner that both thwarts evasion of the ban while ensuring that such ban not extend to persons otherwise acting lawfully on behalf of investment managers.

4. Costs: The rule does not impose any additional requirements on the Comptroller, and no additional costs are expected to result from the implementation of the ban imposed by this rule. There are no costs to the Department or other state government agencies or local governments. Investment managers, consultants and advisors who provide services to the Fund, which are required to discontinue the use of placement agents in connection with investment services they provide to the Fund, may lose opportunities to do business with the Fund.

5. Local government mandates: The rule imposes no new programs, services, duties or responsibilities on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: No additional paperwork should result from the prohibition imposed by the rule.

7. Duplication: This rule will not duplicate any existing state or federal rule.

8. Alternatives: The Superintendent considered other ways to limit the influence of placement agents, including a partial ban, increased disclosure requirements, and adopting alternative definitions of placement agent or intermediary. The Department considered limiting the ban to include intent on the part of the party using placement agents, or defining "placement agent" in more general terms.

In developing the rule, the Superintendent and State Comptroller not only consulted with one another, but also briefed representatives of: (1) New York State and New York City Public Employee Unions; (2) New York City Retirement and Pension Funds; (3) the Borough Presidents of the five counties of New York City; and (4) officials of the New York City Mayor's Office, Comptroller's Office and Finance Department. These entities agreed with the concerns expressed by the Department and intend to explore remedies most appropriate to the pension funds that they represent.

Initially, the Superintendent concluded that only an immediate total ban on the use of placement agents could provide sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments. The proposed rule was published in the State Register on March 17, 2010. A Public Hearing was held on April 28, 2010. The following comments were received:

Blackstone Group, a global investment manager and financial advisor, wrote to oppose the proposed ban on the use of placement agents by investment advisors engaged by the New York State Common Retirement Fund ("The Fund"). It stated that the rule would lessen the number of investment opportunities brought before the Fund, adversely affect small, medium-sized and women-and minority-owned investment firms seeking to do business with the Fund, and adversely affect a number of New York-headquartered financial institutions doing business as placement agents.

Blackstone suggested the inclusion of the following provisions in the rule instead:

- A ban on political contributions by any employee of any placement agent seeking to do business with the Fund;
- A requirement that any placement agent seeking do to business with the Fund be registered as a broker dealer with the SEC and ensure that its professionals have passed the appropriate Series qualifications administered by Financial Industry Regulatory Authority ("FINRA");
- A requirement that any placement agent seeking to do business in New York register with the Department; and
- A requirement that any placement agent representing an investment manager before the Fund fully disclose the contractual arrangement between it and the manager, including the fee arrangement and the scope of services to be provided.

The Securities Industry and Financial Markets Association ("SIFMA"), representing hundreds of securities firms, banks, and asset managers, com-

mented that the proposed rule (1) inadvertently limits the access of smaller fund managers to the Fund; (2) restricts the number and types of advisers that could be utilized by the Fund; (3) creates an inherent conflict between federal and state law that would make it impossible to do business with the Fund while complying with both; and (4) adds duplicative regulation in an area already substantially regulated at the state level and that is primed for further federal regulation through the imminent imposition of a federal pay-to-play regime on all registered broker-dealers acting as placement agents. In addition, SIFMA provided language that it believes would be consistent with the existing federal requirements on the use of placement agents. SIFMA requested that the Department either exclude from the proposed rule those placement agents who are registered as broker-dealers under the Securities Exchange Act of 1934 or delay the enactment of the proposed rule until the federal and state placement agent initiatives are finalized.

The Superintendent did consider other ways to limit the influence of placement agents, including a partial ban, increased disclosure requirements, and adopting alternative definitions of placement agent or intermediary. The Department considered limiting the ban to include intent on the part of the party using placement agents, or defining "placement agent" in more general terms. At the time, the Superintendent concluded that only an immediate, total ban on the use of placement agents could provide sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments.

9. Federal standards: The Securities and Exchange Commission issued a "Pay-To-Play" regulation for financial advisors on July 1, 2010, which may have an impact on the issues addressed in the proposed rule.

10. Compliance schedule: The emergency adoption of this regulation on June 18, 2009 ensured that the ban would become enforceable immediately. The ban needs to remain in effect on an emergency basis until such time as an amended regulation can be made permanent.

Regulatory Flexibility Analysis

1. Effect of the rule: This rule strengthens standards for the management of the New York State and Local Employees' Retirement System and New York State and Local Police and Fire Retirement System (collectively, "the Retirement System"), and the New York State Common Retirement Fund ("the Fund").

The Second Amendment to 11 NYCRR 136 (Insurance Regulation 85), effective November 19, 2008, established new standards with regard to investment of the assets of the Fund, conflicts of interest and procurement. In addition, the Second Amendment created new audit and actuarial committees, and greatly strengthened the investment advisory committee. The Second Amendment also set high ethical standards, strengthened internal controls and governance, enhanced the operational transparency of the Fund, and strengthened supervision by the Department.

Nevertheless, recent allegations regarding "pay to play" practices, whereby politically connected individuals reportedly sold access to investment opportunities with the Fund, compel the Superintendent to conclude that the mere strengthening of the Fund's control environment is insufficient to protect the integrity of the state employees' retirement systems. The Third Amendment to Insurance Regulation 85 will adopt an immediate ban on the use of placement agents to ensure sufficient protection of the Fund's members and beneficiaries, and safeguard the integrity of the Fund's investments. Further, the rule defines "placement agent or intermediary" in a manner that both thwarts evasion of the ban while ensuring that such ban not extend to persons otherwise acting lawfully on behalf of investment managers.

These standards are intended to assure that the conduct of the business of the Retirement System and the Fund, and of the State Comptroller (as administrative head of the Retirement System and as sole trustee of the Fund), are consistent with the principles specified in the rule. Most among all affected parties, the State Comptroller, as a fiduciary whose responsibilities are clarified and broadened, is impacted by the rule. The State Comptroller is not a "small business" as defined in section 102(8) of the State Administrative Procedure Act.

This rule will affect investment managers and other intermediaries (other than OSC employees) who provide technical or professional services to the Fund related to Fund investments. The rule will prohibit investment managers from using the services of a placement agent unless such agent is a regular employee of the investment manager and is acting in a broader capacity than just providing specific investment advice to the Fund. In addition, the rule is also directed to placement agents, who as a result of this rule, will no longer be engaged directly or indirectly by investment managers that do business with the Fund. Some investment managers and placement agents may come within the definition of "small business" set forth in section 102(8) of the State Administrative Procedure Act, because they are independently owned and operated, and employ 100 or fewer individuals.

The rule bans the use of placement agents in connection with investments by the Fund. This may adversely affect the business of placement agents, who will lose opportunities to earn profits in connection with investments by the Fund. Nevertheless, as a result of recent allegations regarding "pay to play" practices, whereby politically connected individuals reportedly sold access to investment opportunities with the Fund, the Superintendent has concluded that an immediate ban on the use of placement agents is necessary to protect the Fund's members and beneficiaries and to safeguard the integrity of the Fund's investments.

This rule will not impose any adverse compliance requirements or result in any adverse impacts on local governments. The basis for this finding is that this rule is directed at the State Comptroller; employees of the Office of State Comptroller; and investment managers, placement agents, consultant or advisors - none of which are local governments.

2. Compliance requirements: None.

3. Professional services: Investment managers, consultants and advisors who provide services to the Fund, and are required to discontinue the use of placement agents in connection with investment services they provide to the Fund, may need to employ other professional services.

4. Compliance costs: The rule does not impose any additional requirements on the Comptroller, and no additional costs are expected to result from the implementation of the ban imposed by this rule. There are no costs to the Department of Financial Services or other state government agencies or local governments. However, investment managers, consultants and advisors who provide services to the Fund, which are required to discontinue the use of placement agents in connection with investment services they provide to the Fund, may lose opportunities to do business with the Fund.

5. Economic and technological feasibility: The rule does not impose any economic and technological requirements on affected parties, except for placement agents who will lose the opportunity to earn profits in connection with investments by the Fund.

6. Minimizing adverse impact: The costs to placement agents are lost opportunities to earn profits in connection with investments by the Fund. The Superintendent considered other ways to limit the influence of placement agents, including a partial ban, increased disclosure requirements, and adopting alternative definitions of placement agent or intermediary. But in the end, the Superintendent concluded that only an immediate total ban on the use of placement agents could provide sufficient protection of the Fund's members and beneficiaries and safeguard the integrity of the Fund's investments.

7. Small business and local government participation: In developing the rule, the Superintendent and State Comptroller not only consulted with one another, but also briefed representatives of: (1) New York State and New York City Public Employee Unions; (2) New York City Retirement and Pension Funds; (3) the Borough Presidents of the five counties of New York City; and (4) officials of the New York City Mayor's Office, Comptroller's Office and Finance Department.

A public hearing was held on April 28, 2010. Comments were received from two entities recommending that the total ban on the use of placement agents be modified. The Department will continue to assess the comments that have been received and any others that may be submitted.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas: Investment managers, placement agents, consultants or advisors that do business in rural areas as defined under State Administrative Procedure Act Section 102(10) will be affected by this rule. The rule bans the use of placement agents in connection with investments by the New York State Common Retirement Fund ("the Fund"), which may adversely affect the business of placement agents and of other entities that utilize placement agents and are involved in Fund investments.

2. Reporting, recordkeeping and other compliance requirements; and professional services: This rule will not impose any reporting, recordkeeping or other compliance requirements on public or private entities in rural areas, with the exception of requiring investment managers, consultants and advisors who provide services to the Fund to discontinue the use of placement agents.

3. Costs: The costs to placement agents are lost opportunities to earn profits in connection with investments by the Fund.

4. Minimizing adverse impact: The rule does not adversely impact rural areas.

5. Rural area participation: A public hearing was held on April 28, 2010. Comments were received from two entities recommending that the total ban on the use of placement agents be modified. The Department will continue to assess the comments that have been received and any others that may be submitted.

Job Impact Statement

The Department of Financial Services finds that this rule will have little or no impact on jobs and employment opportunities. The rule bans investment managers from using placement agents in connection with investments by the New York State Common Retirement Fund ("the Fund").

The rule may adversely affect the business of placement agents, who could lose the opportunity to earn profits in connection with investments by the Fund. Nevertheless, in view of recent events about how placement agents conduct business on behalf of their clients with regard to the Fund, the Superintendent has concluded that an immediate ban on the use of placement agents is necessary to protect the Fund's members and beneficiaries, and to safeguard the integrity of the Fund's investments.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Special Risk Insurance

I.D. No. DFS-52-17-00001-P

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

Proposed Action: This is a consensus rule making to amend Part 16 (Regulation 86) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202 and 302; Insurance Law, sections 301, 307, 308 and art. 63

Subject: Special Risk Insurance.

Purpose: To update section 16.12(e) to incorporate changes and additions to class 2 risks introduced by 5/10/17 Public Notice.

Substance of proposed rule (Full text is posted at the following State website: http://www.dfs.ny.gov): Section 16.12(e) is amended to add two new class 2 risks, repeal a current class 2 risk, and revise six current class 2 risks.

New statistical codes 2-50010 (Directors and Officers Liability Insurance – Biotech & Nanotechnology) and 2-50011 (Crowdfunding Platforms – Directors and Officers Liability Insurance, Professional/Errors & Omissions Liability, or Fiduciary Liability Policies) are added to Section 16.12(e) and statistical code 2-04002 (Federal Crime Program - Excess on Commercial Risks) is repealed.

The classification description of statistical code 2-13007 is amended to correct a technical error.

The classification of statistical code 2-02038 is amended to read as: Television Broadcast Interruption, and a technical error in the classification description is corrected.

The classification of statistical code 2-14042 is amended to read as: Technology Products & Services, and a description of the classification is added.

The classification of statistical code 2-14197 is amended to read as: Commercial and Residential Real Estate Agents and Brokers and Property Management Services. The classification description of this statistical code currently reads, in part, as: Policies covering the liability of real estate agents and brokers who are engaged in large commercial and residential real estate projects. That description is amended to now read as: Policies covering the liability of real estate agents and brokers and property managers who are engaged in large commercial and residential real estate projects.

The classification of statistical code 2-22002 is amended to read as: Motorsports Racing Liability, and the description is amended to read as: Liability coverage for owners or lessors of motorsports racing venues (e.g. race tracks for oval track events, drag races, monster truck rallies, motocross, motorcycle, boat or snowmobile racing, and other types of motorized vehicle competitive events).

The classification of statistical code 2-22003 is amended to read as: Motorsports Racing and Motorsports Liability, and the description is amended to read as: Coverage for claims of spectators, participants or other third parties in connection with the operation of motorsports venues, or the staging or conduct of motorsports events or participation therein by teams and individuals.

Text of proposed rule and any required statements and analyses may be obtained from: Sally Geisel, New York State Department of Financial Services, 1 State Street, New York, New York 10004, (212) 480-7608, email: sally.geisel@dfs.ny.gov

Data, views or arguments may be submitted to: Hoda Nairooz, New York State Department of Financial Services, 1 State Street, New York, New York 10004, (212) 480-5595, email: hoda.nairooz@dfs.ny.gov

Public comment will be received until: 45 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.

Consensus Rule Making Determination

This rulemaking merely updates Section 16.12 (e) to incorporate changes and additions to class 2 risks that were introduced by Public Notice published on May 10, 2017. In addition, Class Code 2-04002 (Federal Crime Program-Excess on Commercial Risks) is being deleted since the program is now defunct. Therefore, no person or entity is likely to object to this rulemaking. Accordingly, this rulemaking is determined to be a consensus rulemaking, as defined in State Administrative Procedure Act ("SAPA") § 102(11), and is proposed pursuant to SAPA § 202(1)(b)(i). Therefore, this rulemaking is exempt from the requirement to file a Regulatory Impact Statement, Regulatory Flexibility Analysis for Small Businesses and Local Governments, or a Rural Area Flexibility Analysis.

Job Impact Statement

Amendment of the regulation will not adversely impact job or employment opportunities in New York, or have any adverse impact on self-employment opportunities, because the revision imposes no new or additional requirements on any insurer subject to the rule. The proposed rule merely updates Section 16.12(e) to incorporate changes and additions to class 2 risks that were introduced by Public Notice published on May 10, 2017. In addition, Class Code 2-04002 (Federal Crime Program-Excess on Commercial Risks) is being deleted since the program is now defunct.

The Department of Financial Services believes that the amended rule will not result in any adverse job or employment impact.

PROPOSED RULE MAKING NO HEARING(S) SCHEDULED

Suitability in Life Insurance and Annuity Transactions

I.D. No. DFS-52-17-00020-P

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

Proposed Action: Amendment of Part 224 (Regulation 187) of Title 11 NYCRR.

Statutory authority: Financial Services Law, sections 202 and 302; Insurance Law, sections 301, 308, 309, 2103, 2104, 2110, 2123, 2208, 3209, 4224, 4226, 4525 and art. 24

Subject: Suitability in Life Insurance and Annuity Transactions.

Purpose: Establish suitability standards for life insurance and clarify that a transaction must be in the best interest of the consumer.

Substance of proposed rule (Full text is posted at the following State website: http://www.dfs.ny.gov): The words "life insurance" were added to the title of the regulation consistent with the amendments made to the text of the regulation and standards already established by the Insurance Law.

Section 224.0 is revised to expand the purpose of the regulation to apply to life insurance and explain that the sections of the Insurance Law that establish standards of conduct for insurers and producers require any recommended transaction to be in the best interest of the consumer and to appropriately address the insurance needs and financial objectives of the consumer at the time of the transaction.

Section 224.1 is amended to apply the standards set forth in the regulation to life insurance transactions.

Section 224.2 is revised to replace the term "contract" with the term "policy" for consistency with the amendment.

Section 224.3 adds new definitions and revises current definitions consistent with the broadening of the regulation, which now includes life insurance and transactions other than a purchase or replacement, such as modifications and elections of contractual provisions. The amendment to this section adds to the definition of "suitability information" for consistency purposes and adds a definition for the term "suitable."

Section 224.4 is amended so that the duties of insurers and producers, in addition to applying to annuity recommendations, also now apply to life insurance recommendations. Section 224.4 is amended to clarify that a producer, or an insurer where no producer is involved, shall act in the best interest of the consumer. The section is also amended to explain that the producer, or the insurer where no producer is involved, acts in the best interest of the consumer when the recommendation is based on the consumer's suitability information and reflects the care that a prudent person would exercise in a similar situation without regard to the financial interests of any other party, when the transaction is suitable, and when the consumer has been reasonably informed of the consequences of the transaction. Section 224.4 is amended to add new subsections that: require a producer, or an insurer where no producer is involved, to disclose to the consumer the information used to provide the recommendation; prohibit a producer from making a recommendation unless the producer has a reasonable basis to believe that the consumer can meet the financial obligations under the policy; and prohibit a producer from stating that a recommendation is part of the financial or investment planning unless the

producer has an appropriate professional designation. Section 224.4 is amended to state that any requirement applicable to a producer under the regulation applies to every producer in the transaction, regardless of the level of contact made with the consumer. Section 224.4 is also amended to state that nothing in the regulation shall be construed to prohibit or limit compensation of a producer that is otherwise permitted under the Insurance Law.

Section 224.5 adds new subdivisions requiring an insurer to: establish and maintain procedures to prevent financial exploitation and abuse; provide relevant policy information to a consumer for evaluating a transaction; and provide relevant policy information and information required by Regulation 60 to a producer for evaluating a replacement transaction.

Section 224.6 deletes the word "insurance" that precedes the word "producer" to be consistent with the definition of "producer" in section 224.3(c).

Section 224.7 changes the placement of the words "Insurance Law" consistent with other recent regulatory revisions.

Text of proposed rule and any required statements and analyses may be obtained from: James V. Regalbuto, Deputy Superintendent for Life Insurance, New York State Department of Financial Services, One State Street, New York, NY 10004, (212) 480-5027, email: james.regalbuto@dfs.ny.gov

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

Public comment will be received until: 45 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: The authority of the Superintendent of Financial Services ("Superintendent") to promulgate the First Amendment to Insurance Regulation 187 (11 NYCRR 224) derives from Financial Services Law ("FSL") sections 202 and 302, and Insurance Law ("IL") sections 301, 308, 309, 2103, 2104, 2110, 2123, 2208, 3209, 4224, 4226, 4525, and Article 24.

FSL section 202 establishes the office of the Superintendent.

FSL section 302 and IL section 301, in pertinent part, authorize the Superintendent to effectuate any power accorded to the Superintendent by the IL, FSL, or any other law, and to prescribe regulations interpreting the IL.

IL section 308 authorizes the Superintendent to address to any authorized insurer or its officers any inquiry relating to its transactions or condition or any matter connected therewith.

IL section 309 authorizes the Superintendent to make examinations into the affairs of entities doing or authorized to do business in this state as often as the Superintendent deems it expedient.

IL sections 2103 and 2104 set forth licensing requirements for insurance agents and brokers.

IL section 2110 authorizes the Superintendent to revoke or suspend the license of an insurance producer if, after notice and hearing, the producer has demonstrated untrustworthiness or incompetence, violated the IL or regulations promulgated thereunder, or engaged in certain other specified behavior.

IL section 2123, among other things, prohibits an insurance agent, insurance broker, or representative of an insurer from making misrepresentations or misleading statements about a life insurance policy or annuity contract or an incomplete comparison for the purpose of inducing, or tending to induce, a person to lapse, forfeit or surrender any insurance policy.

IL section 2208 provides that an officer or employee of an authorized insurer that has been certified pursuant to IL Article 22 is subject to IL section 2123.

IL Article 24 prohibits unfair methods of competition and unfair or deceptive acts or practices.

IL section 3209 mandates disclosure requirements in the sale of life insurance, annuities and funding agreements and authorizes the Superintendent to promulgate regulations to implement this section.

IL section 4224 proscribes unfair discrimination and other prohibited practices by insurers.

IL section 4525 applies IL sections 2110(a), (b), (d)-(f), 2123, 3209 and 4226, and IL Articles 2, 3, and 24, to authorized fraternal benefit societies.

IL section 4226 prohibits an authorized life insurer from making misrepresentations, misleading statements about a life insurance policy or annuity contract or an incomplete comparison for the purpose of inducing, or tending to induce, a person to lapse, forfeit or surrender any insurance policy.

2. Legislative objectives: IL sections 2103, 2104, 2110, 2123, 2208 and Article 24 establish standards of conduct for insurance producers, including that they act in a competent and trustworthy manner. IL section 4226 establishes standards of conduct for life insurance companies and fraternal benefit societies (collectively, "insurers"), and Article 24 permits the Superintendent to regulate trade practices in the business of insurance to prevent acts or practices that are unfair or deceptive.

This amendment accords with the public policy objectives that the Legislature sought to advance in IL 2103, 2104, 2110, 2123, 2208 and Article 24 by clarifying the duties and obligations of insurance producers and insurers to ensure that a transaction is in the consumer's best interest and appropriately addresses the consumer's insurance needs and financial objectives at the time of the transaction.

3. Needs and benefits: 11 NYCRR 224 (Insurance Regulation 187) was first promulgated in 2013 and was based on the National Association of Insurance Commissioners' Suitability in Annuity Transactions Model Regulation ("NAIC Model"). Since that time, the Department of Financial Services ("Department") has monitored the financial market and the application of the regulation's standards and procedures to annuity transactions. The Department has identified certain areas where additional protections are needed with respect to recommendations to consumers. The primary objective of this amendment is to address deficiencies in the regulation.

Since 2013, the purchase of annuities and life insurance has become a more complex financial transaction, resulting in a greater need for consumers to rely on professional advice, to seek assistance in understanding available life insurance and related products, and in making purchase decisions. The U.S. Department of Labor ("DOL") has issued 29 C.F.R. 2510 (the "DOL Rule"), which, in part, imposes a best interest standard of care so that all financial professionals who provide retirement planning and investment advice must act in the best interests of their clients.

Insurance Regulation 187 currently requires an insurance producer, or the insurer where no producer is involved, when recommending an annuity transaction, to have reasonable grounds for believing that the recommendation is suitable for the consumer based on information provided by the consumer. Currently, Insurance Regulation 187 only addresses annuity transactions and does not define a suitable recommendation.

This amendment defines "suitability" and specifies a best interest standard of care that applies to all annuity and life insurance transactions in New York State, regardless of the product type or source of funds, to ensure fair treatment of consumers purchasing both retirement and non-retirement annuity and life insurance products. A uniform standard of care across all types of financial transactions, including both annuity and life insurance transactions, provides consistent consumer protection and a consistent regulatory framework to ensure fair treatment regardless of product choice. The Department finds no acceptable justification for applying different standards of conduct based solely on the source of funds. Accordingly, the amendment clarifies the duties and obligations of insurance producers, or insurers where no producer is involved, by ensuring that recently proposed national standards for certain annuity contracts and life insurance transactions apply to all transactions in New York State regardless of the source of funds.

In addition, this amendment adds consumer protections by requiring an insurance producer to have a reasonable basis to believe that the consumer has the financial ability to enter into a transaction and prohibits the producer from implying that any recommendation is part of an investment plan unless the producer has a specific certification or professional designation in that area. The amendment also adds certain consumer disclosure requirements designed to increase awareness and prevent financial abuse.

4. Costs: Insurers and insurance producers subject to this amendment likely will incur costs because of this amendment. The amendment expands the regulation's current training requirement so that an insurer is responsible for ensuring that every insurance producer recommending the insurer's life insurance contracts is adequately trained to make the recommendation. It also requires an insurer to establish and maintain procedures designed to prevent financial exploitation and abuse, and requires an insurer to provide a consumer with all relevant policy information to evaluate a transaction. The amendment further requires an insurer to provide a producer with all relevant replacement information necessary to evaluate suitability.

This amendment now requires a producer or an insurer to also disclose to a consumer all relevant suitability considerations and product information that provide the basis for a recommendation to enter into a life insurance transaction, and to document: any life insurance recommendation subject to 11 NYCRR § 224.4(a) and (b); a consumer's refusal to provide suitability information, if any; and that a life insurance transaction is not recommended if a consumer decides to enter into a life insurance transaction that is not based on the producer's or insurer's recommendation.

However, the standards and procedures required by this amendment for recommendations to consumers with respect to life insurance are substantially similar to the standards and procedures already in place for annuities. Accordingly, any costs incurred by producers and insurers subject to this amendment that currently sell annuities should be minimal because they will already have in place for annuities the required supervisory system

and training procedures to comply with this amendment. Also, producers already have procedures in place to document their recommendations with respect to annuities. While the costs to implement this amendment may vary by size and business of the insurer and producer, and thus difficult to estimate, the Department does not anticipate the costs to be significant.

Indeed, the Department anticipates that future costs may decrease over time by establishing one uniform best interest standard that will apply to all recommendations made for all product transactions.

The costs associated with establishing procedures designed to prevent financial exploitation and abuse are expected to be minimal, because, as the Department understands it, many insurers have already developed procedures to prevent financial exploitation and abuse.

This amendment does not impose additional costs on the Department or state or local governments.

5. Local government mandates: The amendment imposes no new programs, services, duties or responsibilities on any county, city, town, village, school district, fire district or other special district.

6. Paperwork: In addition to documenting recommendations for annuities, the amendment generally requires an insurance producer or insurer to document any life insurance recommendation. It also requires an insurer to provide a consumer with all relevant policy information with respect to evaluating a transaction and requires an insurer to provide a producer with all relevant replacement information necessary for the evaluation of suitability.

7. Duplication: The rule does not duplicate, overlap, or conflict with other state requirements. The rule has the potential to partially duplicate the DOL Rule in that both rules impose a best interest standard of care and a recordkeeping requirement. However, the area of potential duplication is very narrow since the DOL Rule only imposes a best interest standard of care and recordkeeping requirement where the insurance producer is receiving a commission from the annuity transaction; the annuity's funding comes from a tax qualified source; and the annuity is either a variable annuity or an equity indexed annuity. This amendment, however, applies to all life insurance and annuity transactions in New York State, regardless of the source of funds or the manner of compensation. Since the best interest standard of care and the recordkeeping requirement in the regulation are consistent with the DOL rule, there is no conflict.

8. Alternatives: The Department considered not implementing the amendment, but the Department has rejected this alternative because doing nothing would be disadvantageous to consumers. Another alternative would be to wait for the NAIC's suitability working group to update the NAIC Model, but the Department rejected this alternative because of the urgency to achieve uniformity of a best interest standard of care for all transactions in New York State. Also, with respect to financial exploitation and abuse, the Department considered a more robust, prescriptive set of reporting rules but determined it would be preferable to allow insurers to establish and maintain their own procedures provided that the procedures are designed to prevent exploitation and abuse.

9. Federal standards: The DOL Rule includes standards that apply to certain annuities that contain qualified funds. The standards in this amendment utilize the standards imposed by the DOL Rule in imposing a best interest standard of care; however, since the DOL rule applies only in certain circumstances where the producer receives commission from the annuity transaction; the annuity's funding comes from a tax qualified source; and the annuity is either a variable annuity or an equity indexed annuity, the amendment extends those requirements to all life insurance and annuity transactions in New York State, regardless of the source of funds or the manner of compensation, to achieve a uniform regulatory scheme for all product types in New York State.

10. Compliance schedule: The amendment will take effect 90 days after publication of the Notice of Adoption in the State Register, which should provide sufficient time for insurance producers and insurers that are subject to the amendment to comply with it.

Regulatory Flexibility Analysis

1. Effect of rule: This amendment requires insurers to establish standards and procedures for recommendations to consumers with respect to life insurance and annuity contracts so that any transaction with respect to those contracts is in the best interest of the consumer and appropriately addresses the insurance needs and financial objectives of the consumer at the time of the transaction. The amendment clarifies statutory duties and obligations of insurance producers and insurers to establish uniform standards of conduct regardless of the product type or the source of assets funding the products.

Authorized life insurance companies and fraternal benefit societies (collectively, "insurers"), and insurance producers are subject to this amendment. The Department of Financial Services ("Department") finds that the rule, as applicable to insurers, will not impose any adverse economic impact on small businesses and will not impose any reporting, recordkeeping or other compliance requirements on small businesses. The basis for this finding is that none of the insurers authorized to do a life insurance business in New York State come within the definition of "small business" as defined in State Administrative Procedure Act ("SAPA") § 102(8). The Department reviewed filed reports on examination and annual statements of such authorized insurers and concluded that none of these entities come within the definition of "small business" because there are none that are both independently owned and have fewer than one hundred employees. In contrast to insurers, the Department believes that many producers are likely to be small businesses within the definition of "small business" set forth in SAPA § 102(8), because many are independently owned and operated, and employ fewer than 100 employees. Approximately 143,000 insurance agents and 15,000 insurance brokers have the life insurance line of authority. It is not known, however, how many of them are small businesses.

This amendment should not impose any adverse compliance requirements or adverse impacts on local governments because the amendment affects entities authorized to sell life insurance and annuity contracts, none of which are local governments.

2. Compliance requirements: Producers that are small businesses subject to the amendment must make suitable recommendations for life insurance and annuity transactions that are based on relevant suitability information obtained from, and are in the best interests of, consumers. While Insurance Regulation 187 currently applies only to annuity contracts, this amendment now requires a producer or an insurer to also disclose to a consumer all relevant suitability considerations and product information that provide the basis for a recommendation to enter into a life insurance transaction, and to document: any life insurance recommendation subject to 11 NYCRR § 224.4(a) and (b); a consumer's refusal to provide suitability information, if any; and that a life insurance transaction is not recommended if a consumer decides to enter into a life insurance transaction that is not based on the producer's or insurer's recommendation.

3. Professional services: No professional service is required to meet the requirements of this amendment.

4. Compliance costs: The standards and procedures required by this amendment for recommendations to consumers with respect to life insurance are substantially similar to the standards and procedures already in place for annuities. Accordingly, any costs incurred by producers that are small businesses subject to this amendment and that currently sell annuities should be minimal, as the producers will already have in place the standards and procedures necessary to comply with this amendment. Also, producers already have procedures in place to document their recommendations with respect to annuities. While the costs to implement this amendment may vary by size and business of the producer, and thus are difficult to estimate, the Department does not anticipate the costs to be significant.

Indeed, the Department anticipates that future costs may decrease over time by establishing one uniform best interest standard that will apply to all recommendations made for all product transactions.

There are no costs to other government agencies or local governments.

5. Economic and technological feasibility: Although there may be minimal additional costs associated with complying with the amendment, compliance should be economically feasible for producers that are small businesses.

6. Minimizing adverse impact: There is little or no adverse economic impact on producers that are small businesses. The compliance, documentation and recordkeeping requirements of this amendment should have little impact on producers that are small businesses. Differing compliance, reporting requirements or timetables for producers that are small businesses are not feasible since the impact on regulated parties is already minimal and the standards established would be the same.

7. Small business and local government participation: Affected producers that are small businesses will have an opportunity to participate in the rulemaking process once the proposed amendment is published in the State Register and posted on the Department's website.

Rural Area Flexibility Analysis

1. Types and estimated number of rural areas: Life insurance companies, fraternal benefit societies, and insurance producers covered by this amendment do business in every county in this state, including rural areas as defined in the State Administrative Procedure Act § 102(10).

2. Reporting, recordkeeping and other compliance requirements; and professional services: 11 NYCRR 224 (Insurance Regulation 187) currently contains reporting requirements for annuity transactions, and the amendment expands those requirements to apply to life insurance too. The amendment requires a life insurance company or a fraternal benefit society (collectively, "insurer"), or an insurance producer, including those located in a rural area, to disclose to the consumer all relevant suitability considerations and product information that provide the basis for any life insurance recommendation and to document: any recommendation subject to 11 NYCRR § 224.4(a) and (b); the consumer's refusal to provide suitability information, if any; and that a life insurance transaction is not recommended if a consumer decides to enter into a life insurance transac-

tion that is not based on the producer's or insurer's recommendation. Because insurers already adhere to these requirements for annuity transactions, they should be able to extend their current supervisory systems and training procedures to apply to life insurance, and should not need to establish new procedures or systems to comply with this amendment.

This amendment also requires an insurer, including an insurer located in a rural area, to: establish procedures designed to prevent financial exploitation and abuse; provide to the consumer all relevant policy information used to evaluate a transaction; and provide to the producer all policy information used to evaluate the suitability of a proposed replacement.

3. Costs: Insurers, including insurers located in a rural area, likely will incur costs because of this amendment. The amendment expands the training requirement so that an insurer is responsible for ensuring that every insurance producer recommending the insurer's life insurance contracts is adequately trained to make the recommendation. It also requires an insurer to establish and maintain procedures designed to prevent financial exploitation and abuse, and requires an insurer to provide a consumer with all relevant policy information to evaluate a transaction. The amendment further requires an insurer to provide a producer with all relevant replacement information necessary to evaluate suitability.

This amendment now requires a producer or an insurer to also disclose to a consumer all relevant suitability considerations and product information that provide the basis for a recommendation to enter into a life insurance transaction, and to document: any life insurance recommendation subject to 11 NYCRR § 224.4(a) and (b); a consumer's refusal to provide suitability information, if any; and that a life insurance transaction is not recommended if a consumer decides to enter into a life insurance transaction that is not based on the producer's or insurer's recommendation.

However, the standards and procedures required by this amendment for recommendations to consumers with respect to life insurance are substantially similar to the standards and procedures already in place for annuities. Accordingly, any costs incurred by producers and insurers, including those located in a rural area, that currently sell annuities should be minimal, as the producers and insurers will already have in place for annuities the required supervisory system and training procedures to comply with this amendment. Also, producers already have procedures in place to document their recommendations with respect to annuities. While the costs to implement this amendment may vary by size and business of the insurer and producer, and thus difficult to estimate, the Department of Financial Services ("Department") does not anticipate the costs to be significant.

Indeed, the Department anticipates that future costs may decrease over time by establishing one uniform best interest standard that will apply to all recommendations made for all product transactions.

The costs associated with establishing procedures designed to prevent financial exploitation and abuse are expected to be minimal, because, as the Department understands it, many insurers have already developed procedures to prevent financial exploitation and abuse.

This amendment does not impose additional costs on the Department or state or local governments.

4. Minimizing adverse impact: This amendment applies to insurers and producers that do business in New York State, including those located in a rural area. The standards and procedures required by this amendment clarify the duties and obligations of producers under the standards of conduct established by Insurance Law § § 2103, 2110, 2123 and 2208. The standards and procedures required by this amendment also clarify the duties and obligations of insurers under the standards of conduct established by Insurance Law § 4226 and Article 24. Due to standards of conduct already established by the Insurance Law, many insurers and producers, including those located in rural areas, already comply with the standards established in this amendment. This amendment applies uniformly to insurers and producers that do business in both rural and nonrural areas of New York State. The Department finds that this amendment does not impose any additional burden on insurers or producers located in rural areas.

5. Rural area participation: Insurers and producers in rural areas will have an opportunity to participate in the rulemaking process once the proposed amendment is published in the State Register and posted on the Department's website.

Job Impact Statement

The Department of Financial Services finds that this rule will not adversely impact jobs or employment opportunities in New York. This amendment establishes suitability standards for life insurance policies and clarifies established suitability standards for annuity contracts and life insurance policies so that any transaction is in the best interest of the consumer. This amendment should not impact jobs or employment opportunities for insurers or producers.

Department of Health

NOTICE OF ADOPTION

Medical Use of Marihuana

I.D. No. HLT-37-16-00024-A
Filing No. 1068
Filing Date: 2017-12-08
Effective Date: 2017-12-27

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

Action taken: Amendment of Part 1004 and Subpart 55-2 of Title 10 NYCRR.

Statutory authority: Public Health Law, art. 33, title V-A, section 3369-a

Subject: Medical Use of Marihuana.

Purpose: To comprehensively regulate the manufacture, sale and use of medical marihuana.

Text or summary was published in the September 14, 2016 issue of the Register, I.D. No. HLT-37-16-00024-P.

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

Revised rule making(s) were previously published in the State Register on August 23, 2017.

Text of rule and any required statements and analyses may be obtained from: Katherine Ceroalo, DOH, Bureau of House Counsel, Reg. Affairs Unit, Room 2438, ESP Tower Building, Albany, NY 12237, (518) 473-7488, email: regsqna@health.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 2020, which is no later than the 3rd year after the year in which this rule is being adopted.

Assessment of Public Comment

The Department of Health ("Department") received comments from various stakeholders, including but not limited to healthcare providers, registered organizations and legislators. Comments received included, but were not limited to, topics concerning manufacturing requirements, dispensing facility operations and laboratory testing. Based on the comments received, no changes are being made to the proposed rulemaking.

Office of Information Technology Services

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Implementing the Electronic Signatures and Records Act

I.D. No. ITS-52-17-00002-P

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

Proposed Action: This is a consensus rule making to amend sections 540.1-540.3 of Title 9 NYCRR.

Statutory authority: Technology Law, sections 103, 303, 304 and 305; Real Property Law, section 291-i

Subject: Implementing the Electronic Signatures and Records Act.

Purpose: Correcting outdated references to the name of ITS and the physical address of the Property Records Industry Association (PRIA).

Text of proposed rule: Sections 540.1(a) and (g) of Title 9 of the NYCRR are amended to read as follows:

540.1 Purpose, intent and applicability.

(a) The purpose of this Part is to establish standards and procedures governing the use and authentication of electronic signatures and the utilization of electronic records in accordance with article III of the State Technology Law, which establishes the Electronic Signatures and Records

Act (ESRA). ESRA requires the Office [for Technology (OFT)] of *Information Technology Services (ITS)*, as the electronic facilitator, to establish rules governing the use of electronic signatures and records. ESRA recognizes the importance of technology to the State and the need to build a foundation for its acceptance, implementation and use by State agencies, local government, the private sector and citizens. Consistent with legislative intent, ESRA establishes that electronic signatures and records have the same force and effect as signatures and records produced by nonelectronic means and should be utilized to facilitate both business in, as well as the business of, New York State.

(g) This Part also establishes standards to implement chapter 549 of the Laws of 2011 in relation to the electronic recording of instruments affecting real property by recording officers in New York State. Chapter 549 amended ESRA to allow for the use and acceptance of electronic signatures and records with conveyances and other instruments recordable under article nine of the Real Property Law. Chapter 549 also added a new section 291-i to the Real Property Law, permitting, but not requiring, recording officers to participate in electronic recording of instruments affecting real property. Real Property Law section 291-i requires [the Office of Information Technology Services (ITS), formerly OFT] *ITS*, as the electronic facilitator, to promulgate rules and regulations governing the use and acceptance of digitized paper documents, electronic records and electronic signatures in the recording of instruments affecting real property. These rules and regulations are to prescribe standards to ensure that electronic records of instruments affecting real property documents are accurate, authentic, adequately preserved for long-term electronic storage and resistant to tampering.

Section 540.2(n) of Title 9 of the NYCRR is amended to read as follows:

540.2 Definitions.

(n) PRIA means the Property Records Industry Association, located at [2501 Aerial Center Parkway, Suite 103, Morrisville, NC 27560] *110 Horizon Drive, Suite 210, Raleigh, NC 27615*.

Sections 540.3(a), 540.3(a)(2), 540.3(a)(5), 540.3(a)(8), and 540.3(b) of Title 9 of the NYCRR are amended to read as follows:

540.3 Electronic facilitator.

(a) [OFT] *ITS*, as the electronic facilitator, is responsible for administering this Part. In accordance with ESRA, [OFT] *ITS* has the following functions, powers and duties including, but not limited to:

(2) request and receive information from governmental entities enabling [OFT] *ITS* to properly carry out its functions, powers and duties under ESRA and this Part;

(5) periodically review [OFT's] *ITS'* policies, technology standards and guidelines to ensure that they are consistent with national and international standards and current technology and business practices;

(8) establish advisory committees, working groups, or other bodies to assist and advise [OFT] *ITS* in carrying out the above duties and responsibilities.

(b) Governmental entities may define additional standards for electronic signatures and records after consulting with [OFT] *ITS* to ensure that such standards are consistent with ESRA and this Part.

Text of proposed rule and any required statements and analyses may be obtained from: Division of Legal Affairs, ITS, Empire State Plaza, PO Box 2062, Albany, NY 12220-0062, (518) 473-5115, email: its.sm.dla@its.ny.gov

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

Public comment will be received until: 45 days after publication of this notice.

Additional matter required by statute: Pursuant to the requirements of the State Environmental Quality Review Act, ITS, as lead agency, has determined that the action described herein will have no effect on the environment and an E.I.S. is not needed.

Consensus Rule Making Determination

This proposed rule will amend 9 NYCRR Part 540 only to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14, and to reflect a change in the physical address of the Property Records Industry Association (PRIA). Other than these ministerial corrections, there are no other changes to the rule.

Consistent with the State Administrative Procedure Act §§ 102(11) and 202(1)(b)(1), the Office of Information Technology Services has determined that no person is likely to object to the adoption of the rule as written, as it is non-controversial and merely makes technical changes to replace obsolete references.

Job Impact Statement

A JIS is not required for Title 9 Subtitle N. ITS is proposing this rulemaking merely to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14, and to reflect a change in the physical address of the Property Records Industry Association (PRIA). Because the proposed rule will not impose any requirements on any entity, it will not have any effect on jobs or employment opportunities.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Concerning State Agency Internet Posting of Application Forms

I.D. No. ITS-52-17-00003-P

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

Proposed Action: This is a consensus rule making to amend sections 552.1, 552.3(c), (d) and 552.5(a) of Title 9 NYCRR.

Statutory authority: Executive Law, section 164-d; State Technology Law, section 103

Subject: Concerning State Agency Internet posting of application forms.

Purpose: Correcting outdated references to the former name of ITS, and the Governor's Office of Regulatory Reform (GORR).

Text of proposed rule: Section 552.1 of Title 9 of the NYCRR is amended to read as follows:

552.1 Purpose, intent and applicability.

164-d of the Executive Law provides that the State and every State agency, department, bureau, board, authority, office, commission, or any other instrumentality of the State shall make those various application forms developed and distributed by such agency or instrumentality for public use that are readily convertible to internet form and that are intended to be commonly used by the general public available on the internet. Section 164-d requires the New York State Office [for Technology (OFT), in consultation with the Governor's Office of Regulatory Reform (GORR),] *of Information Technology Services (ITS)* to promulgate rules and regulations to implement the statute. The purpose of this Part is to establish a process for the entities that are subject to section 164-d to use in prioritizing the application forms to be made available on the internet and establishing the timing for making such application forms available on the internet.

Sections 552.3(c) and (d) of Title 9 of the NYCRR are amended to read as follows:

552.3 Inventory of prioritization process for application forms.

(c) The inventory prepared by the State agency pursuant to paragraph (a)(1) of this section and the priority list established by the State agency pursuant to paragraph (a)(3) of this section shall be posted on a State agency website. The State agency website on which the inventory and priority list are posted shall include a conspicuous and direct link to the inventory and the priority list. [The inventory and the priority list shall also be filed with GORR in a format prescribed by GORR.]

(d) At least once per year, the State agency's inventory and priority list shall be updated to reflect the development and distribution by the State agency of any new or redesigned application form that is intended to be commonly used by the general public. Such updated inventory and priority list shall be posted on a State agency website [and filed with GORR, in the format prescribed by GORR].

Section 552.5(a) of Title 9 of the NYCRR is amended to read as follows:

552.5 Miscellaneous provisions.

(a) [OFT, in consultation with GORR,] *ITS* is responsible for administering this Part. [OFT, in consultation with GORR,] *ITS* may request and shall receive such assistance and information from State agencies as may be necessary or convenient to properly administer this Part.

Text of proposed rule and any required statements and analyses may be obtained from: Division of Legal Affairs, ITS, Empire State Plaza, PO Box 2062, Albany, NY 12220-0062, (518) 473-5115, email: its.sm.dla@its.ny.gov

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

Public comment will be received until: 45 days after publication of this notice.

Additional matter required by statute: Pursuant to the requirements of the State Environmental Quality Review Act, ITS, as lead agency, has determined that the action described herein will have no effect on the environment and an E.I.S. is not needed.

Consensus Rule Making Determination

This proposed rule will amend 9 NYCRR Part 552 only to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14, and to remove outdated references to the Governor's Office of Regulatory Reform (GORR), which was discontinued by Chapter 60 of the Laws of 2011 and pursuant to Executive Order dated April 7, 2011. Other than these ministerial corrections, there are no other changes to the rule.

Consistent with the State Administrative Procedure Act §§ 102(11) and 202(1)(b)(1), the Office of Information Technology Services has determined that no person is likely to object to the adoption of the rule as written, as it is non-controversial and merely makes technical changes to replace obsolete references.

Job Impact Statement

A JIS is not required for this amendment. ITS is proposing this consensus rulemaking merely to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14; changes in references from OFT to ITS made in Executive Law section 164-d; and the discontinuance of the Governor's Office of Regulatory Reform pursuant to Chapter 60 of the Laws of 2011, and the April 27, 2011 Executive Order No. 14. Because the proposed rule will not impose any requirements on any entity, it will not have any effect on jobs or employment opportunities.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Providing Public Access to the Records of the Office of Information Technology Services

I.D. No. ITS-52-17-00004-P

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

Proposed Action: This is a consensus rule making to amend sections 550.1-550.2, 550.5-550.6 and 550.8 of Title 9 NYCRR.

Statutory authority: Public Officers Law, art. 6; Executive Law, sections 206-a(11), 208; L. 2012, ch. 55, part O, section 14; Technology Law, section 103

Subject: Providing public access to the records of the Office of Information Technology Services.

Purpose: Correcting outdated references to the name of ITS, a job title in the ITS Division of Legal Affairs; and gender references.

Text of proposed rule: Section 550.1 of Title 9 of the NYCRR is amended to read as follows:

550.1 Purpose and scope.

The people's right to know the process of government decision-making and the documents and statistics leading to determinations is basic to our society. This Part provides information concerning the procedures by which records may be obtained from the New York State Office [for Technology] *of Information Technology Services*.

Section 550.2 of Title 9 of the NYCRR is amended to read as follows:

550.2 Definitions.

(a) The term executive deputy commissioner means the executive deputy commissioner of the New York State Office [for Technology] *of Information Technology Services*.

(b) The term office means the New York State Office [for Technology] *of Information Technology Services*.

Section 550.5 of Title 9 of the NYCRR is amended to read as follows:

550.5 Requests for public access to records.

(a) A request for records within the possession of the office shall be in writing. Such request shall be addressed to the Records Access Officer, New York State Office [for Technology] *of Information Technology Services*, State Capitol/Empire State Plaza, P.O. Box 2062, Albany, NY 12220.

(c)

(3) In the event that the office receives a request for another agency's data that is in the possession of the office because it administers, operates or manages a statewide technology program, the records access officer will, pursuant to section [208] *106* of the [Executive] *State Technology* Law, transmit, within five days, in writing, the request to the agency that owns the data, accompanied by a copy of section [208] *106* of the [Executive] *State Technology* Law. The records access officer will also send a copy of the transmittal to the requester.

Section 550.6 of Title 9 of the NYCRR is amended to read as follows:

550.6 Inspecting and copying of records.

(c) Records inspected may be copied in the following manners:

(1) By the person inspecting the record in his *or her* own handwriting or by his or her own mechanical or electronic means, provided, however, that the use of such mechanical or electronic means does not disrupt the normal functioning of the office.

Section 550.8 of Title 9 of the NYCRR is amended to read as follows:

550.8 Procedure to be followed in the event of denial of access to records or denial of exception from disclosure.

(a) The executive deputy commissioner hereby designates the [Deputy] Counsel in the Office of Counsel of the office as "records appeals officer" to decide appeals from denial of access to records or denial of exception from disclosure under the Freedom of Information Law. The address of the records appeals officer is: [Deputy] Counsel, Office of Counsel, New York State Office [for Technology] *of Information Technology Services*, State Capitol/Empire State Plaza, P.O. Box 2062, Albany, NY 12220. The records appeals officer may designate one or more members of the office, as he or she deems necessary, to serve as assistant records appeals officer and such assistant or assistants shall have only those functions and responsibilities which are expressly designated to the assistant or assistants by the records appeals officer.

(f) The records appeals officer shall, within 10 business days, excluding the day of the proper commencement of the appeal, determine the right of access to records, or, within seven business days, excluding the day of the proper commencement of the appeal, determine the right of exception from disclosure. Where he *or she* decides the denial of access was improper, he *or she* shall order the records access officer to allow the requester access to such records. Where he or she decides the denial of exemption from disclosure was improper, he or she shall order the records access officer to except such records from disclosure. Where he or she decides the denial of access was correct, he or she shall state the reason or reasons therefor and mail a copy of his or her decision to the appellant on or before the aforesaid period by registered or certified mail of the United States Postal Service and to his or her agent or authorized representative, if any, by ordinary mail. In addition, the records appeals officer shall immediately, upon receipt, forward a copy of such appeal to the Committee on Open Government. He or she shall also forward to such committee a copy of the ensuing decision.

Text of proposed rule and any required statements and analyses may be obtained from: Division of Legal Affairs, ITS, Empire State Plaza, PO Box 2062, Albany, NY 12220-0062, (518) 473-5115, email: its.sm.dla@its.ny.gov

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

Public comment will be received until: 45 days after publication of this notice.

Additional matter required by statute: Pursuant to the requirements of the State Environmental Quality Review Act, ITS, as lead agency, has determined that the action described herein will have no effect on the environment and an E.I.S. is not needed.

Consensus Rule Making Determination

This proposed rule will amend 9 NYCRR Part 550 only to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14; correct obsolete statutory references; correct a current job title in the ITS Division of Legal Affairs; and to correct and conform all gender references. Other than these ministerial corrections, there are no other changes to the rule.

Consistent with the State Administrative Procedure Act §§ 102(11) and 202(1)(b)(1), the Office of Information Technology Services has determined that no person is likely to object to the adoption of the rule as written, as it is non-controversial and merely makes technical changes to replace obsolete references.

Job Impact Statement

A JIS is not required for this amendment. ITS is proposing this consensus rulemaking merely to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14; correct obsolete statutory references; correct a job title in the ITS Division of Legal Affairs; and to correct and conform all gender references. Because the proposed rule will not impose any requirements on any entity, it will not have any effect on jobs or employment opportunities.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Providing Access to Personal Information

I.D. No. ITS-52-17-00005-P

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

Proposed Action: This is a consensus rule making to amend sections 551.1-551.3, 551.5-551.8, 551.10 and 551.11 of Title 9 NYCRR.

Statutory authority: Public Officers Law, art. 6-A, section 94(2); Executive Law, section 206-a(11)

Subject: Providing access to personal information.

Purpose: To correct outdated references to the name of ITS and a job title in the ITS Division of Legal Affairs.

Text of proposed rule: Section 551.1 of Title 9 of the NYCRR is amended to read as follows:

551.1 Purpose and scope.

(a) It is the responsibility and the intent of the Office [for Technology] *of Information Technology Services* to fully comply with the provisions of article 6-A of the Public Officers Law, the Personal Privacy Protection Law.

(b) The Office [for Technology] *of Information Technology Services* shall maintain in its records only such personal information that is relevant and necessary to accomplish a purpose of the agency that is required to be accomplished by statute or executive order, or to implement a program specifically authorized by law.

(d) The Office [for Technology] *of Information Technology Services* seeks to ensure that all records pertaining to or used with respect to individuals are accurate, relevant, timely and complete.

Section 551.2 of Title 9 of the NYCRR is amended to read as follows:

551.2 Definitions.

For purposes of this Part:

(d) The term office means the New York State Office [for Technology] *of Information Technology Services* or its successor.

Section 551.3 of Title 9 of the NYCRR is amended to read as follows:

551.3 Proof of identity.

(a) When a request is made pursuant to this Part in person, or when records are made available in person following a request made by mail, the Office [for Technology] *of Information Technology Services* may require identification, such as a driver's license, an identifier assigned to the data subject by the Office [for Technology] *of Information Technology Services*, a photograph or similar information that confirms that the records sought pertain to the data subject.

(b) When a request is made pursuant to this Part, by mail, the Office [for Technology] *of Information Technology Services* may require verification of a signature or inclusion of an identifier generally known only by a data subject, or similar appropriate identification.

Section 551.5 of Title 9 of the NYCRR is amended to read as follows:

551.5 Public inspection of records.

(a) Records shall be made available at the main office of the Office [for Technology] *of Information Technology Services*, which is located at:

NYS Office [for Technology] *of Information Technology Services*
Empire State Plaza
Swan Street Building, Core 4
Albany, NY 12223

(b) The Office [for Technology] *of Information Technology Services* shall accept requests for records and produce records during the hours 9:00 a.m. through 12:00 p.m. and 1:00 p.m. through 4:00 p.m.

Section 551.6 of Title 9 of the NYCRR is amended to read as follows:

551.6 Requests for records and information.

(b) A request shall reasonably describe the record to which access is sought or about which information is desired. Whenever possible, the data subject should supply identifying information that assists the Office [for Technology] *of Information Technology Services* in locating the records sought.

(d) Within five business days of the receipt of a proper request, the Office [for Technology] *of Information Technology Services* shall provide access to the record, deny access in writing explaining the reasons therefore, or acknowledge the receipt of a request in writing, stating the approximate date when the request will be granted or denied, that date shall not exceed 30 days from the date of acknowledgment.

Section 551.7 of Title 9 of the NYCRR is amended to read as follows:

551.7 Designation of privacy compliance officer.

(a) The executive deputy commissioner of the Office [for Technology] *of Information Technology Services* shall designate a privacy compliance officer who is responsible for ensuring that the Office [for Technology] *of Information Technology Services* complies with the provisions of the Personal Privacy Protection Law and with these regulations. The director may, with respect to any one or more privacy compliance issues, delegate their authority hereunder to an appropriate employee of the Office [for Technology] *of Information Technology Services*.

(b) The address of the privacy compliance officer is:

Privacy Compliance Officer
NYS Office [for Technology] *of Information Technology Services*
State Capitol ESP, P.O. Box 2062
Albany, NY 12220-0062

(d) The privacy compliance officer is responsible for:

(3) ensuring that Office [for Technology] *of Information Technology Services* personnel take one of the following actions upon locating the record sought:

Section 551.8 of Title 9 of the NYCRR is amended to read as follows:

551.8 Amendment of records.

(b) Within 30 days of a request from a data subject for correction or amendment of a record or personal information that is reasonably described and that pertains to the data subject, the Office [for Technology] *of Information Technology Services* shall:

Section 551.10 of Title 10 of the NYCRR is amended to read as follows:

551.10 Appeal.

(a) Any person denied access to a record or denied a request to amend or correct a record or personal information pursuant to section 551.9 of this Part may, within 30 days of such denial, appeal to the [deputy] *C*ounsel of the Office [for Technology] *of Information Technology Services*.

(b) The [deputy] *C*ounsel may, with respect to any one or more appeals, delegate its authority hereunder to any assistant counsel of the Office [for Technology] *of Information Technology Services*.

(f) The Office [for Technology] *of Information Technology Services* shall immediately forward to the Committee on Open Government a copy of any appeal made pursuant to this section upon receipt, the determination thereof and the reasons therefore at the time of such determination.

Section 551.11 of Title 9 of the NYCRR is amended to read as follows:

551.11 Statement of disagreement by data subject.

(a) If correction or amendment of a record or personal information is denied in whole or in part upon appeal, the determination rendered pursuant to the appeal shall inform the data subject of the right to:

(1) file with the Office [for Technology] *of Information Technology Services*, a statement of reasonable length setting forth the data subject's reasons for disagreement with the determination; and

(b) Upon receipt of a statement of disagreement by a data subject, the Office [for Technology] *of Information Technology Services* shall:

(c) When providing a data subject's statement of disagreement to a person or governmental unit in conjunction with a disclosure made pursuant to paragraph (d), (i) or (1) of subdivision one of section 96 of the Public Officers Law, the Office [for Technology] *of Information Technology Services* may also include a concise statement of its reasons for not making the requested amendment or correction.

Text of proposed rule and any required statements and analyses may be obtained from: Division of Legal Affairs, ITS, Empire State Plaza, PO Box 2062, Albany, NY 12220-0062, (518) 473-5115, email: its.sm.dla@its.ny.gov

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

Public comment will be received until: 45 days after publication of this notice.

Additional matter required by statute: Pursuant to the requirements of the State Environmental Quality Review Act, ITS, as lead agency, has determined that the action described herein will have no effect on the environment and an E.I.S. is not needed.

Consensus Rule Making Determination

This proposed rule will amend 9 NYCRR Part 551 only to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14, and to correct a job title in the ITS Division of Legal Affairs. Other than these ministerial corrections, there are no other changes to the rule.

Consistent with the State Administrative Procedure Act §§ 102(11) and 202(1)(b)(1), the Office of Information Technology Services has determined that no person is likely to object to the adoption of the rule as written, as it is non-controversial and merely makes technical changes to replace obsolete references.

Job Impact Statement

A JIS is not required for this amendment. ITS is proposing this consensus rulemaking merely to memorialize a change made to the formal name of our agency in the Laws of 2012, Chapter 55, Part O, Section 14; and to correct a job title in the ITS Division of Legal Affairs. Because the proposed rule will not impose any requirements on any entity, it will not have any effect on jobs or employment opportunities.

Power Authority of the State of New York

NOTICE OF ADOPTION

Rates for the Sale of Power and Energy

I.D. No. PAS-41-17-00002-A
Filing Date: 2017-12-12
Effective Date: 2018-01-01

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

Action taken: Decrease in production rates.

Statutory authority: Public Authorities Law, sections 1005, 3rd undesignated paragraph and 1005(6)

Subject: Rates for the Sale of Power and Energy.

Purpose: To align rates and costs.

Substance of final rule: The Power Authority's Notice of Proposed Rulemaking published on October 11, 2017, proposed to decrease the revenue collection through production rates and billing of its Westchester County Governmental Customers by 2.42%. Based on further analysis by staff, the Authority determined that the production rates should be decreased by 6.72%. The new production rates will be effective commencing with the January 2018 billing period.

Final rule as compared with last published rule: Substantial revisions were made in First Part.

Text of rule and any required statements and analyses may be obtained from: Karen Delince, Corporate Secretary, Power Authority of the State of New York, 123 Main Street - 11-P, White Plains, NY 10601, (914) 390-8085, email: karen.delince@nypa.gov

Revised Regulatory Impact Statement
A revised regulatory impact statement is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

Revised Regulatory Flexibility Analysis
A revised regulatory flexibility analysis is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

Revised Rural Area Flexibility Analysis
A revised rural area flexibility analysis is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

Revised Job Impact Statement
A revised job impact statement is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

Assessment of Public Comment
An assessment of public comment is not submitted with this notice because the rule is within the definition contained in section 102(2)(a)(ii) of the State Administrative Procedure Act.

Public Service Commission

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Oversight and Support of Clean Energy Fund and Related NYSERDA Activities

I.D. No. PSC-52-17-00014-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 New York State Energy Research and Development Authority's (NYSERDA) petition regarding access to utility data and legacy reporting requirements.

Statutory authority: Public Service Law, sections 5(2), 66(1), (3), (4) and (5)

Subject: Oversight and support of Clean Energy Fund and related NYSERDA activities.

Purpose: To support and monitor the deployment of clean energy technology.

Substance of proposed rule: The Public Service Commission is considering the petition filed by the New York State Energy Research and Development Authority (NYSERDA) on December 6, 2017 regarding access to utility data and legacy reporting requirements. NYSERDA requests that the Commission issue an order establishing a process for NYSERDA to request data from the utilities and establishing a process for the utilities to assess NYSERDA's dataset requests and to provide the requested data. NYSERDA also requests that the Commission determine the appropriate data protection protocols for such transfers. In addition, NYSERDA requests that the Commission modify reporting requirements for the SBC III and SBC IV programs in recognition of the end of those programs. The full text of the petition 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 relief 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: 45 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.

(14-M-0094SP9)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Development of an Aggregation Standard for Release of Customer Usage Information That Protects the Privacy of Customers

I.D. No. PSC-52-17-00015-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 whether to implement the Utility Energy Registry, and is seeking further input regarding the appropriate balance between the benefit of making more aggregated data available and the need to maintain consumer privacy.

Statutory authority: Public Service Law, sections 5(1), (2), 65(1), (2), (3), 66(1), (2), (3), (4) and (5)

Subject: Development of an aggregation standard for release of customer usage information that protects the privacy of customers.

Purpose: Strike new balance between the benefit of making more aggregated data available and the need to maintain customer privacy.

Substance of proposed rule: The Commission is considering whether to implement the Utility Energy Registry, and is seeking further input regarding the appropriate balance between the benefit of making more aggregated data available and the need to maintain consumer privacy. Among the methods that should be explored are: (1) for data sets that do not pass the privacy screen at the most granular level (i.e., municipality) combine the data sets with other municipalities (i.e., county); (2) recalibrate the privacy standard (in general or for certain aggregation groups) to optimize the benefits of making more information available (e.g., improved local energy planning, improved targeting of clean energy products and services) while continuing to maintain adequate privacy protection; or (3) where aggregation group does not pass the privacy screen, allow the CCA Administrator, and/or municipalities, to obtain the data from utilities pursuant to Data Security Agreement. The full text of the Notice Initiating Matter and Seeking Comment on Utility Energy Registry 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 methods 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: 45 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.

(17-M-0315SP1)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

SUEZ O-N's Rates of the Forest Park Systems for the Provision of Water

I.D. No. PSC-52-17-00016-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 tariff filing filed by SUEZ Water Owego-Nichols Inc. (SUEZ O-N) to increase its annual revenues of the Forest Park Systems by approximately $298,221 or 48.52%, to become effective May 1, 2018.

Statutory authority: Public Service Law, sections 4(1), 5(1)(f), 89-c(1), (3), (10)(a), (b) and (f)

Subject: SUEZ O-N's rates of the Forest Park Systems for the provision of water.

Purpose: To consider an increase in SUEZ O-N's annual water revenues of the Forest Park Systems by approximately $298,221 or 48.52%.

Substance of proposed rule: The Commission is considering tariff revisions filed by SUEZ Water Owego-Nichols Inc. (SUEZ O-N) to P.S.C. No. 1 – Water, to increase the Company's annual revenues for the Forest Park Systems by approximately $298,221 or 48.52%. SUEZ O-N states that the rate increase is necessary in order to recover the investment it has made in the Forest Park systems as well as recovery of operating expenses going forward. The proposed amendment has an effective date of May 1, 2018. The full text of the rate filing 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 relief 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: 45 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.

(17-W-0754SP1)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Waiver of PSC Regulations, 16 NYCRR, Sections 86.3(a)(2), (b)(2) and 88.4(a)(4)

I.D. No. PSC-52-17-00017-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 motion filed by PSEG Long Island LLC for a waiver of certain provisions of 16 NYCRR regarding requirements for applications under PSC Article VII for Certificates of Environmental Compatibility and Public Need.

Statutory authority: Public Service Law, sections 4 and 122

Subject: Waiver of PSC regulations, 16 NYCRR, sections 86.3(a)(2), (b)(2) and 88.4(a)(4).

Purpose: To consider a waiver of certain regulations relating to the content of an application for transmission line siting.

Substance of proposed rule: The Public Service Commission is considering a motion by PSEG Long Island, LLC (PSEG-LI) for a waiver or partial waiver of certain requirements for the content of an application for authority to construct and operate an electric transmission line pursuant to a Certificate of Environmental Compatibility and Public Need under Public Service Law Article VII. PSEG Long-Island proposes to construct and operate approximately seven miles of underground 138 Kilovolt (kV) electric transmission line, connecting the East Garden City Substation to the Valley Stream Substation, all in the Town of Hempstead, County of Nassau, State of New York. PSEG-LI anticipates filing an Article VII application on or about January 8, 2018. PSEG-LI specifically seeks waivers of 16 NYCRR § 86.3(a)(2); 86.3(b)(2) and 88.4(a)(4), relating, respectively, to the filing of certain maps, aerial photographs, and a System Reliability Impact Study. The full text of the motion 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 relief 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: 45 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.

(17-T-0752SP1)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Daily Delivery Service (DDS) Program; Winter Bundled Sales Service (WBSS) and Managed Supply Service (MSS) Programs

I.D. No. PSC-52-17-00018-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 Consolidated Edison Company of New York, Inc. to modify its Daily Delivery Service program and eliminate two expired programs, Winter Bundled Sales Service and Managed Supply Service, in P.S.C. No. 9—Gas.

Statutory authority: Public Service Law, sections 65 and 66

Subject: Daily Delivery Service (DDS) Program; Winter Bundled Sales Service (WBSS) and Managed Supply Service (MSS) Programs.

Purpose: To consider modifications to the DDS Program and the elimination of the expired WBSS and MSS Programs.

Substance of proposed rule: The Public Service Commission (Commission) is considering a proposal filed by Consolidated Edison Company of New York, Inc. (Con Edison) on December 1, 2017, to revise its gas tariff schedule, P.S.C. No. 9 – Gas. Con Edison proposes to modify its Daily Delivery Service Program to implement a mandatory 12-month pilot program for the release of certain allocations of Con Edison's storage field capacity and associated pipeline capacity to Marketers and/or their Agents. Con Edison also proposes to eliminate two expired programs from its tariff schedule, Winter Bundled Sales Service Program and Managed Storage Supply Program. The proposed amendments have an effective date of April 1, 2018. The full text of the filing 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 relief 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: 45 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.
(17-G-0745SP1)

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Petition to Submeter Electricity

I.D. No. PSC-52-17-00019-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 petition of Bruns Associates, LLC to submeter electricity at 291 North Thompson Avenue, Rotterdam, New York.

Statutory authority: Public Service Law, sections 2, 4(1), 30, 32-48, 52, 53, 65(1), 66(1), (2), (3), (4), (12) and (14)

Subject: Petition to submeter electricity.

Purpose: To consider the petition of Bruns Associates, LLC to submeter electricity.

Substance of proposed rule: The Commission is considering the petition of Bruns Associates, LLC (Owner), filed on November 14, 2017, to submeter electricity at 291 North Thompson Avenue, Rotterdam, New York, located in the service territory of Niagara Mohawk Power Corporation d/b/a National Grid (National Grid). The Owner states that the final mailing address for the residential complex has not yet been set. By stating its intent to submeter electricity, Bruns Associates, LLC has requested authorization to take electric service from National Grid and then distribute and meter that electricity to tenants. Submetering of electricity to residential tenants is allowed so long as it complies with the protections and requirements of the Commission's regulations at 16 NYCRR Part 96. The full text of the petition 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 relief 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: 45 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.
(17-E-0684SP1)

Department of State

EMERGENCY/PROPOSED
RULE MAKING
NO HEARING(S) SCHEDULED

Establishment of the Identity Theft Prevention and Mitigation Program

I.D. No. DOS-52-17-00013-EP
Filing No. 1112
Filing Date: 2017-12-12
Effective Date: 2017-12-12

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

Proposed Action: Repeal of Parts 4600, 4601 of Title 21 NYCRR; renumbering of Parts 4602-4605 and 4607-4608 of Title 21 NYCRR to Parts 220-225 of Title 19 NYCRR; and addition of Part 226 to Title 19 NYCRR.

Statutory authority: Executive Law, sections 91, 94-a(3)(6) and (9)

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

Specific reasons underlying the finding of necessity: The massive data breach experienced by Equifax, a large Consumer Credit Reporting Agency, has exposed millions of people to fraud and economic ruin. The "theft" of these individual's identities begins with such breach. Equifax (and other such entities experiencing data breaches) is under an obligation to them to provide timely information concerning the status of their credit histories, what is being done to protect them and how they can protect themselves. These rules include mechanisms to facilitate the provision of such information and assistance by: clarifying the status of a "victim of identity theft" as inclusive of an individual who has been victimized by a security breach; requiring, among other things, the filing of a form with the Division that CCRAs establish and notify the Division of a point of contact for Division inquiry and fact finding, and for such point of contact to be available for such dialogue for general matters during regular business hours and within 24 hours in event of a notification of a security breach, and the disclosure to the Division and consumers of proprietary and other products offered by the CCRA to consumers for the prevention of identity theft, with information as to the fees and contractual provisions associated therewith. Such information will better enable consumers to make informed choices as to what credit monitoring or protection product is suitable for them. It is necessary to immediately adopt this rule so that such information and assistance is available in the event of another breach.

Subject: Establishment of the Identity Theft Prevention and Mitigation Program.

Purpose: To facilitate the timely provision of information and assistance to victims of identity theft.

Text of emergency/proposed rule: A new Chapter VIII is added to Title 19; Parts 4600 and 4601 of Title 21 are repealed; Parts 4602-4605 and 4607-4608 of Title 21 are renumbered as Parts 220-225 of Title 19, respectively; and a new Part 226 is added to Title 19 to read as follows:

Part 226

Identity Theft Prevention and Mitigation Program

§ 226.1 Purpose.

The Division of Consumer Protection was created within the Department of State to protect the people of New York State from economic harm resulting from unscrupulous and questionable business practices. The Division is authorized to promulgate rules and regulations to achieve this objective, including the authority to establish and administer the Identity Theft Prevention and Mitigation Program. The Program is intended to: (1) inform consumers about how to protect their personal identifying information; (2) help consumers prevent identity theft, including taking steps to protect their identities once their personal identifying information has been compromised, and (3) help consumers mitigate issues related to the theft of their identities. These regulations establish requisites and procedures to provide consumers with the means to protect themselves against identity theft and to assure that appropriate assistance and complaint resolution mechanisms are in place for the protection and repair of their financial and credit history in the event their personal identifying information has been compromised.

§ 226.2 Definitions.

(a) Victim of identity theft. The term "victim of identity theft" shall

mean any natural person whose personal information has been wrongfully obtained by another or is used in some way that involves fraud or deception, typically for economic gain.

(b) Personal information. The term "personal information" shall mean any information concerning a natural person which, because of name, number, personal mark, or other identifier, can be used to identify such natural person.

(c) Consumer Reporting Agency. The term "consumer reporting agency" means any person who, for monetary fees, dues, or on a cooperative nonprofit basis, regularly engages in whole or in part in the practice of assembling or evaluating consumer credit information or other information on consumers for the purpose of furnishing consumer reports or investigative consumer reports to third parties.

(d) Consumer credit reporting agency. The term "consumer credit reporting agency" means a consumer reporting agency that regularly engages in the practice of assembling or evaluating and maintaining, for the purpose of furnishing consumer credit reports to third parties bearing on a consumer's credit worthiness, credit standing, or credit capacity, public record information and credit account information from persons who furnish that information regularly and in the ordinary course of business.

(e) Division. The term "Division" shall mean the Division of Consumer Protection.

(f) Department. The term "Department" shall mean the Department of State.

(g) Program. The term "Program" shall mean the Identity Theft Prevention and Mitigation Program.

§ 226.3 Consumer Assistance.

Persons requesting assistance from the Division to respond to an identity theft concern shall complete a consumer complaint assistance form as prescribed by the Division. The Division, where appropriate, may undertake any activities necessary to help a victim of identity theft obtain any such information and assistance from any entity identified in Executive Law § 94-a3(9)(ii), including, but not limited to, consumer credit reporting agencies, as is necessary to prevent the utilization of such consumer's personal identifying information in a way that inures to such consumer's economic detriment, or to mitigate the impacts when such consumer's personal identifying information has been used to such consumer's economic detriment.

§ 226.4 Consumer Educational Materials.

The Division shall make available upon request to any person identifying themselves as a victim of identity theft information that provides such victims with guidance in understanding and addressing concerns surrounding an identity theft crime.

§ 226.5 Request for Information.

When the Division of Consumer Protection acts on behalf of a consumer to investigate, mediate and/or mitigate an identity theft complaint, the Division may require substantiating and/or supporting documentation and/or records from any State agency, including the Division of State Police, State public authority, municipal department or agency, county or municipal police department, and any non-governmental entity, including, but not limited to, consumer credit reporting agencies. A consumer credit reporting agency shall comply with the written request of the Division for such documentation and/or records within 10 business days of service of such request, consistent with applicable laws and this Part.

§ 226.6 Consumer Credit Reporting Agency Filing.

Each consumer credit reporting agency operating within the State shall file with the Department such information as the Division finds necessary to effectively administer the Program. Such information shall be disclosed by filing a form provided by the Department and entitled "Consumer Reporting Agency Notice and Contact Information." Such form shall include, but not be limited to, the following information, which shall be maintained and updated by the filer in the manner prescribed by the Department:

(a) The name of the consumer credit reporting agency.

(b) The principles and officers of the consumer credit reporting agency.

(c) The direct contact information for an individual(s) within the consumer credit reporting agency available to the Division during regular business hours.

(d) The direct contact information for an individual(s) within the consumer credit reporting agency available to the Division within 24 hours of a notification of a security breach pursuant to GBL § 399-aa(8)(a).

(e) Contact information available to consumers, including, the consumer credit reporting agency's web address, telephone number and email address.

(f) A listing of all proprietary products offered by the consumer credit reporting agency to consumers for the prevention or mitigation of identity theft, any and all fees associated with the purchase of or subscription to such products, and the contractual provisions and disclosures in relation to such purchase or subscription, including, but not limited to: scope of services; liability for negligent or erroneous provision of services, and cancellation requisites.

(g) A listing and description of all business affiliations and contractual relationships with any other entities, where such business affiliations or contractual relationships relate to the provision of any products or services advertised to consumers as products or services available for the prevention or mitigation of identity theft.

(h) The consumer credit reporting agency's DUNNS number.

§ 226.7 Consumer Information.

Any advertisements or other material promoting proprietary products offered to consumers by a consumer credit reporting agency for the prevention of identity theft must prominently disclose any and all fees associated with the purchase or use of such product, including, if offered on a trial basis, any and all fees charged for its purchase or use after the trial period and the requisites of cancellation of such continued use.

§ 226.8 Violations.

A violation of any of the rules set forth in this Part shall be referred to the Attorney General, Department of Financial Services and/or any other appropriate law enforcement or regulatory entity for action.

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 11, 2018.

Text of rule and any required statements and analyses may be obtained from: Daniel E. Shapiro, Department of State, One Commerce Plaza, Albany, NY 12231, (518) 474-6740, email: daniel.shapiro@dos.ny.gov

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

Public comment will be received until: 45 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:

New York Executive Law § 91 authorizes the Secretary of State to: "adopt and promulgate such rules which shall regulate and control the exercise of the powers of the department of state." Additional authority is set forth in Executive Law § 94(6), which authorizes the Secretary of State to "implement other powers and duties by regulation," and Executive Law § 94(9)(i) which authorizes the Secretary of State to "promulgate rules and regulations to administer the identity theft prevention and mitigation program."

2. Legislative objectives:

Chapter 62 of the Laws of 2011 consolidated the Consumer Protection Board within the Department of State as a division under the supervision of the Secretary of State. Section 94-a of the Executive Law provides the Division of Consumer Protection with general authority to act in the interests of consumers "in order to protect the people of New York state from economic harm." The Division has long been concerned with the psychologically destructive and economically catastrophic effects of identity theft. It has engaged in public education and outreach, represented the interests of identity theft victims and acted as liaison between them and other entities, both governmental and private. These rules would augment such efforts by establishing an "identity theft prevention and mitigation program (Program)." Among other things, the Program sets forth complaint procedures for consumers and provides for the timely flow of information and assistance critical to consumers exposed to identity theft.

In order to steal an individual's identity, the criminal must acquire the victim's personal information. Of great value is the victim's financial information and credit history, which provides the criminal with a roadmap for the looting of the victim's wealth. Such information is aggregated, maintained and analyzed by Consumer Credit Reporting Agencies (CCRAs), which provide "consumer credit reports" to entities doing business with consumers. Consumers seeking to obtain such things as mortgages, apartment rentals, and loans must consent to such "credit check" or go without. It is critical to the economic health of all that such information be maintained in the strictest confidence and used only for its intended purpose. Unfortunately, recent events have shown that such is not the case. The massive data breach experienced by Equifax, a large CCRA, has exposed millions of New Yorkers to fraud and economic ruin. The "theft" of these individual's identities begins with such breach. Equifax (and other such entities experiencing data breaches) is under an obligation to consumers to provide timely information concerning the status of their credit histories, what is being done to protect them and how they can protect themselves. These rules include mechanisms to facilitate the provision of such information and assistance by: 1) clarifying the status of a "victim of identity theft" as inclusive of an individual who has been victimized by a security breach; 2) requiring, among other things, the filing of a form with the Division that CCRAs establish and notify the Division of a point of contact for Division inquiry and fact finding, and for such point of contact to be available for such dialogue for general matters during regular business hours and within 24 hours in event of a notification of a security breach, and 3) the disclosure to the Division and consumers of proprietary

and other products offered by the CCRA to consumers for the prevention of identity theft, with information as to the fees and contractual provisions associated therewith. Such information will better enable consumers to make informed choices as to what credit monitoring or protection product is suitable for them.

The Secretary of State, empowered to issue these regulations to safeguard the interests of consumers and the public, generally, finds that the ready availability of information and assistance to victims of identity theft and security breaches is critical to their efforts to avoid the potentially devastating consequences of identity theft.

3. Needs and benefits:

The rulemaking, establishing the Identity Theft Prevention and Mitigation Program, facilitates the timely provision of information and assistance by Consumer Credit Reporting Agencies to victims of identity theft and security breaches and the Division of Consumer Protection. The timely provision of such information and assistance will better enable individuals to protect themselves from fraud and financial devastation.

4. Costs:

a. Costs to regulated parties:

The cost to CCRAs to comply with this rule will be nominal.

b. Costs to the Department of State, the State, and Local Governments:

The Department does not anticipate any additional costs to implement the rule.

5. Local government mandates:

The rule does not impose any program, service, duty or responsibility upon any county, city, town, village, school district or other special district.

6. Paperwork:

The rule requires CCRAs to file a form with the Division. It is anticipated that such form will be short and will not require significant resources to complete.

7. Duplication:

The Department currently educates and assists the public with regard to identity theft and mediates on behalf of victims of identity theft. However, the Division has found that the timely provision of necessary information and assistance to such victims is of critical importance to their efforts to protect themselves from, or mitigate the impacts of, the theft. These rules facilitate such timely provision.

8. Alternatives:

The Department considered not proposing the instant rulemaking. However, this rule is needed to provide a clear path for consumers to acquire information and assistance necessary in the wake of a security breach and to better enable the Division to provide support to victims of identity theft.

9. Federal standards:

The proposed amendments do not exceed any minimum standards of the federal government for the same or similar subject areas.

10. Compliance schedule:

Immediate upon adoption.

Regulatory Flexibility Analysis

The rule imposes neither an adverse economic impact on small businesses or local governments; nor reporting, record keeping or other compliance requirement on small businesses or local governments.

The massive data breach experienced by Equifax, a large Consumer Credit Reporting Agency, has exposed millions of New Yorkers to fraud and economic ruin. The "theft" of these individual's identities begins with such breach. Equifax (and other such entities experiencing data breaches) is under an obligation to consumers to provide timely information concerning the status of their credit histories, what is being done to protect them and how they can protect themselves. This rules includes mechanisms to facilitate the provision of such information and assistance.

Comments will be received and entertained during the public comment period associated with the Proposed Rulemaking portion of this Notice.

Rural Area Flexibility Analysis

This rule imposes neither an adverse impact on rural areas; nor reporting, recordkeeping or other compliance requirements on public or private entities in rural areas.

The rule will apply to Consumer Credit Reporting Agencies (CCRAs) which provide services across the state, but are not primarily located in rural areas. This rule requires among other things, that: CCRAs establish and notify the Division of a point of contact for Division inquiry and fact finding, such point of contact be available for such dialogue for general matters during regular business hours and within 24 hours in event of a notification of a security breach, and disclosure be provided to the Division and consumers of proprietary products offered by the CCRA to consumers for the prevention of identity theft, with information as to the fees and contractual provisions associated therewith. It is anticipated that the costs associated with such requirements will be insubstantial.

Comments will be received and entertained during the public comment period associated with the Proposed Rulemaking portion of this Notice.

Job Impact Statement

It is apparent from the nature and purposes of this rule that it will not have a substantial adverse impact on jobs or employment opportunities.

This rule will primarily apply to three large Consumer Credit Reporting Agencies (CCRAs).

The rule will require, among other things, that (CCRAs): establish and notify the Division of a point of contact for Division inquiry and fact finding, ensure such point of contact be available for such dialogue for general matters during regular business hours and within 24 hours in event of a notification of a security breach, and provide disclosure to the Division and consumers of proprietary products offered by the CCRA to consumers for the prevention of identity theft, with information as to the fees and contractual provisions associated therewith. It is anticipated that such requirements would have little to no impact on jobs.

Comments will be received and entertained during the public comment period associated with the Proposed Rulemaking portion of this Notice.

Workers' Compensation Board

NOTICE OF ADOPTION

Impairment Guidelines for Schedule Loss of Use Evaluations

I.D. No. WCB-36-17-00015-A

Filing No. 1120

Filing Date: 2017-12-18

Effective Date: 2018-01-01

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

Action taken: Addition of section 325-1.6 to Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, sections 15(30)(x), 117 and 141

Subject: Impairment Guidelines for Schedule Loss of Use Evaluations.

Purpose: Incorporate by reference Impairment Guidelines.

Text of final rule: A new section 325-1.6 is added to Title 12 NYCRR as follows:

325-1.6 The Impairment Guidelines for Schedule Loss of Use Determinations

a) All evaluations of permanent impairment for use in a schedule loss of use determination shall be performed in accordance with the Workers' Compensation Guidelines for Determining Impairment, First Edition, XXXXXXX, effective January 1, 2018, which is herein incorporated by reference. Such evaluations must be completed in the format prescribed by the Chair.

b) Obtaining the Workers' Compensation Guidelines for Determining Impairment. The Workers' Compensation Guidelines for Determining Impairment incorporated by reference herein may be examined at the office of the Department of State, 99 Washington Avenue, Albany, New York, 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the Board. Copies may be downloaded from the Board's website or obtained from the Board by submitting a request in writing, with the appropriate fee, identifying the specific guideline requested and the choice of format to Publications, New York State Workers' Compensation Board, 328 State Street, Schenectady, New York 12305-2318. Information about the Workers' Compensation Guidelines for Determining Impairment can be requested by email at GENERAL_INFORMATION@wcb.ny.gov, or by telephone at 1-800-781-2362. The Workers' Compensation Guidelines for Determining Impairment are available on paper or compact disc. A fee of ten dollars will be charged for the guideline requested in paper format, and a fee of five dollars will be charged for a compact disc. Payment of the fee shall be made by check or money order payable to "Chair WCB."

Final rule as compared with last published rule: Nonsubstantive changes were made in section 325-1.6(a).

Revised rule making(s) were previously published in the State Register on November 22, 2017.

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

Additional matter required by statute: Workers' Compensation Guidelines for Determining Impairment, First Edition, November 22, 2017, effective January 1, 2018 is incorporated by reference.

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 proposed rule does not necessitate revision to the previously published document. The changes to the text are non-substantive corrections. These changes do not affect the meaning of any statements in the prior 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 2020, 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 more than 50 formal written comments from Survey Monkey, emailed comments, and regular mail. Additionally, the Chair and Board received more than 150 form letters from individuals.

The Board received approximately 18 form letters opining that the revised proposal was a substantial improvement over the September draft guidelines, but objecting to any reductions in awards for permanent damage to limbs. The Board also received more than 130 form letters from individuals objecting to this proposal in its entirety, specifically any benefit cuts at all. These form letters objected to any revisions at all, and because this is a legislative mandate, the Board must adopt some changes, and no change to the proposal has been made as a result of these form letters.

The Board received a comment from an employee advocate group agreeing with many of the changes from the first proposal to the second, especially the removal of the "cooperation" language.

The Board received several comments from individuals and employee advocate groups objecting to any revisions to the guidelines that would result in benefit cuts for workers, but supported the proposal otherwise.

The Board received a detailed comment from an employee advocacy group that stated that the November proposal is much improved, but objected to several specific sections of the proposed impairment guidelines, including the reduction in some awards, and the change in the thumb measure. The Board did change the thumb measure from 60 degrees in the proposal to 90 degrees.

The Board received a comment from three comments, from individuals and carriers, that the proposals are not based on advancements in modern medicine.

The Board received a comment from a claimant attorney requesting the regulations be amended to include what happens if there are Schedule Loss of Use opinions that remain unresolved prior to the implementation of the final version of the new guidelines, and requesting that existing SLU opinions be "grandfathered in".

The Board received a comment from a carrier attorney suggesting the addition of a note to the impairment guidelines to ensure range of motion is compared to the contralateral side, as well.

The Board received approximately five comments from health care providers suggesting the addition of various other medical conditions, including spine injuries and tinnitus among others, as well as several small specific suggestions for changes to the guidelines.

The Board received several comments from carriers, third party administrators, self-insured employers, and businesses objecting to the most recent proposal, citing unfairness to employers and preferring the September proposal, especially the "loss of earning power" factor. The Board received many comments from the last round of proposals objecting on behalf of employees, and the most recent proposal takes those comments into account. No change to the proposal has been made in response to this comment.

The Board received several comments from health care providers and claimant attorneys supporting the fairness of this revised proposal as a whole.

Changes to the Proposal

- Section 2.4: The Board changed the thumb measure from 60 degrees to 90 degrees.

PROPOSED RULE MAKING
NO HEARING(S) SCHEDULED

Establishment of Prescription Drug Formulary

I.D. No. WCB-52-17-00021-P

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

Proposed Action: Addition of section 440.2(g) and Part 441 to Title 12 NYCRR.

Statutory authority: Workers' Compensation Law, sections 13-p, 117 and 142

Subject: Establishment of Prescription Drug Formulary.

Purpose: Establishment of a drug formulary that includes high-quality and cost-effective preauthorized medication.

Text of proposed rule: Section 440.2 of Title 12 of NYCRR is amended to add a new subdivision (g) as follows:

(g) Any rebates delivered to the designated pharmacy shall be passed through in full to the insurance carrier or self-insured employer to ensure savings to the overall cost of the program. Such rebates shall be reported annually to the carrier or self-insured employer and reported to the Chair upon request.

Subchapter M of Chapter V of Title 12 of NYCRR is amended to add a new Part 441 as follows:

441 Pharmacy Formulary

441.1 Definitions.

(a) "Preferred drug" means a drug on the New York Pharmacy Formulary that does not require prior authorization The Preferred status of a drug is designated in the column with the heading labeled "Preferred/Non-Preferred".

(b) "Non-Preferred drug" means a drug on the New York Pharmacy Formulary that requires prior authorization by the insurance carrier or self-insured employer before dispensing. The Non-Preferred status of a drug is designated in the column with the heading labeled "Preferred/Non-Preferred".

(c) "Unlisted drug" means a drug that does not appear on the New York Pharmacy Formulary and which is one of the following: a Federal Drug Administration (FDA) approved prescription drug; an FDA-approved nonprescription drug; or a nonprescription over the counter drug that is marketed pursuant to an FDA OTC Monograph.

(d) "Compound drug" means a drug that is created by combining one or more active pharmaceutical ingredients, and one or more inactive ingredients, to meet specific patient medical needs that presumably cannot be met with FDA-approved prescription drugs, FDA-approved nonprescription drugs, or other drugs commercially available in the marketplace. For the purposes of this subchapter, a compound drug shall be treated the same as a Non-Preferred drug but at all times shall be subject to federal law governing compounding, including title 21, United State Code, sections 353a, 353a-1, 353b.

(e) "Generic drug" means "an FDA-approved drug that is therapeutically equivalent to a brand name drug as determined by the FDA's designation of the drug with the Therapeutic Equivalence Evaluation Code designation as an "A" product in the "Approved Drug Products with Therapeutic Equivalence Evaluations" (commonly referred to as the Orange Book).

(f) "New York Pharmacy Formulary" or "Pharmacy Formulary" means the drug list incorporated by reference in section 441.3 of this Part.

(g) "Dispense" or "dispensed" means (1) the furnishing of a drug upon a prescription from a physician or other health care provider acting within the scope of his or her practice, or (2) the furnishing of drugs directly to a patient by a physician acting within the scope of his or her practice and pursuant to the dispensing limitations set forth in section 6807(2) of the Education Law.

(h) "Special Fill policy" means the policy set forth in subparagraph (a) of paragraph (5) of subdivision (d) of this section, allowing dispensing of identified Non-Preferred drugs without obtaining prior authorization where the drug is dispensed at the initial treatment visit following a workplace injury, where the visit occurs within seven days of the date of injury.

(i) "Perioperative Fill policy" means the policy set forth in paragraph (2) of subdivision (e) of section 441.4 of this Part, allowing dispensing of identified Non-Preferred drugs without obtaining prior authorization where the drug is prescribed within the perioperative period and meets specified criteria. Perioperative period refers to the four days before and four days after the patient goes into the hospital, clinic, or doctor's office for surgery; with the day of surgery being day zero.

(j) "FDA-approved drug" means a prescription or nonprescription drug that has been approved by the FDA under the federal Food, Drug, and Cosmetic Act, title 21, United States Code, section 301 et seq.

(k) "FDA OTC Monograph" means a data standards manual (DSM) established by the FDA setting forth acceptable ingredients, doses, formulations, and labeling for a class of over the counter drugs.

(l) "Prior Authorization" means the review procedure conducted prior to the dispensing of a Non-Preferred drug, or a drug prescribed that is not in accordance with the Medical Treatment Guidelines.

441.2 Applicability of the New York Pharmacy Formulary.

(a) On or after July 1, 2018, every new prescription shall be dispensed consistent with the Pharmacy Formulary regardless of the date of accident or disablement unless prior authorization is received to dispense a non-preferred or unlisted drug.

(b) On or after December 31, 2018, every refill and renewal prescription shall be dispensed consistent with the Pharmacy Formulary regardless of the date of accident or disablement unless prior authorization is received to dispense a non-preferred or unlisted drug.

(c) No later than October 1, 2018, the insurance carrier or self-insured employer shall identify all claims that have been prescribed for an unlisted or Non-Preferred drug and provide written notification to the injured employee and Treating Medical Provider, which contains the following information: (a) the notice of the impending date and applicability of the New York Pharmacy Formulary and (b) a process for determining an equivalent preferred drug as well as the process to request prior authorization for a Non-preferred or unlisted drug.

441.3 Incorporation by Reference.

The New York Pharmacy Formulary incorporated by reference herein, lists the drug ingredient, preferred status, and drug class. Copies of the formulary may be downloaded from the Board's website free of charge. The formulary may be examined at the office of the Department of State, 99 Washington Avenue, Albany, New York, 12231, the Legislative Library, the libraries of the New York State Supreme Court, and the district offices of the Board, or obtained from the Board by submitting a request in writing, with a fee of five dollars, to the New York State Workers' Compensation Board, 328 State Street, Schenectady, New York 12305-2318. Payment of the fee shall be made by check or money order payable to "Chair WCB." Information about the New York Pharmacy Formulary can be requested by email at GENERAL_INFORMATION@wcb.ny.gov, or by telephone at 1-800-781-2362.

441.4 Prior Authorization (Utilization Review) for Non-Preferred or Unlisted Drugs.

(a) When a medical provider determines that a Non-Preferred drug or unlisted drug, or a brand-name drug with a generic equivalent, is appropriate for the claimant and medically necessary, the medical provider shall seek prior authorization prior to prescribing or dispensing.

(b) The medical provider may request a prior authorization from the insurance carrier or self-insured employer. The request may be made orally or in writing. The carrier or self-insured employer shall approve or deny this request within four calendar days. A request for prior authorization that is not timely denied shall be deemed approved.

(c) If the carrier or self-insured employer denies the request, the medical provider may seek review by the Board through the medical director's office or, when requested, through the conciliation process.

(d) Prior authorization must be sought and obtained prior to the time that the drug is dispensed. The carrier or self-insured employer may deny payment when prior authorization was not obtained prior to dispensing the drug.

(e) Exceptions to Prior Authorization Requirement:

(1) Special Fill drugs. The New York Pharmacy Formulary identifies drugs that are subject to the Special Fill policy. Under this policy, a drug that usually requires prior authorization because it is non-Preferred may be dispensed when: (i) The drug is prescribed at the initial treatment visit following a work related injury or illness, provided that the initial visit is within 7 days of the date of injury or disablement, with the day after the date of injury counting as "day one"; (ii) The prescription is medically necessary in the opinion of the treating medical provider; and (iii) The prescription for the Special Fill-eligible drug is for an FDA-approved drug.

(2) Perioperative Fill drugs. The New York Pharmacy Formulary identifies drugs that are subject to the Perioperative Fill policy. Under this policy, the drug identified as a Perioperative Fill drug may be dispensed when: (i) The drug is prescribed during the perioperative period, which is defined as the period from four days prior to surgery to four days after surgery, with the day of surgery as "day zero"; and (ii) The prescription is medically necessary in the opinion of the treating medical provider; and (iii) The prescription for the Perioperative Fill - eligible drug is for an FDA-approved drug.

441.5 Changes to the New York Pharmacy Formulary.

(a) The New York Pharmacy Formulary shall be updated not less than annually to account for changes to medications available on the market.

(b) The Medical Director, or his or her designee, shall review any drugs recommended for addition or removal from the preferred drugs list, and assess public petitions regarding drugs included and/or excluded from the Pharmacy Formulary. If the position of medical director of the Board shall become vacant, the Chair shall appoint a competent person to temporarily assume the authority and duties of the Medical Director to review such additions and removals, and to review and assess such public petitions, until such time as the position of medical director of the Board is filled. Written documentation of the review and assessment of changes to the Pharmacy Formulary shall be maintained by the Board and posted on the Board's website.

Text of proposed rule and any required statements and analyses may be obtained from: Heather MacMaster, Workers' Compensation Board, Office of General Counsel, 328 State Street, Schenectady, NY 12305-2318, (518) 486-9564, email: regulations@wcb.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.

Additional matter required by statute: The drug formulary is posted for review at: wcb.ny.gov/drug-formulary-regulation

Regulatory Impact Statement

1. Statutory authority: Workers' Compensation Law (WCL) § 117 authorizes the Chair of the Workers' Compensation Board (Board) to adopt reasonable rules consistent with the provisions of the WCL. Chapter 59 of the Laws of 2017 added Section 13-p to the WCL mandating that the Chair adopt a prescription drug formulary.

2. Legislative objectives: These proposed regulations incorporate by reference a prescription drug formulary that incudes high-quality and cost effective drugs. Additionally, these proposed regulations set forth the process for obtaining prior authorization and administrative review of a pre-authorization denial for non-preferred drugs.

3. Needs and benefits: Chapter 59 of the Laws of 2017 added Section 13-p. WCL section 13-p mandates that the Chair of the Workers' Compensation Board establish a prescription drug formulary on or before December 31, 2017. The legislation specifically states: "The prescription drug formulary shall include a tiered list of high-quality, cost-effective medications that are pre-approved to be prescribed and dispensed, as well as additional non-preferred drugs that can be prescribed with prior approval. Such prescription drug formulary, shall include but not be limited to implementation of a pharmacy reimbursement strategy, administration of a prescription drug rebate program for formulary drugs, a pre-approval program, drug utilization review, and limitations on the prescribing of compounded medications and compounded topical preparations." Accordingly, the proposed rule incorporates a drug formulary by reference and sets forth the procedure for use of preferred and non-preferred drugs. The prescription drug formulary will benefit carriers, medical providers, pharmacies, and claimants by providing uniform guidelines for prescribing drugs.

4. Costs: The proposal will not impose costs on parties of interest in the workers' compensation system. The New York Pharmacy Formulary can be downloaded free of cost from the Board's website. Additionally, it is expected that there will be costs savings for all parties. By having a defined list of preferred drug, which have been selected based on their medical efficacy, many claimants may have lower prescription drug costs and there will be fewer fee disputes necessitating hearings before the Workers' Compensation Board.

5. Local government mandates: The proposed regulation does not impose any program, service, duty, or responsibility upon any county, city, town, village, school district, fire district, or other special district. However, a municipality or governmental agency that is self-insured is required to comply with the same rules required of insurance carriers, including reviewing prior authorization requests and approving or denying the request within four days. Although this review process may impose minor administrative costs on self-insured municipalities and governmental agencies, it is the option of municipalities and governmental agencies to self-insure, and self-insurance guidelines are set by statute. Moreover, it is expected that the proposed regulation will actually reduce costs by reducing fee disputes.

6. Paperwork: The proposal does not impose any new reporting requirements.

7. Duplication: There is no duplication.

8. Alternatives: Based upon the mandate of the Legislature to establish a prescription drug formulary, the Chair is required to promulgate regulations in order to ensure the orderly implementation of the formulary incorporated by reference in the proposed regulation. To fail to promulgate the proposed regulations, which set forth clear criteria for the use of the prescription drug formulary, would violate the statutory mandate and cause confusion for parties that anticipate the adoption of a drug formulary. The Workers' Compensation Board also had discussions about the content of the regulations with other states, such as California, to garner information about their experience with adopting a drug formulary.

9. Federal standards: There are no applicable Federal Standards.

10. Compliance schedule: The proposed regulation is mandatory. All affected medical providers, carriers, and self-insured employers will have to refer to the New York Pharmacy Formulary incorporated by reference in the proposed regulation.

Regulatory Flexibility Analysis

1. Effect of rule:

This proposed rule applies to all medicines prescribed to workers' compensation claimants. The proposed regulation establishes a drug formulary that provides a list of pre-authorized high-quality and cost-effective drugs, and sets forth the procedure for receiving authorization for drugs that are not listed in the drug formulary. The rule will have no effect on local governments.

2. Compliance requirements:

Under this new rule, all prescriptions in workers' compensation cases must be made in accordance with the drug formulary and accompanying regulations.

3. Professional services:

The Board believes that no professional services will be needed to comply with this rule. This new rule simply proposes establishment of a drug formulary listing authorized medications.

4. Compliance costs:

This proposal does not involve any new compliance costs. It is anticipated that use of the drug formulary will simplify compliance with the workers' compensation law.

5. Economic and technological feasibility:

No implementation or technology costs are anticipated for small businesses and local governments for compliance with the proposed rule. Therefore, it will be economically and technologically feasible for small businesses and local governments affected by the proposed rule to comply with the rule.

6. Minimizing adverse impact:

The Board does not anticipate any increased costs or adverse impact. The new rule simply establishes a formulary for use in prescribing and dispensing medication to workers' compensation claimants.

7. Small business and local government participation:

The Chair proposes this regulation pursuant to a legislative mandate. Due to the fact that no impact is anticipated on small businesses or local governments, the Chair has not engaged in consultation.

Rural Area Flexibility Analysis

1. Types and estimated numbers of rural areas:

The proposed rule applies to all carriers, employers, self-insured employers, third party administrators and pharmacies in rural areas. This includes all municipalities in rural areas.

2. Reporting, recordkeeping and other compliance requirements:

Medical providers in all areas of the state, including rural areas, will be required to prescribe and dispense drugs in accordance with the New York Pharmacy Formulary, which is incorporated by reference in the proposed regulation. Additionally, carriers and self-insured employers throughout the state, including rural areas, will be required to timely approve or deny prior authorization requests for the use of non-preferred or unlisted drugs within four calendar days.

3. Costs:

This proposal will impose minimal compliance costs on carriers and employers across the state, including rural areas, which will be more than offset by the savings afforded by the Pharmacy Formulary. Particularly, the Board anticipates that all regulated parties will experience cost savings as a result of the formulary incorporated by reference in the proposed regulations, insofar as the formulary sets forth clear guidance as to the preferred status of drugs, which should result in fewer fee disputes.

4. Minimizing adverse impact:

This proposed rule is designed to minimize adverse impacts on all regulated parties. The proposed rule will provide a benefit to all parties, including claimants, carriers and self-insured employers, and medical providers, by setting forth clear, uniform guidelines as to the preferred status of drugs. Under the proposed regulation, all regulated parties will be able to easily assess whether a prescription drug is preferred, and in the event the drug is non-preferred or unlisted, medical providers will understand the process for requesting to prescribe or dispense such a drug. Ultimately, the Board expects that the proposed regulation will result in fewer fee disputes and claimants receiving more effective and timely prescription drug treatment.

5. Rural area participation:

The Board is statutorily required under Workers' Compensation Law section 13-p to adopt a prescription drug formulary by December 31, 2017. Given the deadline, the Board has not yet had an opportunity to consult with rural areas about the adoption of this regulation. However, the Board will duly assess all comments received by representatives of rural areas during the public comment period.

Job Impact Statement

1. Nature of Impact

The drug formulary proposed in these rules is not expected to have any impact on jobs in New York State. These guidelines simply create a list of high-quality, cost effective drugs that are pre-authorized for treatment of workers' compensation claimants.

2. Categories and Numbers Affected

The drug formulary is not expected to have any adverse impact on jobs.

3. Regions of Adverse Impact

The drug formulary does not affect any region specifically.

4. Minimizing Adverse Impact

The proposed rule provides drug formulary for use in workers' compensation cases. There is not expected to be any impact on jobs with use of the drug formulary.

HEARINGS SCHEDULED FOR PROPOSED RULE MAKINGS

Agency I.D. No.	Subject Matter	Location—Date—Time
Public Service Commission		
PSC-41-17-00006-P	Major electric rate filing	Department of Public Service, Agency Bldg. 3, 19th Fl. Boardroom, Albany, NY—January 9, 2018, 10:00 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 17-E-0459.
PSC-41-17-00007-P	Major gas rate filing	Department of Public Service, Agency Bldg. 3, 19th Fl. Boardroom, Albany, NY—January 9, 2018, 10:00 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 17-G-0460.
PSC-45-17-00008-P	Major water rate filing	Department of Public Service, Agency Bldg. 3, 3rd Fl. Hearing Rm., Albany, NY—January 29, 2018 and continuing daily as needed, 10:30 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 17-W-0528.
PSC-50-17-00021-P	Disposition of tax refunds and other related matters	Department of Public Service, Three Empire State Plaza, 3rd Fl. Hearing Rm., Albany, NY—February 7, 2018, 10:30 a.m. (Evidentiary Hearing)* *On occasion, there are requests to reschedule or postpone evidentiary hearing dates. If such a request is granted, notification of any subsequent scheduling changes will be available at the DPS website (www.dps.ny.gov) under Case 17-M-0592.

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
AGING, OFFICE FOR THE			
AGE-42-17-00001-P	10/18/18	Administration of the Long Term Care Ombudsman Program	To bring NYSOFA's rules and regulations governing LTCOP into conformance with the Federal Statute and regulations.
ALCOHOLISM AND SUBSTANCE ABUSE SERVICES, OFFICE OF			
ASA-41-17-00001-P	10/11/18	Establishment, Incorporation and Certification of Providers of Substance Use Disorder Services	Clarifies the obligation to recognize alcohol/ substance abuse programs operated by Indian Health Services facilities
ASA-44-17-00001-P	11/01/18	Repeal Part 14 NYCRR Part 830 (Acupuncture) and add new Part 830 (Designated Services; acupuncture and telepractice)	Repeal obsolete regulations and incorporate provisions into a new Part with additional provisions
ASA-44-17-00002-P	11/01/18	Children's behavioral health services	Defines and implements children's behavioral health services pursuant to the EPSDT program in New York
CHILDREN AND FAMILY SERVICES, OFFICE OF			
CFS-51-17-00017-EP	12/20/18	Specialized secure detention facilities	To establish specialized secure detention facilities
CIVIL SERVICE, DEPARTMENT OF			
CVS-01-17-00007-P	01/04/18	Jurisdictional Classification	To delete a position from and classify positions in the non-competitive class
CVS-01-17-00009-P	01/04/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-01-17-00017-P	01/04/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-07-17-00003-P	02/15/18	Jurisdictional Classification	To classify a position in the exempt class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-18-17-00002-P	05/03/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-18-17-00008-P	05/03/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-18-17-00012-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-18-17-00013-P	05/03/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-18-17-00014-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-18-17-00016-P	05/03/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-18-17-00017-P	05/03/18	Jurisdictional Classification	To classify positions in the exempt class and delete positions from the non-competitive class
CVS-30-17-00006-P	07/26/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-30-17-00007-P	07/26/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-30-17-00008-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00009-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00010-P	07/26/18	Jurisdictional Classification	To delete a position from and classify a position in the exempt class
CVS-30-17-00011-P	07/26/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-30-17-00012-P	07/26/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-30-17-00013-P	07/26/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-30-17-00014-P	07/26/18	Jurisdictional Classification	To classify a position in the non-competitive class.
CVS-30-17-00015-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00016-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00017-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00018-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00019-P	07/26/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-30-17-00020-P	07/26/18	Jurisdictional Classification	To delete positions from and classify positions in the exempt class and to delete positions from the non-competitive class.
CVS-30-17-00021-P	07/26/18	Jurisdictional Classification	To add a subheading and to classify positions in the non-competitive class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-30-17-00022-P	07/26/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-30-17-00023-P	07/26/18	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-33-17-00002-P	08/16/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-17-00003-P	08/16/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-33-17-00004-P	08/16/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-33-17-00005-P	08/16/18	Jurisdictional Classification	To delete a position from and classify a position in the non-competitive class
CVS-33-17-00006-P	08/16/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-17-00007-P	08/16/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-33-17-00008-P	08/16/18	Jurisdictional Classification	To classify positions in the exempt and non-competitive classes
CVS-47-17-00001-P	11/22/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-47-17-00002-P	11/22/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-47-17-00003-P	11/22/18	Jurisdictional Classification	To delete positions from and classify a position in the exempt class
CVS-47-17-00004-P	11/22/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-47-17-00005-P	11/22/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-47-17-00006-P	11/22/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-47-17-00007-P	11/22/18	Jurisdictional Classification	To classify positions in the exempt class.
CVS-47-17-00008-P	11/22/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-49-17-00011-EP	12/06/18	New York State Income Protection Plan (IPP) and Paid Family Leave (PFL) benefits for certain New York State employees	To establish that IPP and PFL benefits may not be paid to a subject employee for the same day
CVS-50-17-00001-P	12/13/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-50-17-00002-P	12/13/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-50-17-00003-P	12/13/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-50-17-00004-P	12/13/18	Jurisdictional Classification	To classify positions in the exempt class

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
CIVIL SERVICE, DEPARTMENT OF			
CVS-50-17-00005-P	12/13/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-50-17-00006-P	12/13/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-50-17-00007-P	12/13/18	Jurisdictional Classification	To classify a position in the exempt class
CVS-50-17-00008-P	12/13/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-50-17-00009-P	12/13/18	Jurisdictional Classification	To classify positions in the non-competitive class
CVS-50-17-00010-P	12/13/18	Jurisdictional Classification	To delete positions from and classify a position in the non-competitive class
CVS-50-17-00011-P	12/13/18	Jurisdictional Classification	To classify positions in the exempt class
CVS-50-17-00012-P	12/13/18	Jurisdictional Classification	To delete positions from and classify positions in the non-competitive class
CVS-50-17-00013-P	12/13/18	Jurisdictional Classification	To classify a position in the non-competitive class
CVS-50-17-00014-P	12/13/18	Jurisdictional Classification	To classify positions in the non-competitive class
CORRECTION, STATE COMMISSION OF			
CMC-44-17-00003-P	11/01/18	Inmate confinement and deprivation	Require local correctional facilities to record, review and report inmate cell confinement and essential service deprivation
CMC-44-17-00012-P	11/01/18	Inmate confinement and deprivation	Require local correctional facilities to record, review and report inmate cell confinement and essential service deprivation
CORRECTIONS AND COMMUNITY SUPERVISION, DEPARTMENT OF			
CCS-39-17-00001-P	09/27/18	Temporary Release Program Rules and Regulations	To amend current regulations governing the temporary release program consistent with governing statutes and agency directives.
ECONOMIC DEVELOPMENT, DEPARTMENT OF			
EDV-46-17-00001-EP	11/15/18	Life Sciences Research and Development Tax Credit	Allow Dept to implement the Life Sciences Research and Development Tax Credit program
EDUCATION DEPARTMENT			
EDU-27-17-00006-P	07/05/18	Interstate Compact for Educational Opportunity for Military Children and Physical Education Requirements for a Diploma.	To implement Ch. 328 of the Laws of 2014 and to provide flexibility in the physical education diploma requirements.
EDU-37-17-00003-RP	09/13/18	Requirements for the Educational Leadership Service	Modify the educational requirements for out-of-state candidates seeking licensure in New York

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-44-17-00004-P	11/01/18	Limited license in speech-language pathology	To subject applicants who have been issued a limited license, to the same experience requirements as applicants for a license
EDU-44-17-00005-P	11/01/18	Definition of occupational therapy practice	To conform the definition of occupational therapy practice to changes to Education Law 7901 by chapter 460 of the Laws of 2011
EDU-44-17-00006-EP	11/01/18	Mandatory Quality Review Program (MQRP) in public accountancy	Eliminates the requirement that a sponsoring organization which oversees the MQRP be located in New York State.
EDU-44-17-00007-EP	11/01/18	Continuing teacher and leader education Requirements	To require continuing teacher and leader education for certain teachers and school leaders in non-public schools
EDU-44-17-00008-P	11/01/18	Transitional H Certification Pathway	Allows NYS licensed CPAs with 3 years of exp. auditing NYS school dist., BOCES, municipalities to seek a business leader cert.
EDU-44-17-00009-P	11/01/18	New Pathway to a NYS High School Equivalency Diploma	Allows students to use passing scores on certain Regents examinations in lieu of certain sub-tasks on TASC
EDU-44-17-00010-EP	11/01/18	Temporary teaching certificates	Temporary certificates for teachers displaced from Puerto Rico and/or US territory as a result of Hurricane Maria
EDU-48-17-00005-P	11/29/18	Licensing of Licensed Pathologists' Assistants	Establishes requirements for licensure including professional education, examination, fee and limited permit requirements
EDU-48-17-00006-EP	11/29/18	Mandatory Quality Review Program/ Mandatory Peer Review Program	Eliminates the exemption from the program for sole proprietorship and firms with two or fewer accounting professionals
EDU-48-17-00007-P	11/29/18	Establish Procedures and Fees for Institutional Authorization of Offer Degree Programs	To establish fees and procedures for the review of applications for new institutional authorization to offer degree programs
EDU-48-17-00008-P	11/29/18	Higher Education Opportunity Program (HEOP)	To clarify & modernize existing language & provide consistency across sectors & be useful when establishing frame work for RFP
EDU-48-17-00009-P	11/29/18	Pre-professional certificates and Transitional G certificates	Expands the Trans G certificate to fields other than STEM and allows pre-prof cert exp to count toward student teaching exp
EDU-52-17-00007-EP	12/27/18	Biological products in the profession of pharmacy	Establishes requirements for substitution of interchangeable biological products for prescribed products
EDU-52-17-00008-P	12/27/18	Requires teachers to complete a mentoring program during their first year of teaching	Outlines the requirements for candidates seeking a professional certificate in the classroom teaching service
EDU-52-17-00009-P	12/27/18	Creation of new certification area and tenure area in the classroom teaching service for computer science	To establish the requirements for a computer science certification area (all grades) and a new tenure area
EDU-52-17-00010-P	12/27/18	Alternative Teacher Certification Program Models	To have greater flexibility in the design of alternative teacher certification program models

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
EDUCATION DEPARTMENT			
EDU-52-17-00011-P	12/27/18	Grade-level extensions for certain candidates who hold a Students with Disabilities Generalist certificate	To expand the pool of qualified teachers of students with disabilities by establishing grade level extensions for certificates
EDU-52-17-00012-EP	12/27/18	Superintendent determination for certain students with disabilities to graduate with a local diploma	To expand the safety net options for students with disabilities to graduate with local diplomas when certain conditions are met
ELECTIONS, STATE BOARD OF			
SBE-21-17-00005-RP	05/24/18	Designation of treasurer removal committee and related procedures	To implement the process of treasurer removal provided for by Part C of Chapter 286 of the Laws of 2016
SBE-28-17-00004-P	07/12/18	Use of independent automated audit tools	To implement the amendment to Election Law 9-211 permitting use of independent automated audit tools
SBE-47-17-00009-P	11/22/18	Voting by certain special federal voters.	Provide procedures for certain special federal voters.
ENVIRONMENTAL CONSERVATION, DEPARTMENT OF			
ENV-06-17-00001-P	03/31/18	Amendments to 6 NYCRR Part 617 (which implement the State Environmental Quality Review Act [Article 8 of the ECL])	The purpose of the rule making is to streamline the SEQR process without sacrificing meaningful environmental review
ENV-14-17-00001-P	05/25/18	Prevention and Control of Environmental Pollution by Radioactive Materials	To amend regulations pertaining to disposal and release of radioactive materials to the environment
ENV-16-17-00003-P	04/19/18	Permits for taking surfclams	To reduce paperwork and streamline the surfclam permitting process
ENV-19-17-00003-P	06/30/18	Part 232 regulates entities that operate dry cleaning machines.	Repeal and replace Part 232 to reduce alternative solvent and perc emissions.
ENV-22-17-00001-EP	05/31/18	Regulations governing the recreational harvest of summer flounder	To revise regulations concerning the recreational harvest of summer flounder in New York State
ENV-28-17-00003-P	07/12/18	Management of crustaceans, horseshoe crabs (HSC) and whelk; protection of terrapin	Modify rules on terrapin excluder device, HSC harvest limit and whelk reporting
ENV-49-17-00005-P	12/06/18	Bay Scallop Size Limit	Clarify current size limit provisions for the taking of bay scallops
ENV-49-17-00006-P	12/06/18	Climate Smart Communities Projects	Adoption of regulations required by statute to implement climate smart communities projects
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-11-17-00003-P	03/15/18	Continuing Care Retirement Communities	Amend rules related to permitted investments, financial transactions, reporting requirements and add new optional contract type

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
FINANCIAL SERVICES, DEPARTMENT OF			
DFS-18-17-00020-P	05/03/18	Establishment And Operation Of Market Stabilization Mechanisms For Certain Health Insurance Markets	To allow for the implementation of a market stabilization pool for the small group health insurance market
DFS-25-17-00002-EP	06/21/18	Minimum standards for form, content and sale of health insurance, including standards of full and fair disclosure	To ensure coverage for essential health benefits in all individual, small group, and student accident and health policies
DFS-39-17-00002-P	09/27/18	Minimum Standards for Form, Content and Sale of Health Insurance, Including Standards of Full and Fair Disclosure	Provide a formulary exception process for medication for the detoxification or maintenance treatment of a substance use disorder
DFS-40-17-00003-P	10/04/18	Registration Requirements and Prohibited Practices for Credit Reporting Agencies	To address deficient practices of consumer credit reporting agencies and protect user of and the market for financial services
DFS-52-17-00001-P	12/27/18	Special Risk Insurance	To update Section 16.12(e) to incorporate changes and additions to class 2 risks introduced by 5/10/17 Public Notice
DFS-52-17-00020-P	12/27/18	Suitability in Life Insurance and Annuity Transactions	Establish suitability standards for life insurance and clarify that a transaction must be in the best interest of the consumer.
GAMING COMMISSION, NEW YORK STATE			
*SGC-45-16-00004-RP	02/07/18	Anti-stacking of NSAIDs and diclofenac made a 48 hour NSAID	To enable the Commission to preserve the integrity of pari-mutuel racing while generating reasonable revenue for the support of government
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-41-16-00002-ERP	01/10/18	Residential Health Care Facility Quality Pool	To reward NYS facilities with the highest quality outcomes as determined by methodology developed by regulation
HLT-07-17-00009-P	02/15/18	Public Water Systems	To incorporate federal rules and revisions to Public Health Law
HLT-20-17-00013-P	05/17/18	Lead Testing in School Drinking Water	Requires lead testing and remediation of potable drinking water in schools
HLT-28-17-00001-P	07/12/18	Children's Behavioral Health and Health Services	To authorize Medicaid coverage of new behavioral health and health services for children under 21 years of age
HLT-28-17-00009-P	08/17/18	Early Intervention Program	To conform existing program regulations to federal regulations and state statute
HLT-38-17-00001-P	09/20/18	Trauma Centers	Requires hospitals to be verified by the American College of Surgeons Committee to be designated trauma centers by the Dept.
HLT-43-17-00001-EP	10/25/18	Medical Use of Marihuana	To allow certain defined facilities to become a designated caregiver for a certified patient in NYS's Medical Marihuana Program

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
HEALTH, DEPARTMENT OF			
HLT-49-17-00002-P	12/06/18	Food and Beverages in Funeral Establishments	To lift the ban of the consumption of food and beverages in funeral establishments
INFORMATION TECHNOLOGY SERVICES, OFFICE OF			
ITS-52-17-00002-P	12/27/18	Implementing the Electronic Signatures and Records Act	Correcting outdated references to the name of ITS and the physical address of the Property Records Industry Association (PRIA)
ITS-52-17-00003-P	12/27/18	Concerning State Agency Internet posting of application forms	Correcting outdated references to the former name of ITS, and the Governor's Office of Regulatory Reform (GORR)
ITS-52-17-00004-P	12/27/18	Providing public access to the records of the Office of Information Technology Services	Correcting outdated references to the name of ITS, a job title in the ITS Division of Legal Affairs; and gender references
ITS-52-17-00005-P	12/27/18	Providing access to personal information	To correct outdated references to the name of ITS and a job title in the ITS Division of Legal Affairs
JOINT COMMISSION ON PUBLIC ETHICS, NEW YORK STATE			
JPE-34-17-00003-P	08/23/18	Comprehensive lobbying regulations	To set forth comprehensive lobbying regulations that implement the provisions of the Lobbying Act
JPE-34-17-00004-P	08/23/18	Source of funding reporting.	To make consistent with the new comprehensive lobbying regulations at Part 943 and clarify exemption procedures.
JPE-42-17-00003-P	10/18/18	Financial disclosure statements	To add a right of appeal to provisions governing exemptions related to filing a financial disclosure statement
LABOR, DEPARTMENT OF			
LAB-47-17-00011-P	11/22/18	Employee Scheduling (Call-In Pay)	To strengthen existing call-in pay protections involving employee scheduling
LIQUOR AUTHORITY, STATE			
LQR-35-17-00002-P	10/25/18	Updated price posting rules, and recordkeeping requirements, and repeal of license durations and whiskey dividend rules	To update price posting rules, and recordkeeping requirements, and repeal of license duration rules and whiskey dividend rules
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-41-17-00010-P	exempt	The undergrounding provisions of the Authority's Tariff for Electric Service	To offer local communities a mechanism for financing the additional cost of undergrounding projects
LPA-41-17-00011-P	exempt	The remote meter reading provisions of the Authority's Tariff for Electric Service	To eliminate charges for remote meter reading
LPA-41-17-00012-P	exempt	The net energy metering provisions of the Authority's Tariff for Electric Service	To update the Authority's net energy metering provisions consistent with the rest of New York State
MENTAL HEALTH, OFFICE OF			
OMH-31-17-00001-P	08/02/18	Early and Periodic Screening, Diagnostic and Treatment Services for Children	To promote the expansion of behavioral health services for children and youth under 21 years of age
OMH-51-17-00001-P	12/20/18	Operation of Licensed Housing Programs for Children and Adolescents with Serious Emotional Disturbances	To repeal Section 594.8 of Title 14 NYCRR and replace it with a clarified revised version.
MOTOR VEHICLES, DEPARTMENT OF			
MTV-26-17-00003-EP	06/28/18	Insurance requirements for TNC vehicles	Technical amendment regarding insurance requirements for TNC vehicles
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
NIAGARA FRONTIER TRANSPORTATION AUTHORITY			
NFT-23-17-00016-P	06/07/18	Procurement Guidelines of the Niagara Frontier Transportation Authority and Niagara Frontier Transit Metro System, Inc.	To amend Procurement Guidelines to reflect changes in law, clarifying provisions and change signing authority level
PEOPLE WITH DEVELOPMENTAL DISABILITIES, OFFICE FOR			
PDD-48-17-00010-P	11/29/18	Clarification of Assessment of Functional and Health-Related Needs	To clarify requirements for an Assessment of Functional and Health-Related Needs in Person Centered Planning regulations
PDD-51-17-00005-EP	12/20/18	SNAP Benefit Offset	To update the SNAP benefit offset and the amount that each individual must pay to providers.
PDD-51-17-00006-EP	12/20/18	Site Based and Community Based Prevocational Services	To clarify site-based and community-based services and clarify reimbursement requirements

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
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
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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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 recievable by Rochester Gas and Electric Corporation	To include in its tariff provisions for the purchase of ESCO accounts recievable
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-23-08-00009-P	exempt	The transfer of certain real property with an original cost under $100,000 in the Town of Throop	To consider the filing for the transfer of certain real property in the Town of Throop
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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 Reconcilliation 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-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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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 commerical accounts	To permit electric utilities in New York State to use the Elster REX2

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-25-10-00015-P	exempt	To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2009	Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2009
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-31-10-00007-P	exempt	Waiver of the Attachment 23 requirement in 2001 Rate Order that NMPC Board of Directors consist of "outside directors"	To consider the waiver of the requirement that a majority of NMPC Board of directors consist of "outside directors"
*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
*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-12-11-00008-P	exempt	To allow NYWC to defer and amortize, for future rate recognition, pension settlement payout losses incurred in 2010	Consideration of NYWC's petition to defer and amortize, for future rate recognition, pension payout losses incurred in 2010
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-13-11-00007-P	exempt	Budget allocations and use of System Benefits Charge funds to pay State Cost Recovery Fee	To encourage cost effective gas and electric energy conservation in the State
*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-16-11-00011-P	exempt	The Energy Efficiency Portfolio Standard	To promote gas and electricity energy conservation programs in 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-23-11-00018-P	exempt	NYSERDA's energy efficiency program for low-income customers	To promote energy conservation in New York State
*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
*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 Commssion 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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-51-11-00010-P	exempt	The Total Resource Cost (TRC) test, used to analyze measures in the Energy Efficiency Portfolio Standard program	Petitioners request that the TRC test and/or its application to measures should be revised
*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
*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-19-12-00019-P	exempt	EEPS programs administered by New York State Electric & Gas Corporation and Rochester Gas and Electric Corporation	To modify the C&I sector by combining multiple approved C&I programs into a single C&I program for each PA
*PSC-19-12-00022-P	exempt	Approval of a combined heat and power performance program funding plan administered by NYSERDA	Modify NYSERDA's EEPS programs budget and targets to fund the CHP program
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-23-12-00005-P	exempt	EEPS multifamily programs administered by Consolidated Edison Company of New York, Inc.	To redesign the multifamily electric and gas programs and modify the budgets and targets
*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
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-17-13-00008-P	exempt	Provision of historical utility pricing information for comparison purposes for residential ESCO customers	Provision of historical utility pricing information for comparison purposes for residential ESCO customers
*PSC-17-13-00010-P	exempt	Provision of historical pricing information for comparison purposes for residential ESCO customers	Provision of historical pricing information for comparison purposes for residential ESCO customers
*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-32-13-00010-P	..... exempt	Permission to write off and eliminate record keeping for regulatory reserves for Pensions and Other Post Retirement Benefits	To allow write off and eliminate record keeping of Pension and Other Post Retirement Benefits Reserves
*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-37-13-00007-P	..... exempt	Dissolution of Garrow Water Works Company, Inc..	To allow for the dissolution of Garrow Water Works Company, Inc.
*PSC-39-13-00010-P	..... exempt	NY-Sun initiative within the Customer-Sited Tier of the RPS Program.	To increase the statewide adoption of customer sited photovoltaic solar generation through the NY-Sun Initiative.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-04-14-00005-P	..... exempt	National Fuel Gas Corporation's Conservation Incentive Programs.	To modify National Fuel Gas Corporation's Non-Residential Conservation Incentive Program.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*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-16-14-00016-P	exempt	Waiver of Commission regulations governing termination of service.	Consider United Water New York Inc.'s proposal to expand termination of service provisions.
*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-19-14-00018-P	exempt	Uniform System of Accounts, deferral of an expense item	Authorization of a deferral for an expense item beyond the end of the year in which it was incurred
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-26-14-00010-P	exempt	Petitioner requests an order authorizing its participation in the next Main Tier solicitation offered under the RPS Program.	To enable continued operation of a 21 MW biomass fueled electric generating facility in Chateaugay, New York.
*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-26-14-00017-P	exempt	Existing ratemaking and rate design practices will be revised with a focus on outcomes and incentives.	To use the Commission's ratemaking authority to foster a DER-intensive system.
*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.
*PSC-30-14-00025-P	exempt	Allocation of uncommitted Technology and Market Development Funds to the Combined Heat & Power Performance Program.	To consider allocation of uncommitted Technology & Market Development Funds to the Combined Heat & Power Performance Program.
*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-34-14-00009-P	exempt	Whether to approve the Quadlogic S10N residential submeter.	Approval of the Quadlogic S10N Smart Meter for use in residential electric submetering is required by 16 NYCRR Parts 93 and 96.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-36-14-00010-P	exempt	The procurement of Main Tier renewable resources will become the responsibility of the State's electric utilities.	To ensure the development of large-scale remnewables in New York State to promote fuel diversity and reduce carbon emissions.
*PSC-36-14-00011-P	exempt	To defer pension settlement losses associated with retirements in the year ended March 31, 2014.	To resolve the ratemaking of the pension settlement loss.
*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-38-14-00018-P	exempt	New electric utility demand response tariffs may be adopted.	To develop mature DER markets by enabling the development and use of DR as an economic system resource.
*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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-10-15-00009-P	exempt	Contingency Tariffs regarding demand response issues	To consider Contingency Tariffs regarding demand response issues
*PSC-12-15-00007-P	exempt	The Annual Reconciliation of Gas Expenses and Gas Cost Recoveries codified at Title 16 NYCRR Section 720.6.5	Examine the Annual Reconciliation of Gas Expenses and Gas Cost Recoveries mechanism
*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-27-15-00014-P	exempt	Authorization for NYAW to accrue interest on internal reserve debit balances	To allow NYAW to accrue interest on internal reserve debit balances
*PSC-29-15-00018-P	exempt	Approval of ratemaking related to amendment a certificate of public convenience and necessity	To approve or reject the ratemaking aspects of SLG's petition to amend its certificate of public convenience and necessity
*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-32-15-00012-P	exempt	Proposed standards for Commission oversight of Distributed Energy Resource suppliers.	To consider proposed standards for Commission oversight of Distributed Energy Resource suppliers.
*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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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
*PSC-41-15-00005-P	exempt	Intergrow disputes National Grid's revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Intergrow for the new interconnection is appropriate
*PSC-41-15-00009-P	exempt	Main Tier of the Renewable Portfolio Standard program	To consider allocating funding from the Main Tier to an eligible hydroelectric facility
*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-44-15-00030-P	exempt	System Improvement Plan mechanism	To consider Bath's petition to implement a SIP mechanism
*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-01-16-00002-P	exempt	Revenue assurance calculations	To consider whether the revenue assurance National Grid is requiring of Tiashoke for the upgraded service is appropriate
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-04-16-00011-P	exempt	Investigation that certain practices of Central Hudson Gas and Electric Corporation resulted in violations of HEFPA.	To consider the Petition of Nobody Leaves Mid-Hudson to investigate Central Hudson for claims of HEFPA violations.
*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-06-16-00010-P	exempt	Lakewood disputes National Grid's revenue assurance calculations, specifically the duration used.	To consider whether the revenue assurance National Grid is requiring of Lakewood for the new interconnection is appropriate.
*PSC-06-16-00012-P	exempt	Inclusion of a Farm and Food Community program in the community distributed generation program.	To consider the inclusion of a Farm and Food Community program in the community distributed generation program.
*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-07-16-00016-P	exempt	Use of the Electro Industries Shark 200 electric submeter in residential applications	To consider the use of the Electro Industries Shark 200 submeter
*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-15-16-00012-P	exempt	Adequate service of Verizon New York, Inc.	To consider the adequacy of Verizon New York Inc.'s service quality
*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.
*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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*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-22-16-00011-P	exempt	Petition for rehearing of the Order Modifying Standardized Interconnection Requirements and alternative enforcement mechanisms.	To ensure compliance with the Standardized Interconnection Requirements.
*PSC-22-16-00013-P	exempt	Disposition of tax refunds and other related matters.	To consider the disposition of tax refunds and other related matters.
*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-29-16-00025-P	exempt	Proposed modifications to gas safety violations metric adopted in Case 12-G-0202.	To consider NMPC's petition to modify gas safety violations metric.
*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-34-16-00005-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00006-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00008-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-34-16-00009-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00010-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00011-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00012-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00013-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*PSC-34-16-00015-P	exempt	Community Choice Aggregation (CCA) Data Services.	To consider the implementation of fees for CCA Data Services requested by CCA Administrators.
*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
*PSC-36-16-00003-P	exempt	Petition regarding the Commission's July 14, 2016 Order Denying Petition.	To consider the terms and conditions of utility service received by Fastrac Markets, LLC.
*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-40-16-00013-P	exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*PSC-40-16-00014-P	exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*PSC-40-16-00017-P	exempt	Request for waiver of 16 NYCRR sections 96.5(a) and 96.6(b)	To consider the request for waiver of 16 NYCRR sections 96.5(a) and 96.6(b)
*PSC-40-16-00018-P	exempt	Petition for commercial electric meter.	To consider the petition to use the Itron OpenWay Riva commerical meter in electric metering applications.
*PSC-40-16-00019-P	exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*PSC-40-16-00021-P	exempt	Surcharge to recover costs of Dynamic Load Management Programs.	To consider a surcharge to recover costs of the Dynamic Load Management Programs.
*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-40-16-00026-P	exempt	Compliance filing establishing an interruptible gas service sales rate.	To consider RG&E's proposed revisions to establish an interruptible gas service sales rate.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
*PSC-42-16-00014-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-44-16-00015-P	exempt	Surcharge to recover costs of Dynamic Load Management Programs	To consider a surcharge to recover costs of the Dynamic Load Management Programs
*PSC-45-16-00008-P	exempt	Petition to use a commercial electric meter.	To consider the petition to use the Landis+Gyr S4X Commercial Meter with Gridstream Series 5 RF Mesh IP AMI.
*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-49-16-00005-P	exempt	Waiver of certain rules and requirements pertaining to cable television franchise.	To determine whether to waive any regulations.
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-03-17-00003-P	exempt	Good Energy, L.P.'s Community Choice Aggregation Implementation Plan and Data Protection Plan.	To ensure appropriate consumer protections.
PSC-07-17-00019-P	exempt	Deferral and recovery of incremental costs	To consider deferring costs related to water main leak repairs for subsequent recovery
PSC-08-17-00007-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 327 Central Park West, New York, New York.
PSC-12-17-00012-P	exempt	Amendments to the UBP.	To consider amendments to the UBP.
PSC-12-17-00017-P	exempt	Amendments to the UBP.	To consider the petition for amendments to the UBP.
PSC-14-17-00016-P	exempt	Waiver to the prohibition on service to low-income customers by ESCOs..	To consider the petition for a waiver to the prohibition on service to low-income customers by ESCOs.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
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-18-17-00025-P	exempt	A petition for rehearing or reconsideration of the Order on Remand Denying Refunds.	To determine whether IPANY and individual pay telephone providers are entitled to refunds from Verizon New York Inc.
PSC-18-17-00026-P	exempt	Revisions to the Dynamic Load Management surcharge.	To consider revisions to the Dynamic Load Management surcharge.
PSC-18-17-00027-P	exempt	A petition for rehearing or clarification of the March 9, 2017 Order.	To determine appropriate treatment of submetered energy users in community distributed generation programs.
PSC-18-17-00028-P	exempt	A petition for rehearing, reconsideration, or clarification of the March 9, 2017 Order.	To determine appropriate treatment of environmental attributes related to distributed energy resources.
PSC-18-17-00033-P	exempt	Use of the ROMET AdEM-T volumetric corrector.	To consider the use of the ROMET AdEM-T volumetric corrector.
PSC-18-17-00034-P	exempt	Use of the ROMET AdEM-PTZ volumetric corrector.	To consider the use of the ROMET AdEM-PTZ volumetric corrector.
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 payour 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-21-17-00012-P	exempt	Compensation for distributed generation systems located at farms.	To consider appropriate compensation and policies for distributed generation systems located at farms.
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.
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-22-17-00006-P	exempt	Revisions to the delivery discount and monthly customer charge for SC No. 3 and the commodity price for SC 15	To consider revisions to the delivery discount and monthly customer charge for SC No. 3 and the commodity price for SC 15
PSC-22-17-00007-P	exempt	Certain Commission requirements related to blockable central office codes	To consider a change to certain Commission requirements related to blockable central office codes

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-22-17-00008-P	exempt	Petition to submeter electricity and waiver request	To consider the petition to submeter electricity at 412-14 East 10th Street, New York, New York and waiver of 16 NYCRR § 96.2(b)
PSC-23-17-00021-P	exempt	Petition to transfer cable systems.	To consider Nicholville et. al.'s request to transfer cable systems in an internal restructuring.
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-25-17-00005-P	exempt	Minor rate filing	To consider an increase in annual revenues by $154,329 or 116%
PSC-25-17-00006-P	exempt	Notice of Intent to submeter electricity	To consider the Notice of Intent of The Charles Condominiums, LLC to submeter electricity at 1355 First Avenue, New York, NY
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-27-17-00014-P	exempt	Major electric rate filing.	To consider an increase in NMPC's electric delivery revenues by approximately $326 million (or 13.0% in total revenues).
PSC-27-17-00017-P	exempt	Major gas rate filing.	To consider an increase in NMPC's gas delivery revenues by approximately $81 million (14.0% in total revenues).
PSC-28-17-00008-P	exempt	FASB update on pension and OPEB net periodic costs	To consider whether to adopt the FASB update
PSC-29-17-00006-P	exempt	Petition to submeter gas.	To consider the petition of LaGuardia Gateway Partners, to submeter gas at LaGuardia Airport Central Terminal B, Flushing, NY.
PSC-30-17-00031-P	exempt	Proposed tariff filing to implement electric rate options on a pilot basis for the Energy Smart Community Project.	To consider tariff revisions implementing electric rate options on a pilot basis for the Energy Smart Community Project.
PSC-31-17-00007-P	exempt	Notice of intent to submeter electricity	To consider the notice of intent of 685 First Realty Compamy, LLC to submeter electricity at 685 1st Avenue, New York, 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-31-17-00011-P	exempt	Notice of intent to submeter electricity and waiver request	To consider the notice of intent to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3)
PSC-31-17-00012-P	exempt	Minor rate filing.	To consider an increase in annual revenues of about $304,629 or 14%.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-32-17-00006-P	exempt	Petition to amend bill estimation procedures for AMI.	To consider the petition of Con Edison to amend its current bill estimation procedures for AMI.
PSC-32-17-00007-P	exempt	Petition to amend bill estimation procedures for AMI.	To consider the petition of Orange and Rockland to amend its current bill estimation procedures for AMI.
PSC-32-17-00008-P	exempt	Consideration of the National Grid companies' Implementation Plan and audit recommendations.	To consider the National Grid companies' Implementation Plan.
PSC-32-17-00010-P	exempt	Consideration of NFGD's Implementation Plan and audit recommendations.	To consider NFGD's Implementation Plan.
PSC-32-17-00011-P	exempt	Minor rate filing.	To consider an increase in annual revenues of about $625,974 or 14.6%.
PSC-32-17-00012-P	exempt	Consideration of O&R's Implementation Plan and audit recommendations.	To consider O&R's Implementation Plan.
PSC-32-17-00013-P	exempt	Consideration of NYSEG and RG&E's Implementation Plan and audit recommendations.	To consider the NYSEG and RG&E Implementation Plan.
PSC-32-17-00014-P	exempt	Consideration of Central Hudson's Implementation Plan and audit recommendations.	To consider Central Hudson's Implementation Plan.
PSC-32-17-00015-P	exempt	Consideration of Con Edison's Implementation Plan and audit recommendations.	To consider Con Edison's Implementation Plan.
PSC-32-17-00016-P	exempt	Initial Tariff Schedule and escrow account which includes rates, charges, rules and regulations for water service.	To consider the proposed Initial Tariff Schedule, initial rate, and escrow account.
PSC-33-17-00012-P	exempt	Notice of intent to submeter electricity.	To consider the notice of intent of BOP Greenpoint G LLC to submeter electricity at 37 Blue Slip, Brooklyn, New York.
PSC-33-17-00013-P	exempt	The obligation of electric utilities to pay for the extension of electric service to residential developments.	To consider if National Grid should change its practices and compensate the petitioners for past charges.
PSC-33-17-00015-P	exempt	Electric energy storage systems to import from and export to Con Edison's distribution system.	To consider revisions to P.S.C. No. 10 - Electricity related to electric energy storage systems.
PSC-33-17-00016-P	exempt	Gas service to power generators.	To consider proposals in the report regarding service to power generators and related proposed tariff revisions.
PSC-33-17-00017-P	exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Bridge Land Vestry LLC to submeter electricity at 70 Vestry Street, New York, New York.
PSC-33-17-00020-P	exempt	Gas service to power generators.	To consider proposals in the report regarding service to power generators and related proposed tariff revisions.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-33-17-00021-P	exempt	Notice of intent to submeter electricity.	To consider the notice of intent of 1 DSA Owner LLC to submeter electricity at 242 Broome Street, New York, New York.
PSC-34-17-00005-P	exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for the years 2017-2020
PSC-34-17-00006-P	exempt	Proposed gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's gas portfolio for the years 2017-2020
PSC-34-17-00007-P	exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Companies' electric and gas portfolios for 2019-2020
PSC-34-17-00008-P	exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for 2019-2020
PSC-34-17-00009-P	exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for the years 2018-2020
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-34-17-00012-P	exempt	Proposed electric and gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's electric and gas portfolios for the years 2017-2020
PSC-34-17-00013-P	exempt	Proposed gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's gas portfolio for the years 2017-2020
PSC-34-17-00014-P	exempt	Proposed gas energy efficiency budget and metrics plan	To establish an energy efficiency budget and metrics plan for the Company's gas portfolio for the years 2017-2020
PSC-34-17-00017-P	exempt	Use of the Honeywell Mercury EC350 volumetric corrector in gas metering applications	To consider the use of the Honeywell Mercury EC350 volumetric corrector in gas metering applications
PSC-34-17-00018-P	exempt	Use of the Arteche UCE-7, URJ-17, VCE-17 and CRB-17 transformers in electric metering applications	To consider the use of the Arteche UCE-7, URJ-17, VCE-17 and CRB-17 transformers in electric metering applications
PSC-34-17-00019-P	exempt	Development of an aggregation standard for release of whole-building energy data to building owners	Improved energy data access to support state energy efficiency and demand reduction goals
PSC-36-17-00008-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 233 Landing Road, Bronx, New York and waiver request.
PSC-36-17-00009-P	exempt	Clarification of the Commission's Order Extending the BQDM Program.	To consider Con Edison's petition for clarification of the Commission's Order Extending BQDM Program.
PSC-36-17-00010-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of The Heritage Dean Street, LLC, to submeter electricity at 470 Dean St, Brooklyn, New York.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-36-17-00011-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent to submeter electricity at 229 Cherry Street, New York, New York and waiver request.
PSC-36-17-00012-P	exempt	Petition to amend bill estimation procedures for AMI.	To consider the petition of Con Edison to amend its current bill estimation procedures for AMI.
PSC-37-17-00004-P	exempt	Community Distributed Generation compensation after Tranche 3.	To encourage the development of distributed energy resources while managing impacts on non-participants.
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-37-17-00007-P	exempt	Lifeline Service that offers a discounted rate to service to qualifying low income consumers.	To consider changes to the Commission's requirements related to eligibility for the supplemental New York Lifeline discount.
PSC-37-17-00008-P	exempt	Petition to move room air conditioning programs to Rider L, make changes to Rider L and continue the Connected Devices Pilot.	To consider Con Edison's proposals made by the petition and accompanying tariff filing.
PSC-37-17-00009-P	exempt	Fishers Island Water Works Corporation's rates for the provision of water.	To consider an increase in Fishers Island Water Works Corporation's annual water revenues by approximately $296,031 or 44.5%.
PSC-39-17-00007-P	exempt	Rider Q - Standby Rate Pilot.	To consider the implementation of Rider Q - Standby Rate Pilot.
PSC-39-17-00008-P	exempt	Petition to submeter electricity and waiver request.	To consider the petition to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3).
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-39-17-00010-P	exempt	Waiver of certain rules and requirements pertaining to cable television franchise.	To determine whether to waive any regulations.
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-40-17-00004-P	exempt	Notice of intent to submeter electricity and waiver request	To consider the notice of intent to submeter electricity and waiver of 16 NYCRR § 96.5(k)(3)
PSC-40-17-00005-P	exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP)	To consider whether to impose consequences on Flanders for its apparent non-compliance with Commission requirements
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

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-40-17-00007-P	exempt	Notice of intent to submeter electricity	To consider the notice of intent of CPS Fee Company LLC to submeter electricity
PSC-40-17-00008-P	exempt	Proposed transfer of interests in Danskammer, issuance of long-term debt by owner and continuing lightened regulation	To consider proposed transfer of interests in Danskammer, issuance of long-term debt and continuing lightened regulation
PSC-40-17-00009-P	exempt	Petition to issue and sell unsecured debt obligations	To consider Orange and Rockland's request to issue and sell unsecured debt obligations
PSC-40-17-00010-P	exempt	Eligibility for Value of Distributed Energy Resource tariffs	To encourage the development of distributed energy resources while managing impacts on non-participants
PSC-41-17-00003-P	exempt	Petition to submeter electricity.	To consider the petition of Hillside Association, Inc. to submeter electricity at 566 44th Street, Brooklyn, New York.
PSC-41-17-00005-P	exempt	Notice of intent to submeter electricity.	To consider the notice of intent of Sandy 350 LLC to submeter electricity at 350 Clarkson Avenue, Brooklyn, New York.
PSC-41-17-00006-P	exempt	Major electric rate filing.	To consider an increase in CHG&E's electric delivery revenues by approximately $43 million (or 7.9% in total revenues).
PSC-41-17-00007-P	exempt	Major gas rate filing.	To consider an increase in CHG&E's gas delivery revenues by approximately $18.1 million (or 12.3% in total revenues).
PSC-41-17-00008-P	exempt	Petition to submeter electricity.	To consider the petition of 1115 Fifth Avenue Corporation to submeter electricity at 1115 Fifth Avenue, New York, New York.
PSC-42-17-00004-P	exempt	NYSRC's revisions to its rules and measurements.	To consider revisions to various rules and measurements of the NYSRC.
PSC-42-17-00005-P	exempt	Complaint for review of rates charged for water service to commercial and residential customers of water works corporation.	To consider the complaint filed on January 3, 2017 by Bristol customers.
PSC-42-17-00006-P	exempt	Notice of Intent to submeter electricity.	To consider the Notice of Intent of 45 John NY LLC to submeter electricity at 45 John Street, New York, New York.
PSC-42-17-00007-P	exempt	Ampersand Kayuta Lake Hyrdo, LLC's 460 kW hydroelectric facility in Boonville, New York.	To promote and maintain renewable electric energy resources.
PSC-42-17-00008-P	exempt	Ampersand Chasm Falls Hydro, LLC's 1.6 MW hydroelectric facility in Chateaugay, New York	To promote and maintain renewable electric energy resources.
PSC-42-17-00009-P	exempt	To obtain a letter of credit and increase the currently capped debt.	To consider the Petitioner's request for a letter of credit and increase the currently capped debt.
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.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
PSC-43-17-00003-P	..... exempt	Notice of intent to submeter electricity and waiver request	To consider the notice of intent to submeter electricity and waiver request
PSC-43-17-00004-P	..... exempt	ReEnergy Lyonsdale, LLC's 22 MW biomass facility located in Lewis County, New York	To promote and maintain renewable electric energy resources
PSC-44-17-00011-P	..... exempt	Implementation of program rules for Renewable Energy Standard (RES) and Zero-Emission Credit (ZEC) requirement.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-45-17-00004-P	..... exempt	Interval data charges for ESCOs.	To consider the elimination of interval data charges for ESCOs.
PSC-45-17-00005-P	..... exempt	Existing baseline resources under Tier 2 of the Renewable Energy Standard Program.	To promote and maintain renewable and zero-emission electric energy resources.
PSC-45-17-00006-P	..... exempt	Arrow Park, Inc.'s rates for the provision of water.	To consider an increase in Arrow Park, Inc.'s annual water revenues by approximately $11,200 or 62.06%.
PSC-45-17-00007-P	..... exempt	Request for waiver of the individual metering requirements of 16 NYCRR Part 96.	To consider the request for waiver of the individual metering requirements of 16 NYCRR Part 96.
PSC-45-17-00008-P	..... exempt	Major water rate filing.	To consider an increase in SUEZ O-N's annual revenue requirement by approximately $600,000, or 33.4%.
PSC-46-17-00004-P	..... exempt	Drift Marketplace, Inc.'s petition for rehearing	To consider the petition for rehearing filed by Drift Marketplace, Inc.
PSC-46-17-00005-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-46-17-00006-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-46-17-00007-P	..... exempt	Petition to issue unsecured debt obligations	To consider the Company's request to issue unsecured debt obligations
PSC-46-17-00008-P	..... exempt	Consequences pursuant to the Commission's Uniform Business Practices (UBP)	To consider whether to impose consequences on MPower for its apparent non-compliance with Commission requirements
PSC-46-17-00009-P	..... exempt	Requirements pertaining to inspections and reporting on plastic fusions installed in gas company service territories	To clarify prior requirements and establish new requirements for plastic fusion qualifications and inspections
PSC-46-17-00010-P	..... exempt	Compliance with plastic fusion requirements	To consider requiring NFG to comply with current and new plastic fusion requirements and report compliance failures
PSC-46-17-00011-P	..... exempt	M&R Energy Resource Corp.'s petition for rehearing	To consider the petition for rehearing filed by M&R Energy Resource Corp.
PSC-46-17-00012-P	..... exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
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-46-17-00014-P	exempt	To consider further proposed amendments to the original criteria to grandfathering established in the Transition Plan	To modify grandfathering criteria
PSC-47-17-00010-P	exempt	Con Edison's petition for approval of the Smart Solutions for Natural Gas Customers Program.	To consider Con Edison's multi-solution strategy to decrease gas usage and procure alternative resources.
PSC-48-17-00011-P	exempt	Petition to submeter electricity and waiver request.	To consider the petition to submeter electricity and waiver request of 16 NYCRR § 96.5(k)(3).
PSC-48-17-00012-P	exempt	The extension of the compensation term for certain community distributed generation projects.	To determine the appropriate compensation term for certain community distributed generation projects.
PSC-48-17-00013-P	exempt	VDER Tranche allocations and policies.	To consider modifications to VDER Tranche allocations and policies.
PSC-48-17-00014-P	exempt	The SATEC Branch Feeder Monitor II electric submeter.	To consider the SATEC Branch Feeder Monitor II electric submeter for use in New York State.
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-48-17-00016-P	exempt	Petition for rehearing of the Commission order.	To consider New Rochelle Home Owners Association's petition for rehearing.
PSC-48-17-00017-P	exempt	To issue long-term indebtedness, preferred stock and hybrid securities and to enter into derivative instruments.	To consider New York State Electric & Gas Corporation's finance transactions.
PSC-48-17-00018-P	exempt	Transfer of certain street lighting facilities.	To consider the transfer of certain street lighting facilities from NYSEG to the Town of Bedford.
PSC-49-17-00008-P	exempt	Merger and associated cessation of operations	To consider Vernon and Oriskany Falls' petition seeking approval of a merger
PSC-49-17-00009-P	exempt	Part of the Tier 2 Maintenance Tier Program in the RES of the CES	To promote and maintain renewable electric energy resources
PSC-49-17-00010-P	exempt	Minor rate filing	To consider an increase in annual revenues of about $300,000 or 5.2%
PSC-50-17-00016-P	exempt	Joule Assets, Inc.'s Community Choice Aggregation Implementation Plan.	To ensure appropriate consumer protections.
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.
PSC-50-17-00019-P	exempt	Transfer of utility property.	To consider the transfer of utility property.
PSC-50-17-00020-P	exempt	Administrative costs and funding sources for the RES and ZEC programs.	To promote and maintain renewable and zero-emission electric energy resources.

Agency I.D. No.	Expires	Subject Matter	Purpose of Action
PUBLIC SERVICE COMMISSION			
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-50-17-00023-P	exempt	Notice of intent to submeter electricity.	To consider the notice of intent to submeter electricity and waiver request.
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-51-17-00008-P	exempt	Petition to submeter electricity.	To consider the petition of 305 East 24th Owners Corp. to submeter electricity.
PSC-51-17-00009-P	exempt	Consideration of Con Edison's proposed Implementation Plan.	To consider Con Edison's Implementation Plan and appropriate design of the utility-owned Shared Solar Pilot Program.
PSC-51-17-00010-P	exempt	Transfer certain street lighting facilities to the Town of Owego.	To consider the transfer of certain street lighting facilities from NYSEG to the Town of Owego.
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-51-17-00012-P	exempt	Rider T - Commercial Demand Response Program.	To consider revisions to Rider T - CDRP.
PSC-51-17-00013-P	exempt	Waiver of certain rules and requirements pertaining to cable television franchise.	To determine whether to waive any regulations.
PSC-51-17-00014-P	exempt	Transfer of control.	To consider Time Warner Cable Northeast's petition seeking approval of a transfer of cable television franchises.
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-51-17-00016-P	exempt	Petition for waiver request of Opinion No. 76-17 and 16 NYCRR Part 96.	To consider the petition of Jericho Project for waiver request of Opinion No. 76-17 and 16 NYCRR Part 96.
PSC-52-17-00014-P	exempt	Oversight and support of Clean Energy Fund and related NYSERDA activities.	To support and monitor the deployment of clean energy technology.
PSC-52-17-00015-P	exempt	Development of an aggregation standard for release of customer usage information that protects the privacy of customers.	Strike new balance between the benefit of making more aggregated data available and the need to maintain customer privacy.
PSC-52-17-00016-P	exempt	SUEZ O-N's rates of the Forest Park Systems for the provision of water.	To consider an increase in SUEZ O-N's annual water revenues of the Forest Park Systems by approximately $298,221 or 48.52%.
PSC-52-17-00017-P	exempt	Waiver of PSC regulations, 16 NYCRR § 86.3(a)(2); 86.3(b)(2) and 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-52-17-00018-P	exempt	Daily Delivery Service (DDS) Program; Winter Bundled Sales Service (WBSS) and Managed Supply Service (MSS) Programs.	To consider modifications to the DDS Program and the elimination of the expired WBSS and MSS Programs.
PSC-52-17-00019-P	exempt	Petition to submeter electricity.	To consider the petition of Bruns Associates, LLC to submeter electricity.
STATE, DEPARTMENT OF			
DOS-32-17-00002-P	08/09/18	Alarm installation, servicing and maintenance	Update current regulations for industry improvement and to make technical changes to existing text
DOS-52-17-00013-EP	12/27/18	Establishment of the Identity Theft Prevention and Mitigation Program	To facilitate the timely provision of information and assistance to victims of identity theft.
STATE UNIVERSITY OF NEW YORK			
SUN-06-17-00003-P	02/08/18	proposed amendments to traffic and parking regulations at SUNY Binghamton	Amend existing regulations to update traffic and parking regulations
SUN-49-17-00004-EP	12/06/18	College fees	To amend the College fees at SUNY's four university centers, as approved as part of the Broad Based Fee review process
TAXATION AND FINANCE, DEPARTMENT OF			
TAF-37-17-00002-P	09/13/18	Reference to forms required to file a petition or an exception with the Division of Tax Appeals	To delete parenthetical references to form numbers that are no longer in use, as the agency has updated and renumbered its forms
TAF-48-17-00004-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, 2018 through March 31, 2018.
TAF-49-17-00007-EP	12/06/18	New York State, City of Yonkers and New York City withholding tables and other methods	To provide current New York State, City of Yonkers and New York City withholding tables and other methods
TAF-51-17-00002-EP	12/20/18	Metropolitan Transportation Business Tax Surcharge	To provide metropolitan transportation business tax rate for tax year 2018.
TEMPORARY AND DISABILITY ASSISTANCE, OFFICE OF			
TDA-35-17-00005-P	08/30/18	Application process for the Supplemental Nutrition Assistance Program (SNAP)	To align State regulations for SNAP application process with federal statutory and regulatory requirements and SNAP policy
WORKERS' COMPENSATION BOARD			
WCB-52-17-00021-P	12/27/18	Establishment of Prescription Drug Formulary	Establishment of a drug formulary that includes high-quality and cost-effective preauthorized medication

REGULATORY AGENDA

Department of Motor Vehicles

Pursuant to section 202-d of the State Administrative Procedure Act, the Department of Motor Vehicles presents its regulatory agenda for 2018. All references are to Title 15 of the New York Code of Rules and Regulations. The Department reserves the right to add, delete or modify any item presented in this agenda.

1. Part 78 - Amend part 78 to clarify that VERIFI fees may be passed on to the consumer, revise the eligibility exemption for VERIFI, and delete any sections in Part 78 that VERIFI makes obsolete.

2. Part 79 - Amend Part 79 to comport with Federal DOT requirements for heavy vehicles, due to changes in such requirements. This is necessary to ensure that New York State's inspection is accepted in other jurisdictions.

3. Part 173 - As authorized by Chapter 58 of the Laws of 2017, amend Part 173 to add non-driver identification cards to the list of documents for which the commissioner may waive the fee if the document is stolen.

RULE REVIEW

Department of Motor Vehicles

As required by section 207 of the State Administrative Procedure Act, the following is a list of rules that were adopted by the Department of Motor Vehicles in calendar years 2003, 2008 and 2013 which must be reviewed in calendar year 2018. Public comment on the continuation or modification of these rules is invited and will be accepted for 45 days from the date of publication in the State Register. Comments may be directed to: The Department of Motor Vehicles, Counsel's Office, 6 ESP, Room 522A, Albany, NY 12228.

2013

MTV-41-12-00012 - Part 134 - Impaired Driving Program.

Analysis of the need for the rule: This regulation provides that persons with two or more alcohol-related convictions on their records must serve the full period of suspension or revocation upon completion of the Impaired Driving Program. Previously, completion of the Program would serve to terminate the period of suspension or revocation. This rule was part of a comprehensive regulatory package enacted in 2012-13 to address the issue of recidivist drunk driving. The rule remains necessary as part of the DMV's highway safety mission.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a), 1196(5) and (7)(a).

MTV-41-12-00013 – Part 136 - Relicensing After Permanent Revocation.

Analysis of the need for the rule: The regulation was and is necessary to address the problem of recidivist drunk drivers. The rule denies re-licensure, with some exceptions, to persons with multiple alcohol-related convictions. This rule was part of a comprehensive regulatory package enacted in 2012-13 to address the issue of recidivist drunk driving. The rule remains necessary as part of the DMV's highway safety mission.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a), 501(2)(c), 510(6)(a), 1193(2)(b)(12), 1193(2)(c) and 1194(2)(d)(1).

MTV-41-12-00016 - Part 3 - A2 Restriction.

Analysis of the need for the rule: This regulation authorizes the Commissioner of Motor Vehicles to issue an A2 problem driver restriction for persons with multiple DWI offenses and whose licenses are restored. The restriction subjects the licensee to the driving restrictions of the holder of a restricted use license and may require the installation of an ignition interlock device in all motor vehicles owned or operated by the licensee. This rule was part of a comprehensive regulatory package enacted in 2012-13 to address the issue of recidivist drunk driving. The rule remains necessary and critical to the DMV's efforts to address recidivist drunk driving.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a) and 501(2)(c).

MTV-44-12-00002 – Part 132 - Dangerous Repeat DWI Offenders.

Analysis of the need for the rule: This rule provides that persons who commit a traffic violation resulting in five or more points are subject to a lifetime record review. If such review indicates recidivist drunk driving, the person's license will be revoked, with an opportunity to be heard to demonstrate compelling, unusual and extenuating circumstances. This rule was part of a comprehensive regulatory package enacted in 2012-13 to address the issue of recidivist drunk driving. The rule remains necessary and critical to the DMV's efforts to address recidivist drunk driving.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a) and 510(3)(a) and (d).

MTV-01-13-00015 – Part 5 -Vision Testing.

Analysis of the need for the rule: This rule added pharmacists, pharmacy staff supervised by a pharmacist, nurse practitioners, as well as organizations deputized by the Commissioner, to conduct vision tests and to transmit the results electronically to the DMV. Prior to this rulemaking, DMV customers renewing a driver's license were required to go to a DMV office to have a vision test, unless their doctor completed an Eye Test Report Form. This rule expanded the providers who can conduct vision tests and greatly enhanced customer convenience by having such providers electronically transmit the results to the DMV. Thus, customers renewing their licenses may renew on-line, reducing the number of customers in the offices. This rule, which enhances customer service, remains necessary.

Legal basis for the rule: Vehicle and Traffic Law section 215(a), 502(4) and (6) and 508(4).

MTV-15-13-00001/00002 – Parts 79 and 78 - Motor Vehicle Inspection/Dealers -Provisional License.

Analysis of the need for the rule: These companion rules provide that a business which purchases a dealership may obtain provisional dealer and inspection station licenses, so that the new business may begin operating immediately. Such businesses are subject to the rules and regulations of the Commissioner, thereby protecting consumers who purchase vehicles from such dealers. This rule, which provides a seamless transfer of business from one dealer to another, remains necessary.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a), 302(a), (e), 303(a)(1) and (2), 415(3) and (5).

MTV-25-13-00003 – Part 131 - Points for Texting and Cell Phone Use.

Analysis of the need for the rule: This rule raised the points assigned for texting and cell phone use violations from three to five points. The purpose of this rule was to address the increasing role of distracted driving in highway deaths and injuries. Since cell phone and texting use remain significant contributors to highway crashes, this rule remains critical to the DMV's highway safety mission.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a) and 510(3)(i).

MTV-25-13-00005/MTV-25-13-00004 – Part 20 and Part 78 - Proof of Satisfaction of Lien by Dealers.

Analysis of the need for the rule: The regulation was enacted pursuant to Chapter 493 of the Laws of 2012, which aimed to assist dealers in obtaining a clear title for a vehicle purchaser upon resale of a vehicle. The regulations provide a process for dealers to demonstrate

to the Commissioner that a lien has been satisfied so that a clean title may be issued to expedite sale of the vehicle. Occasionally, it takes weeks for a lender to issue a notice of satisfaction of a lien so that a clean title may be issued. This rule provides notice to dealers and lienholders about the process necessary to obtain clean title. The processes embodied in the rule remain necessary.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a) and 2121(a) and (b).

MTV-32-13-00002 – Part 3 - A3 Restriction-Medical Certification.

Analysis of the need for the rule: The purpose of this rule was to expand the scope of the A3 restriction, which provides for exemptions from the federally mandated medical certification requirements for holders of a commercial driver's license. The exemptions are set forth in federal regulation, Title 49. Since these CDL holders are still exempt from the medical certification requirements, the rule remains necessary.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a) and 501(2)(c).

2008

MTV-26-07-00006 – Part 141 - Motor Vehicle Accident Prevention Course.

Analysis of the need for the rule: This rulemaking established criteria for the Motor Vehicle Accident Prevention Course by Internet or Other Technologies. The purpose of the rule was to put the public and potential course providers on notice about the guidelines governing the on-line Accident Prevention Course. The rules were and are designed to enhance customer convenience, promote highway safety and protect against fraudulent use of the system. In subsequent years, minor modifications were made to Part 141, but the essence of the rulemaking remains intact and necessary.

Legal basis for rule: Vehicle and Traffic Law sections 215(a), 399-l and 399-n. Insurance Law section 2336.

MTV-47-07-00002 – Part 79 - Motor Vehicle Inspections.

Analysis of the need for the rule: This rulemaking clarified several procedures related to both the safety and emissions inspection. The rule pertained to fees, inspections by municipalities, tying the MGW of the vehicle to the safety inspection, while tying the emissions inspection to the GVWR, and providing for the use of software to provide for efficiencies in the OBD II emissions process. The need for the clarifications contained in the rule remain.

Legal basis for rule: Vehicle and Traffic Law sections 215(a), 301(a), (c), (d), (f), 302(a)(e), (f), 304(b) and 304-a.

MTV-25-08-0012/MTV-40-08-00005 – Part 3 - Issuance of Enhanced Driver's Licenses (EDL).

Analysis of the need for the rule: Pursuant to federal law, a DMV employee may only issue an EDL if such person is a US citizen and he or she has successfully passed a criminal history background check. Since the federal requirements for issuance of an EDL remain in effect, this rule is still necessary.

Legal basis for the rule: Vehicle and Traffic Law section 215(a) and 508(1) and (4).

MTV-30-08-00006 – Part 79 - Shared Network for Motor Vehicle Inspections.

Analysis of the need for the rule: This regulation created a voluntary program for inspection stations to "share" the burden of inspecting motor vehicles using the dynamometer system for pre-1996 vehicles, a costly and mostly antiquated system, mandated by the federal Clean Air Act. This regulation was repealed in 2010 when the costly dynamometer system was replaced by the NYVIP II system.

Legal basis for the rule: Vehicle and Traffic Law section 215(a), 301(a), (c), (d), (f), 302(a), (e), (f), 304(b) and 304-a.

2003

MTV-53-02-00003 – Part 56 - Strobe lights on school buses.

Analysis of the need for the rule: This regulation was promulgated to enhance safety on school buses. Strobe lights make buses more visible during inclement weather and at other times when visibility is reduced. The use is of such lights is discretionary. The need for this highway safety measure remains.

Legal basis for rule: Vehicle and Traffic Law sections 215(a) and 220.

MTV-53-02-00004 – Part 3 - Metal Coil endorsement.

Analysis of the need for the rule: This rulemaking was and is necessary to establish the parameters of the metal coil endorsement, as provided for in Chapter 260 of the Laws of 2001.

Legal basis for rule: Vehicle and Traffic Law sections 215(a) and 501(2)(b)(ix).

MTV-01-03-00012 – Part 78- Dealer and Transporter plates.

Analysis of the need for the rule: This rulemaking was and is necessary to regulate dealer plates. The rule explicitly permits retail dealers to use transporter plates and requires a dealer who fails to sell five cars during a 12-month period to surrender its dealer plates.

Legal basis for rule: Vehicle and Traffic Law sections 215(a), 415(4), (8) and (15).

MTV-22-03-00014 - Part 79 - Emission inspections.

Analysis of the need for the rule: The rulemaking required downstate inspection stations to test 1996 and newer vehicles with the OBD II testing equipment and made other technical amendments to Part 79. This rule was subsequently amended to require the entire state to use the NYVIP CVIS system, capable of performing OBD II and low enhanced emission inspections.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a), 301(d)(1), 301(f), 302(a) and 302(e).

MTV-43-03-00002 - Part 79 - Emissions Inspection Sticker Fees.

Analysis of the need for the rule: This rule increased the fee for emissions inspection stickers and for the cost of the high and low enhanced emissions test in order to adequately fund the State's clean air program. The State is mandated by federal law to closely monitor compliance with the emissions inspection program and this increase was and is necessary to preserve adequate funding for such oversight.

Legal basis for the rule: Vehicle and Traffic Law sections 215(a), 301, 304 and 305.

SECURITIES OFFERINGS

STATE NOTICES

Published pursuant to provisions of General Business Law
[Art. 23-A, § 359-e(2)]

DEALERS; BROKERS

AS Property Nixon REIT LLC
Level 33, 50 Lonsdale, Melbourne, Victoria, Australia 3000

BayCity Long-Short Equity Fund, L.P.
555 California St., Suite 3100, San Francisco, CA 94104
Partnership — Symphony Asset Management LLC, general partner

Blue Point Capital Partners IV, L.P.
127 Public Sq., Suite 5100, Cleveland, OH 44114
Partnership — BPCP Management IV, L.P.

Blue Point Capital Partners IV (A), L.P.
127 Public Sq., Suite 5100, Cleveland, OH 44114
Partnership — BPCP Management IV, L.P.

Blue Point Capital Partners IV Executive Fund, L.P.
127 Public Sq., Suite 5100, Cleveland, OH 44114
Partnership — BPCP Management IV, L.P.

CC Co-Investment Vehicle, L.P.
5200 Town Center Circle, 4th Fl., Boca Raton, FL 33486
Partnership — CC Co-Investment Vehicle GP, LLC

Chandler Real Estate Partners XIII LP
11719-B Jefferson Ave., Suite 103, Newport News, VA 23606
Partnership — CREP XIII GP LLC

Chandler Real Estate Partners XIV LP
11719-B Jefferson Ave., Newport News, VA 23606
Partnership — CREP XIV GP LLC

CREIF II (REIT) LLC
1841 Broadway, Suite 811, New York, NY 10023
State or country in which incorporated — Delaware

CS Mesquite Associates, L.P.
910 Harvest Dr., Suite 105, Blue Bell, PA 19422
Partnership — CS Mesquite General, LLC

Dragons, Ltd.
7524 Glenturret Circle, The Colony, TX 75056
Partnership — Mark Uren

EnCap Flatrock Midstream Fund IV, L.P.
1826 N. Loop 1604 W, Suite 200, San Antonio, TX 78248
Partnership — EnCap Flatrock Midstream Fund IV GP, LP

EnCap Flatrock Midsteam Fund IV-C, L.P.
1826 N. Loop 1604 W, Suite 200, San Antonio, TX 78248
Partnership — EnCap Flatrock Midstream Fund IV-C Cayman GP, LLC

FabForeDev LLC
Five Claudia Court, Tappan, NY 10983
State or country in which incorporated — New York

GoldenEye Management, LLC
16844 Charles River Dr., Delray Beach, FL 33446
State or country in which incorporated — Delaware

HENRY The Dentist, Inc.
50 Columbus Dr., #2105, Jersey City, NJ 07302
State or country in which incorporated — Delaware

J. Streicher Capital LLC
300 Park Ave., 14th Fl., New York, NY 10022
State or country in which incorporated — Delaware

LIFEPlan CCO NY, LLC
1020 Mary St., Utica, NY 13501

Pericles Capital Management LLC
141 Nevins St., Apt. 126, Brooklyn, NY 11217
State or country in which incorporated — Delaware

Playa-Meta Ventures 2017 LLC
13069 S. Kiyot Way, Playa Vista, CA 90094
State or country in which incorporated — Delaware

PPC Fund II LP
111 S. Wacker Dr., Suite 4050, Chicago, IL 60606
Partnership — PPC Fund GP II LP

PPC Fund II-A LP
111 S. Wacker Dr., Suite 4050, Chicago, IL 60606
Partnership — PPC Fund GP II LP

PPC Fund II-B LP
111 S. Wacker Dr., Suite 4050, Chicago, IL 60606
Partnership — PPC Fund GP II LP

Proformance Foods, Inc.
44 Dobbin St., First Fl., Brooklyn, NY 11222
State or country in which incorporated — Delaware

Republic GCT SPV, LLC
335 Madison Ave., New York, NY 10017
State or country in which incorporated — Delaware

RT IC Investment, LLC
575 Madison Ave., 7th Fl., New York, NY 10022
State or country in which incorporated — Delaware

Ryan Specialty Group, LLC
180 N. Stetson Ave., Suite 4600, Chicago, IL 60601
State or country in which incorporated — Delaware

Serenity Alternative Investments Fund I, LP
c/o Serenity Alternative Investments GP, LLC, 200 S. Wacker St., Suite 2450, Chicago, IL 60606
Partnership — Serenity Alternative Investments GP, LLC

Seven Eight Capital Partners, LP
460 Park Ave., 18th Fl., New York, NY 10022
Partnership — Seven Eight Capital GP, LLC

Studfinder, LLC
188 Golden Gate Point, Unit 102, Sarasota, FL 34236
State or country in which incorporated — Delaware

SureFire Digital Assets, LP
8360 Rue Bougainville, Montreal, Quebec, Canada H4P 2G1
Partnership — SureFire Digital Asset Management, LP

Surg.io LLC
16000 N. 80th St., Suite E, Scottsdale, AZ 85260
State or country in which incorporated — Arizona

Tarpon Creek Investments, LLC
210 E. 2nd Ave., Suite 105, Rome, GA 30161
Partnership — Webb Creek Management Group, LLC

Trico Fund IV LLC
8321 S. Sangre de Cristo Rd., Suite 300, Littleton, CO 80127
Partnership — Colorado

usell.com, Inc.
171 Madison Ave., 17th Fl., New York, NY 10016
State or country in which incorporated — Delaware

Varo Money, Inc.
111 Sutter St., 13th Fl., San Francisco, CA 94104
State or country in which incorporated — Delaware

VICI Properties Inc.
8329 W. Sunset Rd., Suite 210, Las Vegas, NV 89113
State or country in which incorporated — Maryland

VMH Vervoer LLC
81 Prospect St., Brooklyn, NY 11201
State or country in which incorporated — New York limited liability company

Wells Fargo Investment Institute, Inc.
401 S. Tryon St., Charlotte, NC 28202
State or country in which incorporated — North Carolina

Wheeler Farms Partners A, L.P.
1751 Skellenger Lane, Napa, CA 94558
State or country in which incorporated — Wheeler Farms Partners GP, L.P.

World Equity Group, Inc.
1650 N. Arlington Heights Rd., Suite 100, Arlington Heights, IL 60004
State or country in which incorporated — Illinois

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 2018 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. 1, 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 all qualifying Mental Hygiene services to comply with enacted statutory provisions. The following changes are proposed:

All Services

Effective on or after December 31, 2017, the State will change the methods and standards for determining payment rates for all qualifying Mental Hygiene Services to take into account labor costs resulting from statutorily required increases in the New York State minimum wage and to provide funding to support a three and one-quarter percent increase in annual salary and salary-related fringe benefits for direct care staff and direct support professionals, and in payment to foster parents and adoptive parents.

Effective on or after April 1, 2018, a new three and one-quarter percent increase in annual salary and salary-related fringe benefits will be applied for direct care staff, direct support professionals and clinical staff, and in payment to foster parents and adoptive parents for all qualifying Mental Hygiene Services. For the purposes of the January 1 and April 1, 2018 funding increases, direct support professionals are individuals employed in consolidated fiscal reporting position title codes ranging from 100 to 199; direct care staff are individuals employed in consolidated fiscal reporting position title codes ranging from 200 to 299; and clinical staff are individuals employed in consolidated fiscal reporting position title codes ranging from 300 to 399.

The estimated annual net aggregate increase in gross Medicaid expenditure attributable to this initiative contained in the budget for SFY 2017/18 is approximately $35.5M.

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, 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 comply with enacted statutory provisions. The following changes are proposed:

Non-Institutional Services

Effective on or after December 31, 2017, the Department of Health will adjust Article 16 APG rates to take into account increased labor costs resulting from statutorily required increases in the New York State minimum wage. Under the statute, increases in the minimum wage will be phased in over a number of years until the minimum wage is $15 per hour in all regions of the State, and Medicaid rates will be adjusted in those years to account for such increases.

The estimated annual net aggregate increase in gross Medicaid expenditures attributable to this initiative contained in the budget for state fiscal year 2018 is $30,000 and 2019 is $40,000.

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, spa_inquiries@health.ny.gov

PUBLIC NOTICE

Office of Mental Health and Department of Health

Pursuant to 42 CFR Section 447.205, the Office of Mental Health and the Department of Health hereby give public notice of the following:

The Office of Mental Health and the Department of Health propose to amend the Title XIX (Medicaid) State Plan for institutional services related to temporary rate adjustments to Article 28 Hospitals that are undergoing a closure, merger, consolidation, acquisition or restructuring of themselves or other health care providers. These payments are currently authorized by 2807-c (35) of the New York Public Health Law. The following changes are proposed:

Additional temporary rate adjustments have been reviewed and approved for the following hospitals:

- United Health Services Hospitals, Inc.

The aggregate payment amounts total up to $410,883 for the period January 1, 2018 through March 31, 2018.

The aggregate payment amounts total up to $1,693,988 for the period April 1, 2018 through March 31, 2019.

The aggregate payment amounts total up to $1,870,735 for the period April 1, 2019 through March 31, 2020.

The aggregate payment amounts total up to $1,460,242 for the period April 1, 2020 through March 31, 2021.

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 of Health'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 also 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 1460, Albany, NY 12210, spa_inquiries@health.ny.gov

PUBLIC NOTICE

New York City Deferred Compensation Plan

The New York City Deferred Compensation Plan (the "Plan") is seeking qualified vendors to provide master wrap administrative services for the Stable Income Fund investment option of the Plan. To be considered, vendors must submit their product information to Milliman Investment Consulting at the following e-mail address: sanf.investment.search@milliman.com. Please complete the submission of product information no later than 4:30 P.M. Eastern Time on January 22, 2018. Consistent with the policies expressed by the City, proposals from certified minority-owned and/or women-owned businesses or proposals that include partnering arrangements with certified minority-owned and/or women-owned firms are encouraged. Additionally, proposals from small and New York City-based businesses are also encouraged.

PUBLIC NOTICE

Department of State
F-2017-0963
Date of Issuance – December 27, 2017

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 applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. 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. Electronic copies of the submission can also be downloaded at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2017-0963_PN.pdf

In F-2017-0963, Eric Novicki, is proposing to place rip rap along the shoreline of (North) Sandy Pond to protect his property, at 102 Cove Road in the Town of Sandy Creek, Oswego County, against wave erosion. The proposal is to place filter fabric along the existing eroded shoreline, then place stone to bring the slope up to a 2:1 ratio. A layer of rip rap will be placed on top. The area will then be backfilled with clean fill to increase the elevation approximately 2 feet. This will be done in two sections, the first will be ~80 linear feet and place up to 20 cubic yards of stone fill below Ordinary High Water (OHW). The second section will be ~125 linear feet and use up to 20 cubic yards of stone fill below OHW. Project totals ~205 linear feet and up to 40 cubic yards of stone fill below OHW.

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., 15 days from the date of publication of this notice, or, January 11, 2018.

Comments should be addressed to the Consistency Review Unit, Department of State, Office of Planning and Development, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. 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-2017-1005; F-2017-1035; F-2017-1081; F-2017-1082;
F-2017-1083; and F-2017-1084
Date of Issuance – December 27, 2017

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 applicant has certified that the proposed activities comply with and will be conducted in a manner consistent to the maximum extent practicable 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.

In F-2017-1005 <E. 34th Street Landing, Manhattan>; F-2017-1035 <Pier 11 Landing, Manhattan>; F-2017-1081 <Soundview Landing, Bronx>; F-2017-1082 <Grand Street Landing, Manhattan>; F-2017-1083 <E. 20th Street Landing, Manhattan>; and F-2017-1084 <E. 90th Street Landing, Manhattan>, or the "New York City Citywide Ferry Service Expansion – 2018 Routes and Landings", the applicant, New York City Economic Development Corporation (NYC EDC or EDC) is proposing to carry out construction of several new ferry landing facilities and/ or install upgrades to existing ferry landing facilities at the following locations and routes:

The Citywide Ferry Service (CFS) is an expansion of the existing New York City - East River Ferry (ERF) service, a privately-operated commuter and recreational transit service paid for by the City of New York and managed by the EDC. An expanded service and improved system infrastructure is anticipated to ensure the continuity and viability of the East River Ferry service, provide alternative public commuter options for currently un-serviced populations or those in remote locations, and create a unified urban public transportation system.

The above-named individual landing projects are being undertaken to successfully initiate two new 2018 routes. The 2018 proposed routes will service the Bronx and Lower East Side of Manhattan. [Three new routes were initiated in 2017, expanding the system to reach the Rockaways; Astoria, Queens; the East side of Roosevelt Island, Gantry Park, Queens; and several locations throughout South Brooklyn, including Brooklyn Bridge Park.]

The CFS expansion, overall, requires construction of several new ferry landings as well as various repairs, replacements, and/ or upgrades to existing landing infrastructure. Upgrades to existing landings are intended to increase capacity and/ or accommodate additional passenger circulation. Most of the newly constructed landings would feature a single, anchor-pile supported floating barge (dimensions 35' x 90') capable of accepting side and/ or bow-loading ferry vessels. The individual barges are connected to shore by a gangway to accommodate passenger queuing and shelter, a ticket machine, and information kiosk, lighting, and static or digital signage. All landings are being be constructed to be ADA compliant and will install berthing infrastructure in accordance with best practices for maximum safety.

Additional project information and reports may be referenced on line at: http://www.nycedc.com/resource/citywide-ferry-study-2013 and http://www1.nyc.gov/site/oec/environmental-quality-review/15DME009Y.page

The proposed activities would be undertaken within the New York City Waterfront Revitalization Program (WRP) planning area. As the WRP is a component of the NYSCMP, activities under federal permitting authority are also subject to review for their consistency with the local program and its specific provisions and policies.

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., 15 days from the date of publication of this notice or January 11, 2018.

Comments should be addressed to the Department of State, Office of Planning and Development and Community Infrastructure, ATTN: Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Comments can also be submitted electronically via e-mail to: 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-2017-1029
Date of Issuance – December 27, 2017

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 applicant has certified that the proposed activity complies with and will be conducted in a manner consistent with the approved New York State Coastal Management Program. 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.

In F-2017-1029 Tilcon New York Inc., is proposing the Haverstraw Quarry Bulkhead Project at Riverside Avenue in the Village Haverstraw. The applicant proposes to install new sheetpile approximately 12.5 inches waterward of their existing bulkhead along its entire length. The applicant has also stated that all future repairs to this proposed bulkhead will be undertaken in place or landward of the face of the proposed bulkhead.

The stated purpose of the proposed project is to "ensure continued safe operation."

The applicant's consistency certification and supporting information are also available at: http://www.dos.ny.gov/opd/programs/pdfs/Consistency/F-2017-1029ApplicationReduced.pdf

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., 15 days from the date of this notice or January 11, 2017.

Comments should be addressed to the Consistency Review Unit, Department of State, Office of Planning, Development & Community Infrastructure, One Commerce Plaza, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. 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-2017-1071
Date of Issuance – December 27, 2017

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 applicant has certified that the proposed activities comply with and will be conducted in a manner consistent to the maximum extent practicable 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.

In F-2017-1071, or the "New York City Citywide Ferry Service –Homeport", the applicant, New York City Economic Development Corporation (NYCEDC or EDC) is proposing to establish the Citywide Ferry Homeport (Latitude 40.7033, Longitude -73.9768) – Pier C of the Brooklyn Navy Yard (BNY), East River, Borough of Brooklyn, City of New York, Kings County, as the homeport mooring and fueling facility for the expanded Citywide Ferry Service (CFS).

The Citywide Ferry Service is an expansion of the existing New York City - East River Ferry (ERF) service, a privately-operated commuter and recreational transit service paid for by the City of New York and managed by the EDC. An expanded service and improved system infrastructure is anticipated to ensure the continuity and viability of the East River Ferry service, provide alternative public commuter options for currently un-serviced populations or those in remote locations, and create a unified urban public transportation system. Numerous individual landing projects are being undertaken to successfully initiate two new 2018 routes. The 2018 proposed routes will service the Bronx and Lower East Side of Manhattan. Three new routes were initiated in 2017, expanding the system to reach the Rockaways; Astoria, Queens; the East side of Roosevelt Island, Gantry Park, Queens; and several locations throughout South Brooklyn, including Brooklyn Bridge Park.

Establishment of the BNY as the homeport facility entails construction of twenty-two (22) three and a half foot wide by 30' long ganways leading to twenty-two (22) 10' wide by 80' wide long concrete encased foam-filled floating docks (with steel and composited fendering). Construction of a fendering system on each float extending approximately one foot from the edge of the float. Each float will be anchored by two 36" diameter hollow steel piles for a total of 44 piles. The new overwater coverage is anticipated to be 17,600 square feet. The total length of structures will extend 690 linear feet into the waterway. The total length of structures and moored ferries will extend a total of 700 linear feet into the waterway. The service capacity or maximum number of vessels to be moored at any given time is 28 ferry vessels.

The work also involves installation of electric and water utilities and sewage pump-out facilities, lighting, and fire-suppression systems, and a utility building. An area is designated on plans for construction of a fueling station barge to service the homeport. Previous demolition and reconstruction of Pier C was accomplished under a U.S. Army Corps of Engineers Nationwide Permit #3.

Additional project information and reports may be referenced on line at: http://www.nycedc.com/resource/citywide-ferry-study-2013 and http://www1.nyc.gov/site/oec/environmental-quality-review/15DME009Y.page

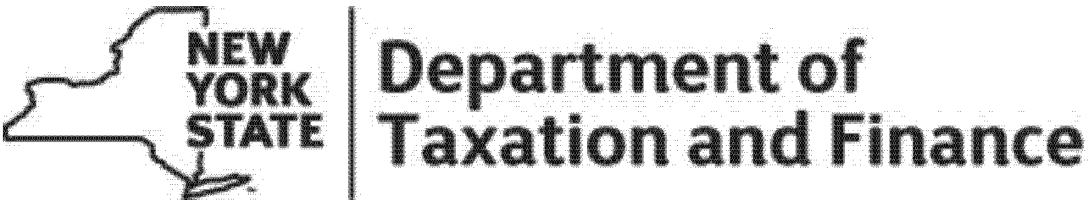
The proposed activities would be undertaken within the New York City Waterfront Revitalization Program (WRP) planning area. As the WRP is a component of the NYSCMP, activities under federal permitting authority are also subject to review for their consistency with the local program and its specific provisions and policies.

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., 15 days from the date of publication of this notice or January 11, 2017.

Comments should be addressed to the Department of State, Office of Planning and Development and Community Infrastructure, ATTN: Consistency Review Unit, One Commerce Plaza, Suite 1010, 99 Washington Ave., Albany, NY 12231, (518) 474-6000, Fax (518) 473-2464. Comments can also be submitted electronically via e-mail to: CR@dos.ny.gov

This notice is promulgated in accordance with Title 15, Code of Federal Regulations, Part 930.

FINANCIAL REPORTS



Depositories for the Funds of the State of New York

Month End: November, 2017

Prepared by the Division of the Treasury
Investments, Cash Management and Accounting Operations

Nonie Manion
Executive Deputy Commissioner

ACCOUNT DESCRIPTION	DEPOSITORY	BALANCE AS OF 11/30/2017
ACCOUNTS HELD IN JOINT CUSTODY BY THE COMMISSIONER OF TAXATION FINANCE AND THE NEW YORK STATE COMPTROLLER		
Unemployment Insurance Funding Account	Key Bank	1,912,663.69
Occupational Training Act Funding Account	Key Bank	(28,398.10)
Unemployment Insurance Exchange Account	Key Bank	0.00
Exchange Account	Key Bank	(335.99)
PIT Special Refund Account	JPMorgan Chase Bank, N.A.	(218,145,370.08)
General Checking	Key Bank	(585,880,157.62)
Direct Deposit Account	Wells Fargo	30,506.84
TOTAL		(216,230,933.64)
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
01020 - DIVISION OF PAROLE		
Asset Forfeiture Special Rev Acct	Bank of America, N.A.	No report received
Division Of Parole Petty Cash Account	Key Bank	No report received
Division Of Parole Regional Advance Account	Key Bank	No report received
Emergency Support (Bronx)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Account	Key Bank	No report received
Emergency Support Fund (Albany)	Trustco Bank	No report received
Emergency Support Fund (Binghamton)	Citizens Bank	No report received
Emergency Support Fund (Buffalo)	Bank of America, N.A.	No report received
Emergency Support Fund (Elmira)	Chemung Canal Trust	No report received
Emergency Support Fund (Manhattan 1)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Fund (Nassau)	Bank of America, N.A.	No report received
Emergency Support Fund (Poughkeepsie)	JPMorgan Chase Bank, N.A.	No report received
Emergency Support Fund (Queens 1)	HSBC	No report received
Emergency Support Fund (Queens 2)	HSBC	No report received
Emergency Support Fund (Rochester 1)	M&T Bank	No report received
Emergency Support Fund (Syracuse)	Key Bank	No report received
Manhattan V - Emergency Support	JPMorgan Chase Bank, N.A.	No report received
Northeast Emergency Support Fund	Key Bank	No report received
Parole Supervision Fee	Key Bank	No report received
Parole Supervision Fee	Wachovia Bank NA	No report received
Rochester II Emergency Support Fund	Bank of America, N.A.	No report received
Subpoena Fund Account	Key Bank	No report received
Utica Emergency Support Fund	Bank of Utica	No report received
01030 - DIVISION OF ALCOHOLIC BEVERAGE CONTROL		
Albany		
SLA Investigations Account	Key Bank	No report received
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	21,500.00
Div Headquarters - Petty Cash	Key Bank	1,695.00
Key Advantage Account	Key Bank	69,266.52
Manhattan Office-confidential	JPMorgan Chase Bank, N.A.	500.00
NYS Police Special Account	Key Bank	1,859,848.00
SIU Confidential Fund Account	Key Bank	6,902.20
Special Fund	Key Bank	48,329.93
State Police Receipts Account	Bank of America, N.A.	172,455.22
Troop A Batavia - Petty Cash	Bank of America, N.A.	1,000.00
Troop A Batavia-Confidential	Bank of America, N.A.	1,866.25
Troop B Confidential	Key Bank	2,418.00
Troop B Petty Cash	Community Bank	1,000.00
Troop C Confidential Fund	NBT Bank	1,800.00
Troop C Petty Cash	NBT Bank	535.00
Troop D Oneida - Confidential	Alliance Bank	1,500.00
Troop D Oneida Petty Cash	Alliance Bank	821.56
Troop E Canandaigua Confidential	Canandaigua National Bank	1,816.41
Troop E Petty Cash	Canandaigua National Bank	1,000.00
Troop F Confidential	JPMorgan Chase Bank, N.A.	1,000.00

Troop F Petty Cash	JPMorgan Chase Bank, N.A.	1,000.00
Troop G Loudonville Conf	Bank of America, N.A.	668.89
Troop G Petty Cash	Bank of America, N.A.	844.00
Troop K Petty Cash	Bank of Millbrook	10,796.00
Troop K Poughkeepsie-Confidential	Bank of Millbrook	1,100.00
Troop L Confidential Fund	Bank of America, N.A.	8,285.00
Troop L Petty Cash	Bank of America, N.A.	0.00
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.	1,984.53
Revenue Account	JPMorgan Chase Bank, N.A.	1,785,657.85
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	8,630.07
GOER/LMC Advance Account	Key Bank	1,880.00
NYS Dependent Care Acct	Key Bank	54,530.34
01160 - JUSTICE CENTER FOR THE PROTECTION OF PEOPLE WITH SPECIAL NEEDS		
Agency Advance Account	Key Bank	1,965.51
01300 - ADIRONDACK PARK AGENCY		
General Fund	Community Bank	160.55
Petty Cash	Community Bank	3,171.70
01400 - CRIME VICTIMS COMPENSATION BOARD		
Crime Victims	JPMorgan Chase Bank, N.A.	No report received
Emergency Award Account	M&T Bank	No report received
Emergency Claims	Key Bank	No report received
Frances Featherstones	Key Bank	No report received
Petty Cash Account	Key Bank	No report received
REST/SUBROG Escrow Account	Key Bank	No report received
01490 - DIVISION OF CRIMINAL JUSTICE SERVICES		
Advance Account	Bank of America, N.A.	2,573.00
FBI Fee Account	Bank of America, N.A.	6,493.71
Fingerprint Fee Account	Bank of America, N.A.	21,942.75
01510 - NYS RACING & WAGERING BOARD		
Charitiable Gaming Account	Key Bank	No report received
Fingerprint Concentration Account	Key Bank	No report received
License Revenue Account	Bank of America, N.A.	No report received
Petty Cash Account	Key Bank	No report received
Racing Refund Account	Key Bank	No report received
01530 - STATE COMMISSION OF CORRECTION		
Advance Account	Bank of America, N.A.	1,681.76
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.	32,164.49
Alcohol Beverage	Bank of America, N.A.	332,078.62
Alcoholic Bev Control License	Wells Fargo Bank	128,007.98
Alcoholic Beverage Control License	M&T Bank	90,228.87
Assessments Bulk	JPMorgan Chase Bank, N.A.	10,100,528.75
Assessments Receivable	JPMorgan Chase Bank, N.A.	10,065,947.63
Assessments Receivable (EFT)	Wells Fargo Bank	2,545,203.58
Beverage Container	JPMorgan Chase Bank, N.A.	0.00
Boxing And Wrestling Tax	Bank of America, N.A.	1,195.33
Capital Gains Tax On Real Estate	Bank of America, N.A.	0.00
Cigarette Stamp Sales Tax	JPMorgan Chase Bank, N.A.	25,924.00
Cigarette Stamp Tax	JPMorgan Chase Bank, N.A.	88,482.69
Cigarette Stamp Tax (EFT)	Wells Fargo Bank	430,663.57
Cigarette Stamp Tax Split	JPMorgan Chase Bank, N.A.	21,243.94
Cigarette Tax Tobacco Products	Bank of America, N.A.	434,030.52
Comptroller's Refund Account	JPMorgan Chase Bank, N.A.	0.00
Corporation Tax	Wells Fargo Bank	2,540,689.61
Corporation Tax - Art 9	Bank of America, N.A.	1,266,559.21
Corporation Tax - Coupon Acct.	JPMorgan Chase Bank, N.A.	86,612.27
Encon Beverage Container Deposit/Bottle Bill (EFT)	Wells Fargo Bank	211,327.08
Estate Tax	Bank of America, N.A.	924,019.04
Estate Tax Article 10 Section 241	Key Bank	0.01
Estimated Tax	JPMorgan Chase Bank, N.A.	7,335,418.56

Gift Tax	Bank of America, N.A.	10,865.00
Hazardous Waste	Key Bank	20,140.51
Highway Use - Permits & Reg.	Bank of America, N.A.	41,654.70
Highway Use Truck Mileage Tax (EFT)	Wells Fargo Bank	564,677.83
Highway Use-Permits & Reg. (EFT)	JPMorgan Chase Bank, N.A.	0.00
Hudson River-Black River	Bank of America, N.A.	603,917.13
Hudson River-Black River	Community Bank	11,674.56
Hut/Oscar Registrations & Renewals (EFT)	Wells Fargo Bank	60,092.00
IFTA Fuel Use Tax (EFT)	Wells Fargo Bank	115,519.66
IFTA/Oscar Renewals (EFT)	Wells Fargo Bank	55,688.00
IFTA-Decal/Permit Fee Acct.	Bank of America, N.A.	79,351.50
IFTA-Fuel Use	Bank of America, N.A.	43,705.30
Image Cash Letter Corp Tax	JPMorgan Chase Bank, N.A.	0.00
Image Cash Letter Highway Use Tax	JPMorgan Chase Bank, N.A.	0.00
Image Cash Letter Sales Tax	JPMorgan Chase Bank, N.A.	0.00
Income Tax - LLC	JPMorgan Chase Bank, N.A.	89,419.57
Income Tax - Main	JPMorgan Chase Bank, N.A.	0.00
Justice Court	Key Bank	710,435.51
MCTD Medallion Taxicab Trip	JPMorgan Chase Bank, N.A.	14,631.00
Medallion Taxicab Trip Tax (EFT)	Wells Fargo Bank	128,165.94
Medical Marijuana Tax Collections	Bank of America, N.A.	1,683.33
Metro Commuter Trans. Mobility	JPMorgan Chase Bank, N.A.	91,898.41
NYC General Debt Service	Bank of America, N.A.	0.00
NYC General Debt Service-RAN	JPMorgan Chase Bank, N.A.	0.00
Ogdensburg Bridge & Port	Community Bank	(14,173.37)
Payroll Revolving Exchange Acct.	Key Bank	100,726.97
Personal Income Tax	Wells Fargo Bank	2,017,498.00
Petroleum Business Tax (EFT)	Wells Fargo Bank	300,314.43
Petroleum Products Tax	Bank of America, N.A.	318,875.86
PIT Bulk	JPMorgan Chase Bank, N.A.	2,273.00
Port Of Oswego	Key Bank	198,755.67
Promptax - MCTMT	Wells Fargo Bank	941,906.85
Promptax - Petroleum Business Tax	Wells Fargo Bank	250,718.88
Promptax - Sales Tax/Sales Tax Prepaid Fuel	Wells Fargo Bank	1,527,871.89
Promptax - Withholding	Wells Fargo Bank	(19,576,179.66)
Promptax - Withholding Checks	JPMorgan Chase Bank, N.A.	65,313.49
Real Estate Transfer Tax	Key Bank	3,622,221.44
Revenue Holding	First Niagara Bank	16,132,000.00
Sales Tax	JPMorgan Chase Bank, N.A.	980,631.83
Sales Tax	Wells Fargo Bank	2,233,485.82
SUNY Concentration	First Niagara Bank	482,000.00
Troy Debt Service Reserve Fund	Bank of America, N.A.	0.00
Uncashed Winning Tickets	Bank of America, N.A.	25,923.81
Unclaimed Funds	JPMorgan Chase Bank, N.A.	4,106,329.32
Unclaimed Funds - 2	JPMorgan Chase Bank, N.A.	3,093.04
Withholding	Wells Fargo Bank	7,396,703.48
Withholding Tax	JPMorgan Chase Bank, N.A.	997,739.22
Cash Advance Accounts		
Advance For Travel Account	Key Bank	2,251.30
ERS Petty Cash Acct	Key Bank	13,403.28
Petty Cash Account	Key Bank	3,700.00
Common Retirement Fund		
Common Retirement Fund - Depository	JPMorgan Chase Bank, N.A.	(204.25)
NYS Common Retirement Fund	JPMorgan Chase Bank, N.A.	29,245,575.72
Employees Retirement System		
Employees Retirement System - EFT	JPMorgan Chase Bank, N.A.	7.09
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
Miscellaneous		
Fee Account	Key Bank	89.25
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.	1.90
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	14,359,618.85
National Global Settlement	JPMorgan Chase Bank, N.A.	6,340,249.58
NYS Department Of Law Confidential Account	JPMorgan Chase Bank, N.A.	38,100.00
NYS Department of Law Petty Cash Account	JPMorgan Chase Bank, N.A.	5,211.50
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	26,690.28
NYS Leg Bill Drafting Comm-Petty Cash Acct	Key Bank	1,387.52
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.	704,625.00
Criminal Records Search Acct - Revenue	JPMorgan Chase Bank, N.A.	2,697,983.19
Finger Print Account	JPMorgan Chase Bank, N.A.	2,325.00
Petty Cash Acct	JPMorgan Chase Bank, N.A.	733.80
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	No report received
Lawyers Fund For Client Protection - Bail	Key Bank	No report received
Petty Cash	Key Bank	No report received
05012 - MENTAL HYGIENE LEGAL SERVICES - 2ND JUDICIAL DEPARTMENT		
Mental Hygiene Sec Dept Petty Cash	Bank of America, N.A.	879.59
05023 - COMMISSION ON PROFESSIONAL STANDARDS - 3RD JUDICIAL DEPARTMENT		
Comm On Prof Stands 3rd Jud Dept	M&T Bank	No report received
05071 - COURT OF APPEALS		
Chief Judge Advance	Key Bank	3,615.08
Clerk Of The Court Of Appeals	Key Bank	7,602.34
05072 - STATE BOARD OF LAW EXAMINERS		
State Board Of Law Examiners Fee	Key Bank	2,058,515.00
05081 - APPELLATE DIVISION - 1ST JUDICIAL DEPARTMENT		
1st Appellate Division Supreme Ct	JPMorgan Chase Bank, N.A.	57,209.00
1st Jud Dept Petty Cash Appellate	JPMorgan Chase Bank, N.A.	359.72
05082 - APPELLATE DIVISION - 2ND JUDICIAL DEPARTMENT		
Appellate Div 2nd Dept Revenue	JPMorgan Chase Bank, N.A.	113,760.50
05083 - APPELLATE DIVISION - 3RD JUDICIAL DEPARTMENT		
Third Dept Civil Fees Acct - Revenue	Key Bank	23,905.00
05084 - APPELLATE DIVISION - 4TH JUDICIAL DEPARTMENT		
4th Dept Appellate Div Civil Fees - Revenue	JPMorgan Chase Bank, N.A.	16,423.49
05090 - COURT OF CLAIMS		
Court Of Claims Revenue Account	Key Bank	5,195.50
05111 - 10TH JUDICIAL DISTRICT NASSAU COUNTY ADMINISTRATION		
Glen Cove City Court		
Glen Cove City Court - Bail	Bank of America, N.A.	155,575.03
Glen Cove Court Revenue	Bank of America, N.A.	59,506.00
Long Beach City - Nassau		
City Court Of Long Beach - Bail	Bank of America, N.A.	181,609.92
City Court Of Long Beach - Revenue	Bank of America, N.A.	65,729.37
Nassau Co Family		
Nassau Co Family Court Bail	Citibank	0.00
Nassau County Court		
Nassau County Assessment	Wells Fargo Bank	26,976.20
Nassau District Court - Criminal		

Nassau Dist Ct Criminal Revenue	Wells Fargo Bank	318,211.33
Nassau District Court-Civil		
Nassau County Dist Ct- Civil Revenue	Wells Fargo Bank	34,130.01
Nassau Surrogate		
Nassau County Surrogate Court-Revenue	Wells Fargo Bank	115,694.75
05112 - 10TH JUDICIAL DISTRICT SUFFOLK COUNTY ADMINISTRATION		
10th Judicial District Suffolk County Admin		
Suffolk County Court -Court Fund	People's United Bank	42,678.35
Suffolk County Surrogate		
Surrogate Court Of Suffolk County	People's United Bank	41,926.50
Suffolk District Court Civil Fees		
Suffolk County District Court Civil Fees	Citibank	393,204.84
Suffolk District Court Criminal Fines		
Suffolk County District Court Criminal Fines	Citibank	272,251.18
Suffolk District Court Trust Acct		
Suffolk County District Court Trust Account	Citibank	24,000.00
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.	86,197.00
Bronx Criminal Court- Criminal Court		
Bronx Criminal Division- Criminal Revenue	JPMorgan Chase Bank, N.A.	83,935.55
Kings County Criminal Court		
Kings Criminal Court	Citibank	227,173.00
New York County Criminal Court		
New York Criminal Court	JPMorgan Chase Bank, N.A.	39,330.00
New York Criminal Court- State Funds	JPMorgan Chase Bank, N.A.	119,915.00
Queens County Criminal Court		
Queens Criminal Court	JPMorgan Chase Bank, N.A.	58,276.00
Queens Criminal Court - State Funds	JPMorgan Chase Bank, N.A.	136,730.00
Richmond County Criminal Court		
Richmond Criminal Court	Citibank	60,057.00
Richmond Criminal Court- State Funds	Citibank	30,202.00
05220 - NYC-FAMILY COURT		
Family Citywide Administration		
NYC Family Court	JPMorgan Chase Bank, N.A.	310.00
05231 - SUPREME COURT - BRONX COUNTY		
NYS Office of Court Admin	JPMorgan Chase Bank, N.A.	3,818.00
05235 - SUPREME COURT - KINGS COUNTY		
Kings Co Supreme		
Supreme Court Kings County-Revenue	JPMorgan Chase Bank, N.A.	10,232.30
05240 - SUPREME COURT - QUEENS COUNTY		
Queens Co Supreme		
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	0.00
Queens County Supreme Court	JPMorgan Chase Bank, N.A.	35,351.10
05250 - NEW YORK COUNTY CLERK		
New York Co Clerk Revenue Account	JPMorgan Chase Bank, N.A.	749,742.75
05255 - BRONX COUNTY CLERK		
Bronx County Clerk		
Bronx Cnty Clerk Revenue Acct	JPMorgan Chase Bank, N.A.	518,299.35
Bronx Cnty Clerk-Bails /Fines C&T	JPMorgan Chase Bank, N.A.	0.00
05260 - KINGS COUNTY CLERK		
Kings County Clerk		
Kings County Clerk Revenue Account	Flushing Commercial Bank	972,323.35
05265 - QUEENS COUNTY CLERK		
Queens County Clerk-Revenue Acct	Sterling Bank	698,475.00
05270 - RICHMOND COUNTY CLERK		
Richmond Co Clerk State Fees Account	JPMorgan Chase Bank, N.A.	7,212,640.55
Richmond County Clerk DEC	JPMorgan Chase Bank, N.A.	266.02
05275 - NEW YORK COUNTY SURROGATES COURT		
New York Surrogate		
New York Surrogate Court	JPMorgan Chase Bank, N.A.	42,266.25

05280 - BRONX COUNTY SURROGATES COURT		
Bronx Surrogate		
Bronx Surrogate Court Revenue Acct	JPMorgan Chase Bank, N.A.	27,821.75
05285 - KINGS COUNTY SURROGATES COURT		
Kings County Surrogate		
Kings Co. Surrogate Revenue Acct	Bank of America, N.A.	39,363.00
05290 - QUEENS COUNTY SURROGATES COURT		
Queens surrogate		
Queens Co Revenue Acct Surrogate	Signature Bank	40,437.38
05295 - RICHMOND COUNTY SURROGATES COURT		
Richmond County Surrogate Court Revenue Account	Victory State Bank	14,665.00
05360 - 3RD JUDICIAL DISTRICT ADMINISTRATION		
Albany City Court - (Civil)		
Albany City Civil - Revenue	Wells Fargo Bank	3,801.31
Albany City Court - (Crim-Bail)		
Albany City Criminal - Bail	Wells Fargo Bank	12,484.79
Albany City Court - (Traffic)		
Albany City Traffic-Revenue	Wells Fargo Bank	87,540.60
Albany Traffic Court - Bail	Bank of America, N.A.	1,250.00
Albany City Court - Civil Part		
Albany City Court Civil - Revenue	Trustco Bank	0.00
Albany City Court - Crim		
Albany City Court-Crim	Wells Fargo Bank	14,342.60
Albany City Court - Traffic-Bail		
Albany City Traffic - Bail	Wells Fargo Bank	0.00
Albany County Surrogate		
Albany Cty Surrogates Court - Revenue	Bank of America, N.A.	13,861.00
Albany Police Court		
Albany Police Court Bail Account	Key Bank	14,731.57
Cohoes City Court		
Cohoes City Court Bail	First Niagara Bank	44,323.90
Cohoes City Court Fees/Fines Account	First Niagara Bank	16,273.50
Columbia County Surrogate		
Columbia Co Surrogate Ct Fees - Revenue	Key Bank	11,566.25
Greene County Surrogate		
Greene County Surrogate - Revenue	First Niagara Bank	903.75
Greene Surrogate		
Greene Surrogate-Revenue	Wells Fargo Bank	33,209.00
Hudson City Court		
Hudson City Bail	Wells Fargo Bank	5,676.04
Hudson City Court Bail Acct	Trustco Bank	28,808.25
Hudson City Court Revenue Acct - Revenue	Trustco Bank	5,512.00
Hudson City Revenue	Wells Fargo Bank	5,485.77
Kingston City Court		
Kingston City Court Bail	Key Bank	73,000.00
Kingston City Court Bail	Wells Fargo Bank	54,667.65
Kingston City Court Fees Fines - Revenue	Key Bank	26.00
Kingston City Court Revenue	Wells Fargo Bank	495.00
Rensselaer City Court		
Rensselaer City Court - Revenue	Key Bank	5,533.46
Rensselaer City Court Bail Acct	Key Bank	2,634.40
Rensselaer County Surrogate		
Rensselaer Co Surrogate Ct Fees - Revenue	Key Bank	23,310.75
Schoharie County Surrogate		
Schoharie Co Surrogates Court - Revenue	Bank of America, N.A.	418.00
Sullivan County Surrogate		
Sullivan County Surrogates Court - Revenue	Key Bank	4,108.00
Sullivan Surrogate		
Sullivan Surrogate-Revenue	Wells Fargo Bank	4,108.00
Troy City Court		
Troy City Court- Revenue Acct - Revenue	Bank of America, N.A.	101,419.80
Troy Police Court Bail Account	Bank of America, N.A.	31,365.04
Ulster County Surrogate		
Ulster County Surrogate Court - Revenue	Key Bank	3,173.50
Watervliet City Court		
Watervliet Bail	Pioneer Savings Bank	46,866.00
Watervliet City Court Bail	Bank of America, N.A.	367.20
Watervliet Revenue	Pioneer Savings Bank	31,285.50
05460 - 4TH JUDICIAL DISTRICT ADMINISTRATION		
Amsterdam City Court		
Amsterdam City Court - Bail	Key Bank	74,480.19
Amsterdam City Court - Revenue	Key Bank	31,929.00
Clinton County Surrogates		
Clinton County Surrogates - Revenue	Key Bank	1,815.75

Essex County Surrogate		
Essex Co Surrogate Clerk - Revenue	Champlain National	1,072.50
Franklin County Surrogate		
Franklin Co Surrogate Court - Revenue	Key Bank	749.50
Fulton County Surrogate		
Fulton County Surrogate's Court	Key Bank	6,052.50
Glens Falls City Court		
Glens Falls City Court Account - Revenue	Glens Falls National	16,283.06
Glens Falls City Court Bail Acct	Glens Falls National	43,506.88
Gloversville City Court		
Gloversville City Court Bail	NBT Bank	20,577.35
Gloversville City Court Revenue	NBT Bank	9,588.80
Hamilton Surrogate		
Hamilton Surrogate - Revenue	Community Bank	0.00
Johnstown City Court		
City Of Johnstown Bail Account - Bail	Key Bank	19,480.33
Johnstown City Court Fines/Fees - Revenue	Key Bank	9,807.85
Mechanicville City Court		
Mechanicville City Court Bail	TD Bank	6,151.01
Mechanicville City Ct Revenue Acct	TD Bank	11,025.72
Montgomery County Surrogate		
Montgomery County Surrogates Court - Revenue	NBT Bank	918.00
Ogdensburg City Court		
Ogdensburg City Court Int Bail	Community Bank	16,226.38
Ogdensburg City Court Revenue	Community Bank	4,830.29
Plattsburgh City Court		
Plattsburgh City Court - Bail	Glens Falls National	161,808.64
State Of NY Plattsburgh City Court - Revenue	Glens Falls National	21,206.21
Saratoga County Surrogate		
Saratoga County Surrogate - Revenue	Ballston Spa National Bank	3,272.00
Saratoga Springs City Court		
Saratoga Springs Bail Account	The Adirondack Trust Company	99,228.00
Saratoga Springs City Revenue Acct	The Adirondack Trust Company	20,495.22
Schenectady City Court		
Schenectady City Court- Bail	Bank of America, N.A.	62,285.41
Schenectady City Court Revenue	Bank of America, N.A.	50,892.08
Schenectady Surrogate		
Schenectady Surrogate Court - Revenue	Key Bank	0.00
St. Lawrence Co Surrogate		
St. Lawrence County Surrogate - Revenue	Community Bank	1,703.00
Warren County Surrogate		
Warren County Surrogate Court - Revenue	TD Bank	1,115.50
Washington Surrogates		
Washington Surrogate Revenue	TD Bank	324.50
05560 - 5TH JUDICIAL DISTRICT ADMINISTRATION		
Fulton City Court		
Fulton City Court Bail Acct	Key Bank	8,990.16
Fulton City Court Revenue	Key Bank	10,957.80
Herkimer Surrogate		
Herkimer Surrogate - Revenue	Partners Trust	1,821.00
Jefferson Surrogates		
Jefferson Co Surrogate Revenue	Key Bank	3,095.50
Lewis County Surrogates		
Lewis County Surrogate Court - Revenue	Key Bank	650.25
Little Falls City Court		
Little Falls City Court Bail	Bank of America, N.A.	5,500.00
Little Falls City Court Revenue	M&T Bank	5,839.00
Oneida County Combined		
Oneida County Combined Court	Adirondack Bank	8,305.00
Oneida County Surrogates		
Oneida County Surrogate Court Revenue	The Adirondack Trust Company	29,097.75
Onondaga County Surrogates		
Onondaga Surrogate Court - Revenue	Alliance Bank	12,754.75
Oswego City Court		
Oswego City Court Bail Acct	JPMorgan Chase Bank, N.A.	15,146.54
Oswego City Court Revenue	JPMorgan Chase Bank, N.A.	25,360.82
Oswego Surrogate Court		
Oswego County Surrogate Court - Revenue	Key Bank	975.25
Rome City Court		
City Court Of Rome Bail Account - Bail	Bank of America, N.A.	76,525.50
Rome City Court - Revenue	Bank of America, N.A.	46,143.69
Sherrill City Court		
Sherrill City Court 5th Jud Dist - Bail	Alliance Bank	500.00
Sherrill City Court Fees - Revenue	Alliance Bank	1,767.00

Syracuse City Court		
Syracuse City Court - Bail	Alliance Bank	No report received
Syracuse City Court - Fees - Revenue	Alliance Bank	No report received
Utica City Court		
Utica City Court Criminal Bail	Bank of Utica	83,411.00
Utica City Court Revenue Account	Key Bank	52,507.62
Watertown City Court		
Watertown City Court Bail	Key Bank	93,685.07
Watertown City Court Fees & Fines - Revenue	Key Bank	17,911.04
05661 - 6TH JUDICIAL DISTRICT ADMINISTRATION		
Binghamton City Court		
Binghamton City Court Bail	M&T Bank	93,174.25
Binghamton City Court Revenue	M&T Bank	35,737.63
Broome Surrogates		
SNY UCS Broome County Surrogates Court	Wells Fargo Bank	11,367.25
Chemung County Surrogates		
SNY UCS Chemung County Surrogates Court	Wells Fargo Bank	3,855.50
Chenango County Surrogates		
SNY UCS Chenango County Surrogates Court	Wells Fargo Bank	3,469.75
Cortland City Court		
Court City Court Bail	NBT Bank	56,545.54
Court City Court- Revenue	NBT Bank	16,454.20
Cortland County Surrogates		
SNY UCS Cortland County Surrogates Court	Wells Fargo Bank	508.75
Delaware County Surrogates		
Delaware County Surrogate - Revenue	Delaware National Bank	987.75
Elmira City Court		
Elmira City Court - Revenue Account	Chemung Canal Trust	12,099.22
Elmira City Court Bail	Chemung Canal Trust	65,507.08
Ithaca City Court		
Ithaca City Court	Tompkins County Trust	9,060.00
Ithaca City Court Revenue	Tompkins County Trust	29,543.30
Madison County Surrogates		
SNY UCS Madison County Surrogates Court	Wells Fargo Bank	1,105.25
Norwich City Court		
Norwich City Court Bail Acct	NBT Bank	15,220.00
Norwich City Court Revenue Acct	NBT Bank	3,986.53
Oneida City Court		
Oneida City Court Bail Account	JPMorgan Chase Bank, N.A.	26,389.50
Oneida City Court Fee & Fine - Revenue	JPMorgan Chase Bank, N.A.	6,046.72
Oneonta City Court		
Oneonta City Court - Revenue	Community Bank	9,763.00
Oneonta City Court Bail Account	Community Bank	59,565.70
Otsego County Surrogates		
Otsego County Surrogates Court - Revenue	Key Bank	2,984.00
Schuyler County Surrogates		
Schuyler County Surrogates Court	Community Bank	440.50
Tioga County Surrogates		
Tioga Surrogates Court - Revenue	M&T Bank	1,229.00
Tompkins County Surrogates		
SNY UCS Tompkins County Surrogates Court	Wells Fargo Bank	1,412.25
05761 - 7TH JUDICIAL DISTRICT ADMINISTRATION		
Auburn City Court		
Auburn City Court Bail Acct	Key Bank	89,232.90
Auburn City Court Fees & Fines - Revenue	Key Bank	18,836.45
Canandaigua City Court		
Canandaigua City Court Bail Acct	Canandaigua National Bank	56,500.00
Canandaigua City Court Revenue	Canandaigua National Bank	29,224.00
Cayuga County Surrogates		
Cayuga Surrogate Court	Wells Fargo Bank	2,734.00
Corning City Court		
Corning City Court - Revenue	Community Bank	11,052.00
Corning City Court Bail	M&T Bank	55,470.50
Geneva City Court		
Geneva City Court Bail Account	Wells Fargo Bank	45,817.50
Geneva City Court Revenue Account	Wells Fargo Bank	17,631.66
Hornell City Court		
Hornell City Court Bail Account	Steuben Trust Co.	17,901.22
Hornell City Court Revenue	Steuben Trust Co.	3,301.00
Livingston County Surrogates		
Livingston Surrogate Court	Wells Fargo Bank	708.00
Monroe County Surrogates		
7th District Monroe Surrogate	Wells Fargo Bank	22,607.00
Ontario County Surrogates		

Ontario Surrogate Court	Wells Fargo Bank	4,656.25
Rochester City Court		
Rochester City Court Bail Account	M&T Bank	613,867.07
Rochester City Revenue	M&T Bank	32,971.33
Seneca County Surrogates		
Seneca Surrogate Court	Wells Fargo Bank	664.75
Steuben County Surrogates		
7th District Steuben Surrogate	Wells Fargo Bank	7,120.00
Wayne County Surrogates		
Wayne Surrogate Court	Wells Fargo Bank	1,297.00
Yates County Surrogates		
Yates Surrogate Court	Wells Fargo Bank	916.50
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	719.00
Batavia City Court		
Batavia City Bail Account	M&T Bank	38,190.00
Batavia City Court Revenue	M&T Bank	11,308.50
Buffalo City Court		
Buffalo City Bail Account	M&T Bank	299,269.18
Buffalo City Revenue Account	M&T Bank	44,859.36
Cattaraugus County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Cattaraugus Surrogate Court	Wells Fargo Bank	1,556.00
Chautauqua County Surrogates Court		
ST of NY Office of the State Comptroller State of New York Unified Courts Chautauqua Surrogate Court	Wells Fargo Bank	1,822.00
Dunkirk City Court		
Dunkirk City - Revenue	Key Bank	6,202.00
Dunkirk City Court - Bail	Key Bank	29,876.00
Erie - Buffalo County Law Library		
Sur Ct Lib At Buffalo - Revenue	M&T Bank	57.30
Erie County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Erie Surrogate Court	Wells Fargo Bank	41,868.90
Genesee County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Genesee Surrogate Court	Wells Fargo Bank	1,019.00
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	48,106.70
State of New York Office of Court Administration Jamestown City Court Revenue	Key Bank	13,106.02
Lackawanna City Court		
Lackawanna City Court Bail Account	Key Bank	11,389.00
Lackawanna City Court Revenue Account	Key Bank	25,469.12
Lockport City Court		
Lockport City - Bail	Key Bank	65,597.10
Lockport City HESC EFT Account - Revenue	Key Bank	22,135.40
Niagara City Court		
Niagara Falls Bail Bond Account	M&T Bank	85,539.05
Niagara City Court - Criminal		
City Court Of Niagara Falls Criminal - Revenue	M&T Bank	35,601.80
Niagara County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Niagara Surrogate Court	Wells Fargo Bank	5,601.00
No. Tonawanda City Court		
N. Tonawanda City Court Bail	M&T Bank	48,290.50
N. Tonawanda City Court Revenue	M&T Bank	29,081.10
Olean City Court		
Olean City Court Bail Account	Community Bank	14,146.25
Olean City Court Revenue Account	Community Bank	10,413.64
Orleans County Surrogates		
ST of NY Office of The State Comptroller State of New York Unified Courts Orleans Surrogate Court	Wells Fargo Bank	2,510.00
Salamanca City Court		
Salamanca City Court Bail	Community Bank	7,590.00
Salamanca City Court City Judge - Revenue	Community Bank	8,448.40
Tonawanda City Court		
Tonawanda City Court Bail	M&T Bank	87,684.28
Tonawanda City Court Revenue	M&T Bank	29,329.20
Wyoming County Surrogates		
ST of NY Office of the State Comptroller State of New York Unified Courts Wyoming Surrogate Court	Wells Fargo Bank	1,014.00
05960 - 9TH JUDICIAL DISTRICT ADMINISTRATION		
Beacon City Court		
Beacon City Court Bail Account - Bail	JPMorgan Chase Bank, N.A.	36,509.52
Beacon City Fines Account - Revenue	JPMorgan Chase Bank, N.A.	50,766.25
Dutchess County Surrogates Court		
Dutchess County Surrogate Court - Revenue	JPMorgan Chase Bank, N.A.	37,975.50
Middletown City Court		
Middletown City Bail Escrow - Bail	JPMorgan Chase Bank, N.A.	91,579.25

Middletown City Court Revenue	JPMorgan Chase Bank, N.A.	64,136.54
Mt. Vernon City Court		
Mt Vernon City Court State Revenue	JPMorgan Chase Bank, N.A.	83,544.27
Mt Vernon City Trust - Bail	JPMorgan Chase Bank, N.A.	231,259.40
New Rochelle City Court		
New Rochelle City Court Bail	JPMorgan Chase Bank, N.A.	359,233.19
New Rochelle City Court Revenue	JPMorgan Chase Bank, N.A.	63,131.92
Newburgh City Court		
Newburgh Bail Account	Wells Fargo Bank	51,212.15
Newburgh City Court Revenue	Wells Fargo Bank	19,961.74
Orange County Surrogates Court		
Orange Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	9,836.50
Peekskill City Court		
Peekskill City Court Revenue	JPMorgan Chase Bank, N.A.	19,506.11
Peekskill City Court		
Peekskill City Court - Bail	JPMorgan Chase Bank, N.A.	113,190.54
Port Jervis City Court		
Port Jervis Bail Account - Bail	JPMorgan Chase Bank, N.A.	101,650.10
Port Jervis Revenue Account - Revenue	JPMorgan Chase Bank, N.A.	28,959.10
Poughkeepsie		
Poughkeepsie City Court -Bail	Wells Fargo Bank	131,714.33
Poughkeepsie City Court -Revenue	Wells Fargo Bank	96,748.92
Putnam Co Surrogate's Court		
Putnam Co Surrogates Court	Putnam County National Bank	14,354.75
Rockland County Surrogates Court		
Rockland Co Surrogates Court - Revenue	JPMorgan Chase Bank, N.A.	14,694.31
Rye City Court		
City Of Rye Bail Account	JPMorgan Chase Bank, N.A.	39,237.33
City Of Rye Fines And Fees - Revenue	JPMorgan Chase Bank, N.A.	33,473.00
Westchester County Surrogates Court		
Westchester Co Surrogates Fees - Revenue	JPMorgan Chase Bank, N.A.	82,910.50
White Plains City Court		
White Plains City Court Bail Account	Sterling Bank	183,779.30
White Plains City Court		
White Plains City Court Vehicle And Traffic Acct - Revenue	Sterling Bank	101,249.90
Yonkers City Court		
Yonkers City Bail Account- Bail	Sterling Bank	354,380.11
Yonkers City State Account - Revenue	Sterling Bank	4,474.40
Yonkers City Court - Escrow		
Yonkers City Escrow Account - Bail	Sterling Bank	15,502.76
Yonkers City Court - State Fund		
Yonkers City State Fund Account - Revenue	Sterling Bank	113,327.57
06000 - AGRICULTURE & MARKETS		
Administration Account	Key Bank	10,282.77
Agency Advance Account	Key Bank	10,000.00
Agriculture Producers Sec Fund	Key Bank	24,787.00
Animal Population Control Account	Key Bank	45,890.13
Apple Marketing Order Fund	Key Bank	25,148.60
Consumer Food Industry Account	Key Bank	50,562.48
Dairy Industry Services Account	Key Bank	15,523.51
Dairy Promotion Order Fund	Key Bank	5,911.66
Farm Products Grading	JPMorgan Chase Bank, N.A.	243,947.53
Milk Producers Security Fund	Key Bank	35,406.49
NYS Farmers Market Program	Key Bank	758,039.38
NYS WNY Milk Mktg Area Administration Fund	M&T Bank	126.07
NYS WNY Milk Mktg Area Equalization Fund	M&T Bank	11,741.06
NYS WNY Milk Mktg Area Equalization Fund Savings	M&T Bank	318.68
Onion Marketing Order	Key Bank	0.00
Plants Industry Account	Key Bank	13,643.46
Pride of NY	Key Bank	6,266.98
Sour Cherry Marketing Fund	Key Bank	0.00
State Fair Premium Award Account	Solvay Bank	62,923.17
Weights & Measures Account	Key Bank	8,131.84
State Fair		
NYS Fair Operating Account	Solvay Bank	119,085.46
NYS Fair Petty Cash/Travel	Solvay Bank	1,404.01
NYS Fair Special Account	Solvay Bank	218.69
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.	10,593.00
Examination Application Fees Account	Key Bank	34,690.00
NYS Affirmative Action Advisory Account	Bank of America, N.A.	5,141.90
NYS Department of Civil Service	US Bank	60,308,444.36

08010 - PUBLIC EMPLOYEE RELATIONS BOARD		
Petty Cash And Travel Advance Account	Key Bank	No report received
09000 - DEPARTMENT OF ENVIRONMENTAL CONSERVATION		
Albany		
Asharoken Feasibility Study	JPMorgan Chase Bank, N.A.	33,886.92
Bayville Feasibility Study	JPMorgan Chase Bank, N.A.	488,545.50
Conservation Petty Cash Account	M&T Bank	29,924.24
DEC/Exchange Account	M&T Bank	11,960.98
ENCON License Issuing Office	M&T Bank	2,962.00
ENCON/Montauk Point Feasibility Study	JPMorgan Chase Bank, N.A.	7,129.40
ENCON/South Shore Of Staten Island	JPMorgan Chase Bank, N.A.	22,679.20
Harbor Drift Removal Proj	JPMorgan Chase Bank, N.A.	1,545,370.36
Hunting Trapping & Fishing Account	M&T Bank	101,894.75
Lake Montauk Harbor	JPMorgan Chase Bank, N.A.	233,812.95
Lockbox Account	Wells Fargo Bank	127,021.64
Mattituck Inlet	JPMorgan Chase Bank, N.A.	1,315.13
NY Conservationist	Bank of America, N.A.	42,285.11
Program Fee	JPMorgan Chase Bank, N.A.	8,057.16
Revenue Account	Bank of America, N.A.	1,586,317.93
Rockaway Beach Study & Project	JPMorgan Chase Bank, N.A.	1,251,695.85
SNY Dept Of Environmental Conservation	JPMorgan Chase Bank, N.A.	0.00
State of New York	Key Bank	93,614.03
US Army Coe - Moriches Project	JPMorgan Chase Bank, N.A.	11,049.92
Westhampton Project Escrow	JPMorgan Chase Bank, N.A.	253,665.10
Region 1		
Marine Permit Account	Bank of Smithtown	129,425.30
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	9,568.74
NYS Conservation	Glens Falls National	1.00
Recreation (Warrensburg)	City National Bank & Trust	49.51
Region 5	Citizens Bank	38.03
Region 5	NBT Bank	9,683.40
Tree Nursery	Bank of America, N.A.	2,517.00
Region 6		
Fish & Wildlife Watertown	Key Bank	121.92
Lands & Forest District #7	Community Bank	91.60
Lands & Forests District #6	Community Bank	9,305.00
Lands And Forests District 10	M&T Bank	19.90
SNY Dept Of Environmental Conserv	Community Bank	14.05
Region 7		
Div Of Fish & Wildlife	Alliance Bank	0.00
Lands & Forests District #3	Alliance Bank	0.00
Regional Office Checking Acct	JPMorgan Chase Bank, N.A.	0.00
Region 8		
Lands & Forests Dist No. 14	Five Star Bank	0.00
10000 - ATTICA CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	1,010.17
CD Spendable	Five Star Bank	220,000.00
Employee Benefit Fund	Five Star Bank	22,698.15
General Cash Fund	Five Star Bank	14,807.62
Inmate Occupational Therapy Fund	Five Star Bank	123,768.76
Inmate Savings Account	Five Star Bank	252,825.51
Spendable Fund	Five Star Bank	134,149.59
10010 - AUBURN CORRECTIONAL FACILITY		
Advance Account	Bank of America, N.A.	8,056.93
Advance Account	Key Bank	109.69
Certificate of Deposit	Bank of America, N.A.	15,000.00
Certificate of Deposit	Bank of America, N.A.	20,000.00
Certificate of Deposit	Bank of America, N.A.	90,000.00
Inmate Occupational Therapy Fund	Bank of America, N.A.	14,711.17
Inmate Occupational Therapy Fund	Key Bank	9,789.94
Inmate Spendable Account	Bank of America, N.A.	128,073.95
Inmate Spendable Account	Key Bank	392,681.03
Inmate Spendable Savings CD	Key Bank	0.00
Misc Receipts	Bank of America, N.A.	3,327.06
Misc Revenue	Key Bank	458.32
Money Market	Bank of America, N.A.	35,000.00

10020 - CLINTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	12,460.74
Employee Benefit Fund	Key Bank	12,982.26
General Fund	Key Bank	2,592.30
Inmate Funds	Key Bank	279,294.50
Inmate Funds Money Market Account	Key Bank	691,010.18
Inmate Occupational Therapy Acct	Key Bank	129,933.43
10030 - WATERTOWN CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,074.60
Inmate Occupational Therapy Fund	Key Bank	12,330.26
Inmate Spendable Funds	Key Bank	25,689.70
Inmate Spendable Savings Account	Key Bank	90,426.26
Miscellaneous Receipts	Key Bank	12,947.13
10040 - GREAT MEADOW CORRECTIONAL FACILITY		
Certificate of Deposit	Glens Falls National	150,000.00
Certificate of Deposit	Glens Falls National	100,000.00
Certificate of Deposit	Glens Falls National	25,000.00
Employee Assistance Program	Glens Falls National	941.69
Employee Benefit Fund	Glens Falls National	5,656.74
Facility Advance	Glens Falls National	3,567.74
General Fund Account	Glens Falls National	14,323.00
Inmate Fund	Glens Falls National	86,798.13
Inmate Fund Savings Account	Glens Falls National	152,500.00
Occupational Therapy	Glens Falls National	14,874.06
10050 - FISHKILL CORRECTIONAL FACILITY		
Agency Advance	M&T Bank	2,624.32
Employee Benefits	M&T Bank	13,933.18
Inmate Spending Account	M&T Bank	637,724.08
Inmates Account	M&T Bank	462,251.50
Inmates Benefit	M&T Bank	58,963.08
Misc Receipts	M&T Bank	44,374.22
Occupational Therapy Account	M&T Bank	17,004.00
10060 - WALLKILL CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,435.64
Employee Benefit	Key Bank	2,082.85
Inmate Occupational Therapy Fund	Key Bank	34,627.93
Inmate Savings Account	Key Bank	87,910.85
Inmates Fund Account	Key Bank	80,649.73
Misc. Receipts	Key Bank	30,120.98
10070 - SING SING CORRECTIONAL FACILITY		
Cash Advance	JPMorgan Chase Bank, N.A.	3,396.03
Cash Advance	Sleepy Hollow National Bank	0.00
Inmate Interest Funds	JPMorgan Chase Bank, N.A.	0.00
Inmate Spending	JPMorgan Chase Bank, N.A.	16,599.28
Inmate Spending	Sleepy Hollow National Bank	20,450.19
Misc Receipts	JPMorgan Chase Bank, N.A.	57,105.87
Misc Receipts	Sleepy Hollow National Bank	0.00
Money Market	Sleepy Hollow National Bank	451,808.60
Occupational Therapy	JPMorgan Chase Bank, N.A.	116,432.51
Occupational Therapy	Sleepy Hollow National Bank	382.27
Quality Work Life	JPMorgan Chase Bank, N.A.	38,098.67
10080 - GREEN HAVEN CORRECTIONAL FACILITY		
Advance Account	Key Bank	1,423.17
General Fund	Key Bank	42,278.19
Inmates Money Market	Key Bank	286,923.08
Inmates Now Checking	Key Bank	676,044.83
Occupational Therapy Fund	Key Bank	112,375.60
10090 - ALBION CORRECTIONAL FACILITY		
Albion Advance Account	Bank of America, N.A.	3,232.75
Employee Benefit Fund	Bank of America, N.A.	14,211.58
Inmate Funds	Bank of America, N.A.	180,793.32
Inmate Funds Savings	Bank of America, N.A.	103,500.17
Misc Receipts	Bank of America, N.A.	2,932.40
Occupational Therapy	Bank of America, N.A.	26,754.93
10100 - EASTERN NEW YORK CORRECTIONAL FACILITY		
Agency Advance Account	Sterling Bank	1,976.02
Employee Benefit Fund	Sterling Bank	8,659.88
ID Now 3 Month CD	M&T Bank	50,102.55
Inmate Deposit Now Account	Sterling Bank	271,173.58
Inmate Occupational Therapy Account	Sterling Bank	20,496.13
Misc. Receipts	Sterling Bank	2,021.17
10110 - ELMIRA CORRECTIONAL & RECEPTION CENTER		
Agency Advance Account	Chemung Canal Trust	2,169.33
ECF Clubhouse	Chemung Canal Trust	24,131.70

Employee Benefit Fund	Chemung Canal Trust	15,584.60
Inmate CD Account	M&T Bank	213,268.08
Inmates Fund	Chemung Canal Trust	425,723.93
Miscellaneous Receipts	Chemung Canal Trust	1,060.15
Occupational Therapy Fund	Chemung Canal Trust	64,621.89
10120 - BEDFORD HILLS CORRECTIONAL FACILITY		
Advance Account	JPMorgan Chase Bank, N.A.	4,338.01
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	2,573.11
Inmate Funds	JPMorgan Chase Bank, N.A.	144,000.24
Inmate Funds CD	JPMorgan Chase Bank, N.A.	90,000.00
Inmate Funds Money Market	JPMorgan Chase Bank, N.A.	20,377.30
Misc. Receipts	JPMorgan Chase Bank, N.A.	1,205.92
Occupational Therapy	JPMorgan Chase Bank, N.A.	35,757.82
10130 - COXSACKIE CORRECTIONAL FACILITY		
Agency Advance Account	National Bank of Coxsackie	1,844.76
Employee Benefits Fund	National Bank of Coxsackie	9,253.16
Inmates Fund	National Bank of Coxsackie	105,363.32
Inmates Fund Savings Acct	National Bank of Coxsackie	23,580.00
Misc. Revenue	National Bank of Coxsackie	27,389.88
Money Market Acct	National Bank of Coxsackie	159,875.82
Occupational Therapy Acct	National Bank of Coxsackie	19,217.21
10140 - WOODBOURNE CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	652.33
CD - Inmate Funds	First National Bank of Jeffersonville	95,000.00
CD - Inmate Funds	First National Bank of Jeffersonville	50,000.00
General Fund	Bank of America, N.A.	2,997.82
Inmate Funds Checking	Bank of America, N.A.	88,950.92
Occupational Therapy Account	Bank of America, N.A.	3,384.01
WCF Agency Advance	Jeff Bank	668.95
WCF General Fund	Jeff Bank	7,470.41
WCF Inmate Fund	Jeff Bank	12,860.82
WCF Occupational Therapy Fund	Jeff Bank	53,520.96
10160 - DEPARTMENT OF CORRECTIONAL SERVICES		
Agency Advance Account	Key Bank	24,864.13
Employee Benefit Fund	Key Bank	18,962.07
Inmate Escrow Account	Key Bank	547,399.51
Misc. Receipts Account	Key Bank	236,836.02
Special Account	Key Bank	1,300.00
10170 - QUEENSBORO CORRECTIONAL FACILITY		
Agency Advance Account	JPMorgan Chase Bank, N.A.	3,548.19
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	1,806.03
Inmate Funds Account	JPMorgan Chase Bank, N.A.	98,656.24
Miscellaneous Receipts Account	JPMorgan Chase Bank, N.A.	490.44
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	1,033.76
Savings Account	JPMorgan Chase Bank, N.A.	15,450.86
10230 - ADIRONDACK CORRECTIONAL FACILITY		
ADK QWL	Community Bank	5,586.03
Agency Advance	Community Bank	790.00
Diversity Management	Community Bank	826.10
Employee Benefit Fund	Community Bank	7,029.43
General Fund	Community Bank	1,906.01
Inmate Funds	Community Bank	46,094.96
Inmate Occupational Therapy Fund	Community Bank	7,898.41
Inmate Savings Money Market	Community Bank	67,228.25
Make A Difference Day	Community Bank	40.14
10240 - DOWNSTATE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	1,289.32
Employee Recreational Funds	JPMorgan Chase Bank, N.A.	9,953.76
Inmate Fund	JPMorgan Chase Bank, N.A.	275,443.70
Inmates Funds Savings	JPMorgan Chase Bank, N.A.	79,414.54
Misc. Receipts	JPMorgan Chase Bank, N.A.	24,497.73
Occupational Therapy	JPMorgan Chase Bank, N.A.	59,022.83
10250 - TACONIC CORRECTIONAL FACILITY		
Inmate Funds	JPMorgan Chase Bank, N.A.	69,423.95
Misc. Revenue	JPMorgan Chase Bank, N.A.	250.60
Money Market	JPMorgan Chase Bank, N.A.	30,644.62
Occupational Therapy Fund	JPMorgan Chase Bank, N.A.	24,750.52
Taconic Advance Account	JPMorgan Chase Bank, N.A.	3,316.49
10270 - HUDSON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,833.82
Employee Benefit Fund Account	Key Bank	1,996.00
Inmate Funds Account	Key Bank	43,260.48
Inmate Key Advantage Account	Key Bank	65,193.13
Inmate Occupational Therapy Account	Key Bank	7,861.91

Miscellaneous Receipts Account	Key Bank	2,214.69
10290 - OTISVILLE CORRECTIONAL FACILITY		
Cash Advance	Jeff Bank	598.55
General Fund	Jeff Bank	16,620.80
Inmate Funds	Jeff Bank	205,055.20
Inmate Occupational Therapy	Jeff Bank	48,192.73
Inmate Savings	Jeff Bank	51,212.68
Inmate Savings CD	Hometown Bank	76,353.26
10300 - ROCHESTER CORRECTIONAL FACILITY		
Consolidated Advance Account	M&T Bank	1,394.99
Employee Recreation Fund	M&T Bank	791.86
Inmate Deposit Account	M&T Bank	143,448.69
Inmate Occupational Therapy	M&T Bank	26.26
Misc Fees	M&T Bank	56.00
Work Release Advance Account	M&T Bank	3,940.00
10320 - EDGECOMBE CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	807.00
Employee Benefit Account	JPMorgan Chase Bank, N.A.	1,893.99
Inmate Cash Account	JPMorgan Chase Bank, N.A.	82,509.25
Misc. Receipts Account	JPMorgan Chase Bank, N.A.	0.00
Occupational Therapy Acct	JPMorgan Chase Bank, N.A.	2,071.74
Work Release Account	JPMorgan Chase Bank, N.A.	0.00
10350 - OGDENSBURG CORRECTIONAL FACILITY		
Agency Advance Account	Community Bank	2,529.37
Inmate Fund	Community Bank	76,750.26
Inmate Savings	Community Bank	45,179.79
Misc. Receipts	Community Bank	59.35
Occupational Therapy	Community Bank	14,748.48
10360 - LINCOLN CORRECTIONAL FACILITY		
Agency Advance	JPMorgan Chase Bank, N.A.	2,210.91
Employee Benefit Fund	JPMorgan Chase Bank, N.A.	5,665.91
General Fund	JPMorgan Chase Bank, N.A.	2,736.67
Inmate Funds	JPMorgan Chase Bank, N.A.	451,802.68
Inmate Savings	JPMorgan Chase Bank, N.A.	59,655.10
Lincoln Work Release Account	JPMorgan Chase Bank, N.A.	455.00
Occupational Therapy	JPMorgan Chase Bank, N.A.	4,595.89
10370 - FIVE POINTS CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	943.46
EBF Checking	Five Star Bank	27,840.59
EBF Savings	Five Star Bank	45,741.47
Inmate Savings	Five Star Bank	357,773.60
Inmate Spendable	Five Star Bank	180,467.39
Misc Receipts	Five Star Bank	829.92
Occupational Therapy	Five Star Bank	23,888.51
10390 - MOHAWK CORRECTIONAL FACILITY		
Agency Advance	Key Bank	382.40
Employee Benefit Fund Checking	Bank of America, N.A.	24,420.63
Inmate Funds Checking	Key Bank	265,626.15
Inmate Funds Savings	Key Bank	313,417.94
Miscellaneous Revenue	Key Bank	1,373.06
Occupational Therapy	Key Bank	17,094.59
10430 - WENDE CORRECTIONAL FACILITY		
Consolidated Advance	Alden State Bank	3,693.95
Employee Benefit Account	Alden State Bank	46,798.51
Inmate Savings	Alden State Bank	194,893.39
Inmates Funds	Alden State Bank	164,262.73
Misc. Receipts	Alden State Bank	24,040.17
Occupational Therapy	Alden State Bank	51,820.56
10441 - DEPARTMENT OF CORRECTIONAL SERVICES-FOOD PRODUCTION CENTER		
Office of Nutritional Services		
Miscellaneous Receipts	Key Bank	42,137.57
10450 - GOWANDA CORRECTIONAL FACILITY		
Advance Account	Evans National Bank	2,109.70
Employee Benefit Fund	Evans National Bank	18,695.41
Inmate Funds	Evans National Bank	62,476.83
Inmate Funds - CD	Evans National Bank	133,698.86
Inmate Funds Savings	Evans National Bank	213,570.91
Miscellaneous Revenue	Evans National Bank	4,096.16
Occupational Therapy	Evans National Bank	12,614.25
10460 - GROVELAND CORRECTIONAL FACILITY		
Agency Advance Account	Five Star Bank	2,002.39
Employee Commission Account	Five Star Bank	11,717.62
Inmate Funds Account	Five Star Bank	117,613.43
Inmate Funds Account - Savings	Five Star Bank	132,992.79

Miscellaneous Receipts Account	Five Star Bank	5,546.96
Occupational Therapy Account	Five Star Bank	18,963.12
10470 - COLLINS CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,209.68
Employee Activities	Community Bank	48,275.26
Inmate Fund Checking	Community Bank	110,387.67
Inmate Savings	Community Bank	130,447.92
Miscellaneous Revenue	Community Bank	6,470.97
Occupational Therapy	Community Bank	16,493.88
10480 - MID-STATE CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,571.19
Employee Benefit Fund	Bank of America, N.A.	34,762.21
Inmate Funds	Key Bank	228,271.65
Inmate Savings	Key Bank	198,079.85
Misc. Revenue	Key Bank	1,064.11
Occupational Therapy	Key Bank	42,770.23
10490 - MARCY CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	3,682.65
Employee Benefit Fund Account	Bank of America, N.A.	14,674.25
Inmate Fund Account	Key Bank	91,251.72
Inmate Funds Checking	Key Bank	0.00
Misc receipts Acct	Key Bank	204.93
NYS DOCS Marcy Corr Facility	Key Bank	206,108.30
Occupational Therapy fund Acct	Key Bank	35,997.67
10500 - NYC CENTRAL ADMINISTRATION		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	2,394.76
Misc Receipts	JPMorgan Chase Bank, N.A.	509.17
10501 - CENTRAL PHARMACY		
NYS Docs Central Pharmacy Advance Acct	Bank of America, N.A.	1,000.00
10510 - MORIAH SHOCK INCARCERATION CORRECTIONAL FACILITY		
Moriah Shock Incarceration Advance Acct	Glens Falls National	1,800.00
Moriah Shock Incarceration Employee Benefit Fund	Glens Falls National	5,030.01
Moriah Shock Incarceration Occ Therapy	Glens Falls National	3,531.07
Moriah Shock Misc Receipts	Glens Falls National	0.00
NYS Moriah Shock Incarceration Inmate Checking	Glens Falls National	43,520.71
10530 - FRANKLIN CORRECTIONAL FACILITY		
Advance Account	Key Bank	4,639.08
Employee Benefit Account	Key Bank	7,966.91
Inmate Funds	Key Bank	143,166.54
Inmate Occupational Therapy	Key Bank	21,413.68
Inmate Savings	Key Bank	217,006.42
Misc. Receipts	Key Bank	5,296.93
10540 - ALTONA CORRECTIONAL FACILITY		
Cons Adv Travel Petty Cash	NBT Bank	2,753.85
Employees Vending Benefit	NBT Bank	9,947.26
Inmates Funds	NBT Bank	92,114.64
Misc Revenues General Fund	NBT Bank	1,021.36
Occupational Therapy	NBT Bank	8,106.58
10550 - CAYUGA CORRECTIONAL FACILITY		
Agency Advance	First National Bank of Groton	1,123.94
Cert Of Deposit	First National Bank of Groton	86,422.15
Employee Benefit Fund	First National Bank of Groton	5,102.96
Inmate Occupational Therapy Account	First National Bank of Groton	22,965.50
Inmate Spendable	First National Bank of Groton	208,301.72
Inmate Spendable	First National Bank of Groton	0.00
Misc Receipts	First National Bank of Groton	1,741.04
10560 - BARE HILL CORRECTIONAL FACILITY		
Agency Advance	Key Bank	1,576.69
Employee Benefit Fund	Key Bank	9,791.86
Inmate Spendable Funds	Key Bank	176,721.17
Key Public Money Market Checking	Key Bank	236,313.08
Miscellaneous Receipts	Key Bank	464.53
Occupational Therapy	Key Bank	18,295.71
10570 - RIVERVIEW CORRECTIONAL FACILITY		
Agency Advance Account	Key Bank	1,029.78
Inmate Accounts	Key Bank	92,608.76
Inmate Savings Account	Key Bank	105,314.14
Miscellaneous Receipts Account	Key Bank	3,773.50
Occupational Therapy	Key Bank	13,896.06
10580 - CAPE VINCENT CORRECTIONAL FACILITY		
Advance Account	Community Bank	1,895.45
Employee Benefit Fund	Community Bank	40,243.36
Inmate Occupation Therapy Acct	Community Bank	15,859.18
Inmate Savings	Community Bank	206,523.28

Inmate Spendable Account	Community Bank	88,890.18
Miscellaneous Receipts Account	Community Bank	3,991.10
10600 - LAKEVIEW SHOCK INCARCERATION CORRECTIONAL FACILITY		
Agency Advance	Community Bank	3,519.37
Employee Benefit Fund	Community Bank	8,309.61
Inmate Funds	Community Bank	43,264.41
Inmate Funds - Sav	Community Bank	94,635.21
Miscellaneous Revenue	Community Bank	1,127.00
Occupational Therapy	Community Bank	3,414.30
10610 - ULSTER CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	292.15
Agency Advance	M&T Bank	1,040.00
Employee Benefit Fund	Bank of America, N.A.	6,734.69
Employee Benefit Fund	M&T Bank	143.79
Inmate Fund	Bank of America, N.A.	55,657.31
Inmate Fund	M&T Bank	34,043.41
Inmate Funds Savings	Bank of America, N.A.	12,280.54
Inmate Funds Savings	M&T Bank	0.00
Misc Receipts	M&T Bank	0.00
Misc. Receipts	Bank of America, N.A.	343.28
Occupational Therapy	Bank of America, N.A.	11,474.06
Occupational Therapy	M&T Bank	667.76
10630 - SOUTHPORT CORRECTIONAL FACILITY		
Advance Account	Chemung Canal Trust	407.74
Employee Benefit Fund	Chemung Canal Trust	20,103.17
Inmate Funds	Chemung Canal Trust	103,786.95
Inmate Funds Account	Chemung Canal Trust	40,905.13
Misc. Receipts Account	Chemung Canal Trust	362.44
Occupational Therapy Account	Chemung Canal Trust	23,244.86
10640 - ORLEANS CORRECTIONAL FACILITY		
Agency Advance	Bank of America, N.A.	3,045.03
Employee Benefit Fund	Bank of America, N.A.	7,257.71
Inmate Funds	Bank of America, N.A.	62,902.12
Inmate Savings	Bank of America, N.A.	177,410.42
Miscellaneous Receipts	Bank of America, N.A.	9,750.98
Occupational Therapy	Bank of America, N.A.	31,384.57
10650 - WASHINGTON CORRECTIONAL FACILITY		
Advance Account	Key Bank	2,401.93
General Account	Key Bank	0.00
Inmate Account	Key Bank	171,075.36
Inmate Funds Account Certificate Of Deposit	Glens Falls National	78,243.77
Inmate Savings Account	Key Bank	14,324.29
Occupational Therapy Account	Key Bank	20,311.84
10660 - WYOMING CORRECTIONAL FACILITY		
Agency Advance	Five Star Bank	5,399.81
Employee Benefit Fund	Five Star Bank	11,760.91
Inmate Occupational Therapy	Five Star Bank	39,851.63
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings - Certificate of Deposit	Five Star Bank	25,000.00
Inmate Savings Account	Five Star Bank	51,146.35
Inmate Savings-Certificate of Deposit	Five Star Bank	25,000.00
Inmate Spendable	Five Star Bank	165,726.38
Misc. Receipts Account	Five Star Bank	54,279.04
10670 - GREENE CORRECTIONAL FACILITY		
Consolidated Advance	National Bank of Coxsackie	401.73
Inmate Accounts	National Bank of Coxsackie	117,314.27
Inmate Savings	National Bank of Coxsackie	202,364.58
Misc. Receipts	National Bank of Coxsackie	838.49
Occupational Therapy	National Bank of Coxsackie	52,520.98
10680 - SHAWANGUNK CORRECTIONAL FACILITY		
Consolidated Advance Account	Key Bank	913.60
Inmate Funds	Key Bank	150,022.57
Inmates Funds Account	Key Bank	38,279.12
Misc. Receipts Account	Key Bank	36.51
Occupational Therapy Acct	Key Bank	28,497.52
10690 - SULLIVAN CORRECTIONAL FACILITY		
Consolidated Advance	Bank of America, N.A.	99.00
Consolidated Advance	Key Bank	2,189.01
Inmate Checking	Key Bank	35,110.29
Inmate Funds	Bank of America, N.A.	6,864.66
Inmate Savings	Key Bank	100,185.61
Miscellaneous	Key Bank	4,114.79
Miscellaneous Receipts	Bank of America, N.A.	146.58
Occupational Therapy	Bank of America, N.A.	144.37

Occupational Therapy	Key Bank	25,928.30
10800 - LIVINGSTON CORRECTIONAL FACILITY		
Consolidated Advance	Five Star Bank	1,492.75
Employee Benefit Fund	Five Star Bank	8,362.51
Inmate Funds CD	Five Star Bank	75,316.81
Inmate Funds Checking	Five Star Bank	76,570.72
Inmate Savings	Five Star Bank	20,240.81
Miscellaneous Receipts	Five Star Bank	2,314.33
Occupational Therapy	Five Star Bank	15,500.10
10810 - GOUVERNEUR CORRECTIONAL FACILITY		
Agency Advance	Community Bank	1,374.51
Inmate Occupational Therapy	Community Bank	25,623.85
Inmate Savings	Community Bank	214,861.64
Inmate Spendable Fund	Community Bank	126,934.42
Misc Receipts	Community Bank	15,550.19
10820 - WILLARD DRUG TREATMENT CENTER		
Consolidated Advance	Community Bank	953.15
Employee Benefit Fund	Community Bank	19,813.15
Inmate Funds	Community Bank	63,818.81
Inmate Occupational Therapy	Community Bank	6,210.67
Misc Receipts	Community Bank	293.77
10840 - UPSTATE CORRECTIONAL FACILITY-AUDIT 1		
Advance Account	Key Bank	1,889.91
Facility Committees	Key Bank	11,013.69
Inmate Fund	Key Bank	123,536.27
Inmate Fund Savings	Key Bank	190,096.83
Inmate Occupational Therapy Fund	Key Bank	8,995.74
Miscellaneous Account	Key Bank	40.20
10850 - HALE CREEK ASACTC		
Consolidated Advance	Key Bank	393.26
Employee Benefit Fund	Bank of America, N.A.	13,858.34
Inmate Funds	Key Bank	79,072.47
Inmate Interest Bearing Account	Key Bank	15,000.50
Misc Receipts	Key Bank	116.00
Occupational Therapy	Key Bank	26,493.70
10916 - CENTRAL OFFICE - INDUSTRIES		
Div of Ind Petty Cash Acct	Key Bank	3,985.00
Div of Ind Revenue Acct	Key Bank	208,404.25
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	16,147.94
Petty Cash	M&T Bank	3,476.42
Student Spending Account	Bank of America, N.A.	9,871.95
11270 - ROME SCHOOL FOR THE DEAF		
Miscellaneous Receipts	NBT Bank	4,838.29
Petty Cash	NBT Bank	1,970.00
Student Activity Fund	NBT Bank	4,295.48
11280 - ARCHIVES PARTNERSHIP TRUST		
Endowment	Janney Montgomery Scott LLC	4,559,374.71
Endowment - Special Account	Janney Montgomery Scott LLC	22,005.58
Trust's Board Project Account	Key Bank	185,925.45
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.	55,539.60
12010 - ROSWELL PARK MEMORIAL INSTITUTE		

Office Of Patient Accounts	M&T Bank	575,838.85
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	461,578.18
12180 - WESTERN NEW YORK VETERANS HOME		
Advance Account	Bank of America, N.A.	No report received
Exchange Account	Bank of America, N.A.	No report received
Maintenance Account	NBT Bank	175,269.84
Resident Funds	Bank of America, N.A.	No report received
12190 - VETERANS HOME AT MONTROSE		
Agency Advance Account	Bank of America, N.A.	No report received
Maintenance Acct	NBT Bank	524,012.00
Residence Account	Bank of America, N.A.	No report received
12200 - OFFICE OF MEDICAID INSPECTOR GENERAL		
Albany Confidential Account	Key Bank	309.59
Albany Petty Cash Account	Key Bank	429.08
NYC Confidential Account	JPMorgan Chase Bank, N.A.	422.07
14000 - DEPARTMENT OF LABOR		
Agency Advance Account	Key Bank	28,214.85
Exchange Account	Bank of America, N.A.	252,561.98
Fee And Permit Account	Key Bank	305,453.40
Min Wage & Claim Funding Acct	Key Bank	144,005.45
Minimum Wage & Wage Claim Acct	Key Bank	1,749,338.22
Misc Receipts	Bank of America, N.A.	195,563.46
U.I. Fund Clearing Account	JPMorgan Chase Bank, N.A.	8,908,014.74
UI Fund ACH Transactions	Wells Fargo Bank	100,000.00
16000 - PUBLIC SERVICE COMMISSION		
Cable Account	Key Bank	5,228.23
Petty Cash Account	Key Bank	3,550.09
Special Fee Account	Key Bank	10,325.84
17000 - NYS DEPARTMENT OF TRANSPORTATION		
Contractors Bid And Guarantee	Key Bank	64,340.95
Driver Improvement Program (DIP)	Key Bank	17,064.31
Main Office Advance For Travel	Key Bank	52,280.34
Revenue Unit	Key Bank	122,008.23
Republic Airport, Long Island		
Republic Airport Revenue Acct	JPMorgan Chase Bank, N.A.	63,192.56
19000 - DEPARTMENT OF STATE		
Atheltic	M&T Bank	No report received
Licensing Revenue Account	JPMorgan Chase Bank, N.A.	No report received
Main	M&T Bank	No report received
Petty Cash Account	Key Bank	No report received
Summons	M&T Bank	No report received
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.	266.80
JCOPE Revenue Account	Bank of America, N.A.	31,785.71
20000 - DEPARTMENT OF TAXATION & FINANCE		
Exchange	Bank of America, N.A.	124,793.50
Fee Account	Key Bank	289,357.26
IFTA Funding	JPMorgan Chase Bank, N.A.	79,548.06
Misc Tax Account - Exchange	Bank of America, N.A.	59,486.88
Petty Cash	Bank of America, N.A.	15,523.30
Tax Preparer Registration Fee (EFT)	Wells Fargo Bank	95,800.00
Waste Tire Fee (EFT)	Wells Fargo Bank	9,680.83
Waste Tire Tax	JPMorgan Chase Bank, N.A.	21,590.10
20050 - NEW YORK STATE GAMING COMMISSION		
Charitable Gaming Account	Key Bank	114,634.73
Custody Account	US Bank	4,743.84
Fingerprint Concentration Account	Key Bank	40,014.54

License Revenue Account	Bank of America, N.A.	50,379.31
Lottery Concentration Account	Key Bank	102,072.65
Lottery Prize Payment Account	Key Bank	0.00
Lottery Subscriptions Account	Key Bank	613,207.87
Petty Cash Account	Key Bank	1,034.45
Racing Refund Account	Key Bank	2,002,496.84
Video Gaming Revenue Account	Key Bank	12,900,023.54
21012 - WELFARE INSPECTOR GENERAL		
Confidential Fund	Bank of America, N.A.	15,441.89
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	12,365.67
Checking- Petty Cash Fund	Community Bank	5,000.00
Hudson River General Acct	Bank of America, N.A.	501,986.46
Money Market	Bank of America, N.A.	908.38
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	45,849.43
OSIG Petty Cash Account	Key Bank	1,410.64
Albany		
Office of the Inspector General Confidential	Bank of America, N.A.	32,739.74
21820 - STATE COMMISSION ON JUDICIAL CONDUCT		
Petty Cash Account	JPMorgan Chase Bank, N.A.	96.89
Petty Cash Account	Key Bank	381.04
Petty Cash Fund	JPMorgan Chase Bank, N.A.	940.87
21940 - NYS FINANCIAL CONTROL BOARD		
Agency Advance Acct	JPMorgan Chase Bank, N.A.	No report received
23000 - DEPARTMENT OF MOTOR VEHICLES		
Abany Central Main Acct		
Albany Central Main Acct	Wells Fargo Bank	843,373.78
Albany Central Main Exchange		
Exchange	Wells Fargo Bank	13,877.61
Albany Central Office		
Title Escrow Exchange (Albany Central Office)	Wells Fargo Bank	76,259.46
Albany TVB Sub (Albany Central Office)		
Adjudication Account	Wells Fargo Bank	114,132.30
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.	6,800.97
Andirondack Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	142,028.81
Buffalo-Region 5		
MV- Buffalo Investigator & Subpoena	M&T Bank	525.00
Capital Saratoga Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	120,397.79
Catskill Mountains		
County Fee Account	JPMorgan Chase Bank, N.A.	146,450.54
Central Leatherstocking		
County Fee Account	JPMorgan Chase Bank, N.A.	114,352.98
Chautaqua-Steuben		
County Fee Acct	JPMorgan Chase Bank, N.A.	111,651.78
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	688,000.00
Concentration (DO)(OSC)		
Concentration (DO)(OSC)	Key Bank	4,828,986.75
Confidential Fund (Albany Central Office)		
Confidential Fund	Bank of America, N.A.	3,525.00
CTY Credit Card (Albany Central Office)		
County Office Credit Card Account	JPMorgan Chase Bank, N.A.	1,465,095.45
Customer Service Counter (Albany)		
NYS DMV CSC	Wells Fargo Bank	18,393.22
D.O. Credit Card (Albany Central Office)		
District Office Credit Card Account	JPMorgan Chase Bank, N.A.	4,633,800.21
DMV Division Of Field Investigations - Albany Central Office		
Field Investigation	M&T Bank	No report received

Downstate		
Revenue Account - Downstate	Wells Fargo Bank	758,813.89
Eric County Revenue		
County Fee Account	JPMorgan Chase Bank, N.A.	145,000.22
Finger Lakes First		
County Fee Acct	JPMorgan Chase Bank, N.A.	87,035.91
Finger Lakes Second		
County Fee Acct	JPMorgan Chase Bank, N.A.	117,110.94
Genesee County		
Genesee County Clerk - DMV	Bank of Castile	No report received
Greene County		
Fee Account - Greene	Greene County Commercial Bank	No report received
Hudson Valley		
County Fee Acct	JPMorgan Chase Bank, N.A.	122,571.51
IRP (Albany Central Office)		
International Registration	M&T Bank	2,277,760.73
International Registration	Wells Fargo Bank	156,942.69
IRP Exchange (Albany Central Office)		
Irp Internet Office - Dept. MV	M&T Bank	132,018.37
Kiosk		
Kiosk Account	JPMorgan Chase Bank, N.A.	263,331.50
Long Island/Staten Island DO		
Long Island/Staten Island DO	Wells Fargo Bank	863,707.65
Nassau Region 1		
Div. of Vehicle Safety	Citibank	No report received
Niagara Frontier		
County Fee Acct	JPMorgan Chase Bank, N.A.	152,926.51
Office Fee (Albany Central Office)		
Office Fee	Wells Fargo Bank	19,491.07
Oneida County		
DMV Oneida County Fee Account	Bank of Utica	116,168.41
Oneida County Fee Account	NBT Bank	88,709.51
Petty Cash (Albany Central Office)		
Petty Cash	Bank of America, N.A.	15,658.03
Queens-Region 6		
Confidential - Queens	JPMorgan Chase Bank, N.A.	3,797.00
Rockland/Westchester DO		
Rockland/Westchester DO	Wells Fargo Bank	121,619.09
Search Exchange (Albany Central Office)		
MV Search	Key Bank	140,508.61
Search Exchange (Albany Central Office)		
MV Search	Wells Fargo Bank	642,908.67
Syracuse-Region 4		
Confidential - Syracuse	Key Bank	No report received
Thousand Island Seaway		
County Fee Acct	JPMorgan Chase Bank, N.A.	264,433.06
Travel Advance (Albany Central Office)		
Travel Advance	Bank of America, N.A.	1,875.90
TVB Acct		
TVB Acct	Wells Fargo Bank	287,528.87
TVB Credit Card (Albany Central Office)		
TVB Credit Card Receipts	JPMorgan Chase Bank, N.A.	831,823.76
Upstate DO		
Upstate District Offices (ALB, SYD, SYS, UTD)	Wells Fargo Bank	158,455.19
Utica D.O.		
Exchange Account	Bank of Utica	3,671.89
Revenue Utica	Bank of Utica	1,524,567.57
Yonkers-Region 2		
Safety Sup Automotive FAC INSP	JPMorgan Chase Bank, N.A.	2,833.00
25000 - OFFICE OF CHILDREN & FAMILY SERVICES		
Brentwood Resid Advance	JPMorgan Chase Bank, N.A.	168.40
Brentwood Resid Center Cash Advance	JPMorgan Chase Bank, N.A.	896.00
Bronx CMSO Cash Advance #237	JPMorgan Chase Bank, N.A.	0.00
Brooklynn Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	500.00
Brookwood Cash Advance	Key Bank	1,229.09
Brookwood Resid Residential Cash	Key Bank	20,833.23
Check Exchange	Bank of America, N.A.	6,158.78
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	530.94
Columbia Girls Secure Center-Youth Savings	Key Bank	1,503.07
Finger Lakes Res Ctr Residents Cash	Tompkins County Trust	2,260.79
Fingerlakes Res Ctr Cash Advance	Tompkins County Trust	2,786.80
Goshen Cash Advance	Bank of America, N.A.	2,059.60

Goshen Residents Account	Bank of America, N.A.	3,997.30
Highland Res Ctr Petty Cash Account	Bank of America, N.A.	2,491.87
Highland Res Ctr Residents Acct	Bank of America, N.A.	1,487.02
Home Office Care & Maintenance Account	Bank of America, N.A.	0.00
Industry Advance Account	JPMorgan Chase Bank, N.A.	2,163.30
Industry Res Account	JPMorgan Chase Bank, N.A.	2,865.27
Industry School Dug-Out	JPMorgan Chase Bank, N.A.	0.00
MacCormick Cash Advance	Tompkins County Trust	1,751.80
MacCormick Resid Advance	Tompkins County Trust	4,544.12
Medicaid Reimbursement Exchange	Bank of America, N.A.	178,400.24
NYS OCFS Advance Acct (Travel & Misc P.C.)	Bank of America, N.A.	15,152.00
NYS OCFS Salary Advance Account	Bank of America, N.A.	15,100.00
Queens CMSO Cash Advance	Bank of America, N.A.	400.00
Queens-Long Island Aftercare	JPMorgan Chase Bank, N.A.	700.00
Red Hook Res Ctr Resident Cash	Key Bank	374.97
Red Hook Resid Ctr Cash Advance	Key Bank	65.64
Rochester Aftercare Wraparound Account	JPMorgan Chase Bank, N.A.	788.00
SCR Credit Card Revenue Account	Bank of America, N.A.	15,250.00
State Central Register	Bank of America, N.A.	64,648.60
Taberg Cash Advance	NBT Bank	684.58
Taberg Residents Account	NBT Bank	684.22
Training Academy Cash Advance	Key Bank	0.00
Youth Leadership Academy	NBT Bank	386.44
Youth Leadership Cash Advance	NBT Bank	703.20
27000 - OFFICE OF TEMPORARY & DISABILITY ASSISTANCE		
Exchange Account	Key Bank	0.70
Title IV D Of Social Security	Key Bank	164,479.59
Travel Advance	Key Bank	10,000.00
28010 - SUNY ALBANY		
Fee Account	Key Bank	(746,896.41)
Loan Services Center Account	Key Bank	70,595.39
Petty Cash/Travel Advance	Key Bank	No report received
28020 - SUNY BINGHAMTON		
SUNY Binghamton	M&T Bank	3,281,063.37
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	512,292.47
Imprest Account	Key Bank	5,345.69
28050 - SUNY STONY BROOK		
Central Funding	JPMorgan Chase Bank, N.A.	819,828.89
Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
Fees Depository	JPMorgan Chase Bank, N.A.	1,993,056.55
LISVH Fees Depository	JPMorgan Chase Bank, N.A.	330,888.26
LISVH Fees Depository	Sterling Bank	326,820.81
LISVH Residence Fund	Sterling Bank	362,398.12
Payroll Advance	JPMorgan Chase Bank, N.A.	7,320.85
SBU Student Refunds Cont Disb Acct	JPMorgan Chase Bank, N.A.	0.00
State Consolidated Petty Cash/Travel Advance	JPMorgan Chase Bank, N.A.	0.00
Student ACH Refunds Account	JPMorgan Chase Bank, N.A.	0.00
SUNY Southampton Depository	JPMorgan Chase Bank, N.A.	488,309.95
University Hosp Fees Depository	JPMorgan Chase Bank, N.A.	6,346,862.45
University Hospital Petty Cash	JPMorgan Chase Bank, N.A.	1,864.05
28100 - SUNY HEALTH SCIENCE CENTER AT BROOKLYN		
Center Revenue	JPMorgan Chase Bank, N.A.	211,548.32
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.	1,727,731.63
LICH Controlled Disbursement	JPMorgan Chase Bank, N.A.	0.00
LICH Depository	JPMorgan Chase Bank, N.A.	55,103.20
Petty Cash	JPMorgan Chase Bank, N.A.	26,902.95
Student Refunds	JPMorgan Chase Bank, N.A.	0.00
28110 - SUNY HEALTH SCIENCE CENTER AT SYRACUSE		
College Revenue	Key Bank	71,650.72
Controlled Disbursement	Key Bank	0.00
Hospital Revenue	Key Bank	1,871,677.05
Parking	Key Bank	575,672.65
28150 - SUNY BROCKPORT		
Brockport-REOC Account	Key Bank	21,411.12
Concentration Acct	M&T Bank	580,198.15
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	92,660.34
28170 - SUNY CORTLAND		
General Checking Account	Key Bank	93,210.54
28180 - SUNY FREDONIA		
Controlled Disb	M&T Bank	0.00
Depository Account	M&T Bank	111,573.73
28190 - SUNY GENESEO		
Controlled Disbursement Account	Key Bank	0.00
State Fees	Key Bank	114,477.04
28200 - SUNY OLD WESTBURY		
Local Depository	JPMorgan Chase Bank, N.A.	66,097.32
Petty Cash	JPMorgan Chase Bank, N.A.	0.00
28210 - SUNY NEW PALTZ		
Disbursement Account	Key Bank	0.00
State Revenue	Key Bank	214,098.72
28220 - SUNY ONEONTA		
Petty Cash Advance Account	NBT Bank	0.00
Revenue Account	NBT Bank	250,237.41
28230 - SUNY OSWEGO		
Controlled Disbursement	Key Bank	0.00
General Revenue	Key Bank	629,802.85
Imprest Account	Key Bank	0.00
28240 - SUNY PLATTSBURGH		
General Revenue	TD Bank	4,172,370.63
28250 - SUNY POTSDAM		
Control Disbursement Account	Key Bank	0.00
State Fee Reconciliation Account	Key Bank	134,706.80
28260 - SUNY PURCHASE		
General Income Fund	Key Bank	230,440.25
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.	144,141.52
28280 - SUNY EMPIRE STATE COLLEGE		
Concentration Account	Key Bank	268,776.23
Distribution Center Account	Key Bank	58,707.35
Zero Balance Controlled Disbursement Account	Key Bank	0.00
28350 - SUNY COLLEGE OF TECHNOLOGY AT ALFRED		
Fees Account	Community Bank	1,345,954.32
28360 - SUNY COLLEGE OF TECHNOLOGY AT CANTON		
Community Cash Deposits	NBT Bank	132,655.69
Dental Hygiene	NBT Bank	6,304.00
Income Fund	Key Bank	196,568.45
International Program Account	Key Bank	76,614.14
28370 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT COBLESKILL		
Income Fund	Key Bank	135,991.53
28380 - SUNY COLLEGE OF TECHNOLOGY AT DELHI		
General Revenue	Delaware National Bank	(406,605.82)
Petty Cash Fund	Delaware National Bank	0.00
28390 - SUNY COLLEGE OF TECHNOLOGY AT FARMINGDALE		
Income Fund	Citibank	270,332.15
28400 - SUNY AGRICULTURAL & TECHNICAL COLLEGE AT MORRISVILLE		
Income Fund	Key Bank	926,409.94
Revenue Account	NBT Bank	46,674.93
28550 - SUNY COLLEGE OF ENVIRONMENTAL SCIENCE & FORESTRY		
Agency Advance	Key Bank	0.00
Controlled Disb	Key Bank	No report received
ESF/GSA	Key Bank	4,566.12
Forestry	Community Bank	No report received
Regular Account	Key Bank	66,326.81
Student Government	Key Bank	36,702.07
28570 - SUNY MARITIME COLLEGE		
Controlled Disbursement Account	JPMorgan Chase Bank, N.A.	0.00
Cruise Account	JPMorgan Chase Bank, N.A.	82,327.03
Revenue Deposit Account	JPMorgan Chase Bank, N.A.	154,603.63
Revenue EFT Account	JPMorgan Chase Bank, N.A.	35,411.34
28580 - SUNY COLLEGE OF OPTOMETRY		
General Revenue	JPMorgan Chase Bank, N.A.	200,518.67
Medical Transportation	JPMorgan Chase Bank, N.A.	273.88
28650 - SUNY CENTRAL SYSTEM ADMINISTRATION		
ASC	Key Bank	10,000.00

NYS Iso	Key Bank	2,159,123.95
Petty Cash	Key Bank	0.00
Revenue	Key Bank	192,022.90
37000 - DEPARTMENT OF FINANCIAL SERVICES		
Confidential Investigations	JPMorgan Chase Bank, N.A.	7,546.19
Confidential Investigations	JPMorgan Chase Bank, N.A.	9,241.89
Fire Tax Account (Main)	Key Bank	16,076.39
Fire Tax Payment	Key Bank	0.00
General Assessment Account	JPMorgan Chase Bank, N.A.	1,262,099.82
General Fund	Key Bank	958,145.73
Market Stabilization Pool Account	JPMorgan Chase Bank, N.A.	90,098,954.20
Miscellaneous Account	JPMorgan Chase Bank, N.A.	11,185,303.24
Petty Cash	Key Bank	2,773.81
Workers Comp Insurance Sec Fund Pymnt	JPMorgan Chase Bank, N.A.	100,013.02
49010 - SARATOGA-CAPITAL DISTRICT STATE PARK COMMISSION		
Contractors Bid (SA)	Bank of America, N.A.	76,031.68
Revenue (SA)	Glens Falls National	22,867.71
49020 - LONG ISLAND STATE PARK COMMISSION		
Contractors Bid (LI)	JPMorgan Chase Bank, N.A.	37,250.93
Regional Account (LI)	Bank of America, N.A.	1.00
Regional Account 2 (LI)	JPMorgan Chase Bank, N.A.	745,906.65
Revenue (LI)	People's United Bank	150,505.73
49030 - GENESEE STATE PARK COMMISSION		
Contractors Bid (GE)	Bank of Castile	56,267.80
Revenue (GE)	Bank of Castile	1,860,358.26
49040 - NIAGARA FRONTIER STATE PARK COMMISSION		
Contractors Bid (NIA)	Key Bank	750.37
Revenue (NIA)	Evans National Bank	95,035.55
49050 - PALISADES INTERSTATE STATE PARK COMMISSION		
Contractors Bid (PA)	JPMorgan Chase Bank, N.A.	5,186.96
49070 - OFFICE OF PARKS & RECREATION		
Main Office - Change Fund	Key Bank	88,085.00
Main Office Account (ALB)	Key Bank	1,400.00
OPRHP Concentration Account	Key Bank	719,314.98
Petty Cash (ALB)	Key Bank	39,080.02
Revenue (NI, GE, AL, CE, TA)	M&T Bank	34,251.46
Revenue (NYC, CE, LI, PA, TA)	JPMorgan Chase Bank, N.A.	24,698.89
Revenue (SA, LI, GE, NI, CE, TA)	Bank of America, N.A.	77,245.44
Revenue (SA, NI, PA, CE, TA, TI)	Key Bank	18,214.31
Revenue (various)	Wells Fargo Bank	77,370.40
Statewide Campsite/Cabin Revenue	JPMorgan Chase Bank, N.A.	464,243.04
Statewide Credit Card Revenue, Revenue (ALB, FL, LI, PA, TI)	Key Bank	210,049.99
Statewide Housing Security Deposits	Key Bank	167,931.62
49090 - FINGER LAKES STATE PARK COMMISSION		
Contractors Bid (FL)	Tompkins County Trust	16,829.78
Revenue (FL)	Savannah Bank	213,098.78
Revenue (FL-Multi)	Community Bank	1,607.49
Revenue (FL-Multi-Facilities)	Tompkins County Trust	1,675,253.16
49100 - ALLEGANY STATE PARK COMMISSION		
Contractors Bid (AL)	Five Star Bank	4,673.00
Regional Account (AL)	Five Star Bank	147,036.54
Revenue (AL)	Five Star Bank	397,162.08
49120 - CENTRAL NEW YORK STATE PARK COMMISSION		
Contractors Bid (CE)	JPMorgan Chase Bank, N.A.	16,530.82
Revenue (CE, SA, TI)	NBT Bank	326,728.64
49130 - TACONIC STATE PARK COMMISSION		
Contractors Bid (TA)	M&T Bank	5,060.08
49140 - THOUSAND ISLANDS STATE PARK COMMISSION		
Revenue (TI -Long Point River)	Citizens Bank	21,682.22
Revenue (TI)	Citizens Bank	41,066.28
Revenue (TI-Multi)	Community Bank	894.97
50000 - OFFICE OF MENTAL HEALTH		
Consolidated Advance	Bank of America, N.A.	4,395.88
Iterim Assistance Agreement	Bank of America, N.A.	0.00
OMH Medication Grant Program Acct	Bank of America, N.A.	45,985.95
Petty Cash Manufacturing	Bank of America, N.A.	300.00
Reimbursement Account	Bank of America, N.A.	6,151,809.87
50010 - GREATER BINGHAMTON HEALTH CENTER		
Agency Advance Account	JPMorgan Chase Bank, N.A.	10,067.00
Facility Holding Account	JPMorgan Chase Bank, N.A.	17,480.74
Patient Cash Funds	JPMorgan Chase Bank, N.A.	445,912.17
Patients Cash Account	JPMorgan Chase Bank, N.A.	111,733.07
Security Deposit	JPMorgan Chase Bank, N.A.	2,074.72
50020 - KINGSBORO PSYCHIATRIC CENTER		

Advance Account	Banco Popular	No report received
Family Care	Banco Popular	14,290.87
Holding Account	Banco Popular	179,106.58
Medicaid Outpatient Travel	Banco Popular	2,025.79
Patient Cash Acct (MM)	Banco Popular	328,024.94
Patient Checking Account	Citibank	105,319.30
Patient Savings Account	Banco Popular	333,215.35
Security Deposit	Banco Popular	2,488.51
Urban Oasis/EBT	Banco Popular	43,406.07
50030 - BUFFALO PSYCHIATRIC CENTER		
Advance Account	Key Bank	56,989.09
Faciity Holding	Key Bank	1,087.08
Patient Cash Checking	Key Bank	0.00
Patient Cash Checking	M&T Bank	145,582.02
50060 - HUDSON RIVER PSYCHIATRIC CENTER		
Patients Cash	JPMorgan Chase Bank, N.A.	0.00
50080 - MANHATTAN PSYCHIATRIC CENTER		
Advance Account	Sterling Bank	17,729.14
CD	Hudson Valley National Bank	425,038.94
General Fund Checking	Hudson Valley National Bank	9,295.83
Patient Cash Checking	Hudson Valley National Bank	673,359.26
Patients Money Market	Hudson Valley National Bank	72,766.10
Social Service Tokens	Hudson Valley National Bank	38,544.56
50110 - ROCHESTER PSYCHIATRIC CENTER		
Agency Advance	Key Bank	44,633.59
Facility Holding	Key Bank	108,584.26
Patients Cash Account	Key Bank	138,191.43
Patients Fund Savings	Key Bank	202,193.76
50120 - ST LAWRENCE PSYCHIATRIC CENTER		
Facility Advance Account	Community Bank	20,643.93
Facility Holding Account	Community Bank	17,280.26
Patients Cash Account	Community Bank	28,577.13
Patients Cash Savings	Community Bank	229,521.43
50150 - CREEDMOOR PSYCHIATRIC CENTER		
Advance Account	HSBC	59,688.65
Certificate Of Deposit	HSBC	250,000.00
Certificate Of Deposit	HSBC	150,000.00
Holding Account	HSBC	16,249.55
Medicaid Travel Account	HSBC	0.00
Money Management Account	HSBC	633,051.34
Patient Cash Account	HSBC	69,194.45
Rent Holding Account	HSBC	2,314.00
50170 - ROCKLAND PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	37,718.58
Exchange Account	JPMorgan Chase Bank, N.A.	112,416.90
Holding Account	JPMorgan Chase Bank, N.A.	56,006.69
Investment CD	Sterling Bank	100,170.10
Investment CD	Sterling Bank	100,187.59
Investment CD	Sterling Bank	100,187.59
Investment CD	Sterling Bank	100,170.10
Investment CD	Sterling Bank	100,170.10
Investment CD	Sterling Bank	100,258.55
Patient Cash Account	JPMorgan Chase Bank, N.A.	50,000.00
Patient Cash Checking Account	JPMorgan Chase Bank, N.A.	169,337.44
Patient Cash Savings Account	JPMorgan Chase Bank, N.A.	934,735.32
50180 - NYS PSYCHIATRIC INSTITUTE		
Donation & Gift Acct/Patient Fund Acct	JPMorgan Chase Bank, N.A.	3,956.21
General	JPMorgan Chase Bank, N.A.	12,530.93
Petty Cash	JPMorgan Chase Bank, N.A.	1,602.51
50190 - RICHARD H HUTCHINGS PSYCHIATRIC CENTER		
Advance Account	Key Bank	6,910.92
Clients Count	Key Bank	211,973.60
Holding Account	Key Bank	12,191.39
50200 - PILGRIM PSYCHIATRIC CENTER		
Facility Advance Account	JPMorgan Chase Bank, N.A.	No report received
Facility Holding Acct	JPMorgan Chase Bank, N.A.	No report received
Patient Cash	JPMorgan Chase Bank, N.A.	No report received
50210 - MOHAWK VALLEY PSYCHIATRIC CENTER		
Advance Fund	Key Bank	15,230.66
Facility Holding	Key Bank	4,646.43
Patient Cash Checking	Key Bank	46,018.34
Patient Cash Savings	Key Bank	39,975.28
Security Deposit	Key Bank	8,247.24
50310 - BRONX PSYCHIATRIC CENTER		

CD	JPMorgan Chase Bank, N.A.	250,000.00
Consolidated Advance	JPMorgan Chase Bank, N.A.	17,640.35
Misc. Receipts	JPMorgan Chase Bank, N.A.	27,162.13
Patients Cash MM	JPMorgan Chase Bank, N.A.	86,811.83
Patients Checking Acct	JPMorgan Chase Bank, N.A.	549,731.30
50340 - NATHAN KLINE INSTITUTE		
Petty Cash Account	JPMorgan Chase Bank, N.A.	1,107.50
50350 - KIRBY FORENSIC PSYCHIATRIC CENTER		
Consolidated Advance Account	Hudson Valley National Bank	31,879.61
Holding Account	Hudson Valley National Bank	9,944.44
Patient Cash Account	Hudson Valley National Bank	88,719.25
50390 - CENTRAL NY PSYCHIATRIC CENTER		
Agency Advance Account	Key Bank	9,698.66
General Fund	Key Bank	6,239.28
Patient Checking	Key Bank	32,883.94
Patient Savings	Key Bank	110,952.94
Security Deposit	Key Bank	2,573.78
50440 - MID-HUDSON FORENSIC PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	16,061.70
Facility Holding Account	Key Bank	1,418.00
Patients Account	Key Bank	150,464.18
50520 - BROOKLYN CHILDRENS PSYCHIATRIC CENTER		
Petty Cash Advance Account	Banco Popular	6,942.86
50790 - SOUTH BEACH PSYCHIATRIC CENTER		
Agency Advance Checking	JPMorgan Chase Bank, N.A.	6,936.60
Facility Holding Checking	JPMorgan Chase Bank, N.A.	7,867.35
Family Care Checking	JPMorgan Chase Bank, N.A.	1,500.00
Patients Cash Checking	JPMorgan Chase Bank, N.A.	89,917.74
50800 - BRONX CHILDRENS PSYCHIATRIC CENTER		
General Fund	JPMorgan Chase Bank, N.A.	11,093.44
50810 - WESTERN NY CHILDRENS PSYCHIATRIC CENTER		
Agency Advance	Key Bank	869.69
Exchange Account	Key Bank	0.00
Patient Cash	Key Bank	140.00
50850 - SAGAMORE CHILDRENS PSYCHIATRIC CENTER		
Sagamore Patient Personal Acct	JPMorgan Chase Bank, N.A.	No report received
Sagamore Petty Cash Account	JPMorgan Chase Bank, N.A.	No report received
50860 - ROCKLAND CHILDRENS PSYCHIATRIC CENTER		
Advance Account	JPMorgan Chase Bank, N.A.	13,304.62
50870 - QUEENS CHILDRENS PSYCHIATRIC CENTER		
Money Management Account	HSBC	1,248.89
Queens Adv Acct	HSBC	9,912.36
Queens Childrens Account	HSBC	5,209.37
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	12,138.12
General Fund Account	Chemung Canal Trust	6,980.95
IMMA	Chemung Canal Trust	44,603.98
Patients Fund Account	Chemung Canal Trust	105,688.83
50980 - CAPITAL DISTRICT PSYCHIATRIC CENTER		
Facility Advance Account	Key Bank	1,182.77
Facility Holding Account	Key Bank	157,928.38
Parking Garage Account	Key Bank	224,762.02
Patients Cash Checking Account	Key Bank	42,402.46
Patients Cash Savings Account	Key Bank	445,965.09
51000 - OFFICE OF MENTAL RETARDATION & DEVELOPMENTAL DISABILITIES		
Petty Cash Acct	Bank of America, N.A.	No report received
Revenue Account	Bank of America, N.A.	No report received
Travel Advance Account	Bank of America, N.A.	No report received
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	19,600.00
Advance Accounts	Key Bank	14,853.37
Clients Account	Key Bank	538,536.22
Consumer Cash - Checking	M&T Bank	15,299.08
Consumer Cash - Savings	Adirondack Bank	349,172.05

Consumer Cash - Savings	Key Bank	948,693.21
Consumer Cash - Savings	M&T Bank	2,429,203.22
EBT Checking Account	Key Bank	194,184.04
Exchange Account	Key Bank	86,074.90
51250 - TACONIC DDSO		
Agency Advance Account	M&T Bank	63,455.66
Electronic Benefits Transfer	M&T Bank	0.00
General Fund	M&T Bank	22,056.28
Patients Cash Checking	M&T Bank	148,592.91
Patients Fund Savings	M&T Bank	2,014,014.62
500 Balltown Rd Schenectady, NY		
TDDSO Representative Payee Savings Acct	The Adirondack Trust Company	565,209.39
51270 - STATEN ISLAND DDSO		
Clients Cash Account	JPMorgan Chase Bank, N.A.	314,324.95
General Fund Account	JPMorgan Chase Bank, N.A.	0.00
Money Market Account	JPMorgan Chase Bank, N.A.	275,104.71
Petty Cash Account	JPMorgan Chase Bank, N.A.	11,904.83
Staten Island DDSO EBT Checking Acct	JPMorgan Chase Bank, N.A.	0.00
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	52,000.14
CD-Patient Property Funds	Key Bank	3,375,307.13
Exchange Account	M&T Bank	22,001.16
Food Stamp Account	M&T Bank	1,000.00
General Account	Community Bank	150,801.77
Patient Property Funds	Adirondack Bank	165,186.70
Patient Property Funds	M&T Bank	164,569.18
WNY DDSO Perrysburg Client Cash	M&T Bank	82,653.04
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.	24,665.45
Manhattan DDSO Client Cash	JPMorgan Chase Bank, N.A.	25,746.90
Metro NY DDSO Food Stamp Acct	JPMorgan Chase Bank, N.A.	45,524.06
Metro NY DDSOO REP PAYEE ACCOUNT	JPMorgan Chase Bank, N.A.	439,065.80
Patients Cash Account	JPMorgan Chase Bank, N.A.	18,785.40
Patients Money Market Account	JPMorgan Chase Bank, N.A.	0.01
Petty Cash	JPMorgan Chase Bank, N.A.	2,466.32
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	459,293.89
Broome DDSO - Advance Account	M&T Bank	41,587.58
Broome DDSO - General Fund	M&T Bank	26,572.95
Disabled Individuals Savings	Key Bank	594,697.90
Disabled Individuals Savings	M&T Bank	55,020.02
OMRDD Broome DDSO EBT Checking	M&T Bank	220,519.79
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.	378.04
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	No report received
CUNY Admin UAO Travel Advance	Citibank	No report received
70030 - CUNY HUNTER COLLEGE		
Travel Petty Cash Account	Citibank	No report received
70060 - CUNY JOHN JAY COLLEGE		
CUNY JOHN JAY COLLEGE IMPREST FUND	Citibank	No report received
70070 - CUNY LEHMAN COLLEGE		
Lehman College	Citibank	No report received
70080 - CUNY YORK COLLEGE		
York College Imprest Fund	JPMorgan Chase Bank, N.A.	No report received
York College Imprest Funds	Citibank	No report received
York College Travel Advance Fund	Citibank	No report received
York College Travel Allowance	JPMorgan Chase Bank, N.A.	No report received
70100 - CUNY COLLEGE OF STATEN ISLAND		
CSI Imprest Cash	TD Bank	No report received
70120 - CUNY NYC COLLEGE OF TECHNOLOGY		
NY City College Of Technology College Travel Fund	Popular Community Bank	No report received
NY City College Of Technology Technical College Imprest Fund	Popular Community Bank	No report received
70150 - CUNY SCHOOL OF LAW		
CUNY School Of Law	TD Bank	No report received

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 11/30/2017

ACCOUNT DESCRIPTION		DEPOSITORY	BALANCE AS OF 11/30/2017
COMMUNITY COLLEGE TUITION AND INSTRUCTIONAL INCOME FUND			
0226	Upstate Community Colleges, FIT Series 2000A	Key Bank	158,683.75
0231	Upstate Community Colleges, Series 2005A	Key Bank	0.00
0232	Upstate Community Colleges, Series 2005B	Key Bank	148,776.71
0233	Upstate Community Colleges, Series 2005C	Key Bank	140,122.49
DORMITORY AUTHORITY OF THE STATE OF NEW YORK			
0039	Mental Hygiene Facilities Improvement Fund Income Account	Bank of America, N.A.	70,621,503.83
0070	Hospital and Nursing Home Project Operating Fund	Key Bank	0.00
0104	Lincoln Medical and Mental Health Center Project Construction Account	Key Bank	24,523.47
0105	Greenpoint Medical and Mental Health Center Project Construction Account	Key Bank	268,020.71
0149	State Advances Repayment Account	Bank of America, N.A.	53.09
1202	DA DFRF MAC #1202 Biinghamton	Key Bank	28,906,806.22
1203	DA DFRF MAC #1203 Oneonta	Key Bank	7,367,444.56
1205	DA DFRF MAC #1205 Delhi	Key Bank	2,243,529.71
1206	DA DFRF MAC #1206 Buffalo Univ	Key Bank	9,880,558.34
1207	DA DFRF MAC #1207 Buffalo College	Key Bank	4,517,972.69
1208	DA DFRF MAC #1208 Alfred	Key Bank	2,600,102.97
1209	DA DFRF Mac #1209 Fredonia	Key Bank	1,719,119.39
1211	DA DFRF Mac #1211 Upstate Medical	Key Bank	3,204,123.68
1212	DA DFRF Mac #1212 Oswego	Key Bank	6,153,967.62
1214	DA DFRF Mac #1214 Cortland	Key Bank	7,079,527.11
1215	DA DFRF MAC #1215 Stony Brook	Key Bank	31,265,363.78
1216	DA DFRF MAC #1216 Old Westbury	Key Bank	2,299,772.62
1217	DA DFRF MAC #1217 Farmingdale	Key Bank	1,214,247.98
1218	DA DFRF MAC #1218 Downstate Med	Key Bank	116,790.64
1219	DA DFRF MAC #1219 Maritime	Key Bank	1,989,714.81
1221	DA DFRF MAC #1221 Brockport	Key Bank	6,795,151.51
1222	DA DFRF MAC #1222 Geneseo	Key Bank	4,323,802.37
1223	DA DFRF MAC #1223 Purchase	Key Bank	5,789,469.31
1224	DA DFRF MAC #1224 New Paltz	Key Bank	4,099,930.84
1225	DA DFRF MAC #1225 Canton	Key Bank	1,926,709.59
1226	DA DFRF MAC #1226 Plattsburgh	Key Bank	6,190,322.48
1227	DA DFRF MAC #1227 Potsdam	Key Bank	4,596,729.51
1228	DA DFRF MAC #1228 Morrisville	Key Bank	1,097,975.86
1229	DA DFRF MAC #1229 SUNYIT	Key Bank	2,575,837.80
1230	DA DFRF MAC #1230 Cobleskill	Key Bank	703,280.82
1239	DA DFRF MAC #1239 Albany	Key Bank	12,456,474.49
1240	Dormitory Authority Collection Account - Mac 1240	Key Bank	0.00
2202	DA OMRR MAC #2202 Binghamton	Key Bank	10,475,001.29
2203	DA OMRR MAC #2203 Oneonta	Key Bank	14.79
2205	DA OMRR MAC #2205 Delhi	Key Bank	500,458.87
2206	DA OMRR MAC #2206 Buffalo Univ	Key Bank	1,798,406.41
2207	DA OMRR MAC #2207 Buffalo College	Key Bank	33.41
2208	DA OMRR MAC #2208 Alfred	Key Bank	63.81
2209	DA OMRR MAC #2209 Fredonia	Key Bank	100.50
2211	DA OMRR MAC #2211 Upstate Medical	Key Bank	36.04
2212	DA OMRR MAC #2212 Oswego	Key Bank	106.21
2214	DA OMRR MAC #2214 Cortland	Key Bank	3,448,943.14
2215	DA OMRR MAC #2215 Stony Brook	Key Bank	27.06
2216	DA OMRR MAC #2216 Old Westbury	Key Bank	953,579.01
2217	DA OMRR MAC #2217 Farmingdale	Key Bank	182,448.30
2218	DA OMRR MAC #2218 Downstate Med	Key Bank	123,424.08
2219	DA OMRR MAC #2219 Maritime	Key Bank	1,340,037.93
2221	DA OMRR MAC #2221 Brockport	Key Bank	49.46
2222	DA OMRR MAC #2222 Geneseo	Key Bank	4,473,695.97
2223	DA OMRR MAC #2223 Purchase	Key Bank	74.99
2224	DA OMRR MAC #2224 New Paltz	Key Bank	83.06
2225	DA OMRR MAC #2225 Canton	Key Bank	7.36
2226	DA OMRR MAC #2226 Plattsburgh	Key Bank	33.60
2227	DA OMRR MAC #2227 Potsdam	Key Bank	49.91
2228	DA OMRR MAC #2228 Morrisville	Key Bank	48.82
2229	DA OMRR MAC #2229 SUNYIT	Key Bank	637,370.89
2230	DA OMRR MAC #2230 Cobleskill	Key Bank	2,838,540.74
2239	DA OMRR MAC #2239 Albany	Key Bank	111.40
2240	DA UNALLOCATED FD MAC #2240 System Admin	Key Bank	9,956,281.44
HOMELESS HOUSING ASSISTANCE CORPORATION			
0320	Social Services Homeless Housing and Assistance Corporation Operating Account	Key Bank	1,586,894.01

NELSON A. ROCKEFELLER EMPIRE STATE PLAZA PERFORMING ARTS CENTER CORPORATION			
0315	The Egg	Key Bank	64,840.31
NEW YORK CONVENTION CENTER			
0300	Operating Fund	JPMorgan Chase Bank, N.A.	12,213,040.61
NEW YORK JOB DEVELOPMENT AUTHORITY			
0036	Special Purpose Fund	Bank of America, N.A.	1,176,058.53
0371	Series H Commercial Paper	Bank of America, N.A.	316,943.60
0389	Daily Demand Special Purpose Bonds Series 1992A-B	JPMorgan Chase Bank, N.A.	91,305.21
0421	Escrow Account for Package Fulfillment Center Inc.	Key Bank	30,867.79
0423	Escrow Account for USA Industries Inc.	Key Bank	37,274.67
0424	Escrow Account for Pluritec USA Inc.	Key Bank	19,782.38
NYS AFFORDABLE HOUSING CORPORATION			
0491	Disbursement Account	JPMorgan Chase Bank, N.A.	676,832.36
0520	Development Account	Key Bank	2,069,805.57
0521	Development Account II	Key Bank	0.00
0522	Repayment Account	Key Bank	65,620.17
0523	Recapture Account	Key Bank	1.48
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.	208,150.37
0625	Advance Acct/Imprest Confidential Fund	Bank of America, N.A.	25,545.00
0626	Criminal Investigation Division	Key Bank	339,695.73
0778	PIT/STAR Rebate Exchange Account	JPMorgan Chase Bank, N.A.	0.00
0800	NYS IRS PIT offset account	Key Bank	3,586,424.84
0827	Stock Transfer Incentive Fund	Key Bank	1,072,857.57
0847	Pari-Mutuel Revenue Transfer Account	Key Bank	0.00
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.	15,780,334.89
NYS HOUSING FINANCE AGENCY			
0032	Operating Fund	Key Bank	0.00
0251	Housing Project Repair Fund	Key Bank	31,790.35
0252	Energy Conservation/Tenant Health & Safety Improvement Account	JPMorgan Chase Bank, N.A.	132,179.49
0254	Agency Assisted Housing Operation Fund	JPMorgan Chase Bank, N.A.	1,628,271.69
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.	280.85
0268	Neighborhood Stabilization Program 3	JPMorgan Chase Bank, N.A.	32.77
0270	Claims Repayment Account	Key Bank	0.00
0271	Pre-Bond Revenue Account	Key Bank	0.00
0272	TCAP Account	Key Bank	214.02
0274	NYSHFA Special Reserve Fund	JPMorgan Chase Bank, N.A.	1,968,829.06
0277	Amalgamated Warbasse Houses Construction Defect Repair Fund	JPMorgan Chase Bank, N.A.	0.00
0283	Small Owner's Assistance Program Account	Key Bank	30,921.79
0285	Public Purpose Account	Key Bank	1,129,721.52
0286	Disbursement Account	Key Bank	1,369,387.08
0287	Infrastructure Development Fund	Key Bank	38,941.95
0288	Mobile Home Cooperative Fund	Key Bank	6,311.87
0290	Low Rent Lease Account	Key Bank	0.00
0292	Homeless Housing Initiatives	Key Bank	157,658.84
0879	Payroll Account	JPMorgan Chase Bank, N.A.	185,000.00
NYS HOUSING TRUST FUND CORPORATION			
0458	Section 8 Housing Assistance Payment Account	JPMorgan Chase Bank, N.A.	97,346.09
0460	Escrow Account	M&T Bank	2,388,887.22
0461	Housing Modernization Account	M&T Bank	5,692,711.37
0462	General Custodial Account	M&T Bank	134,343,469.95
0463	General Administrative Account	M&T Bank	0.00
0464	Turnkey Account	M&T Bank	0.00
0465	Home Program Account	M&T Bank	7,696,638.71
0466	Homes for Working Families Account	M&T Bank	30,950,773.32
0467	Section 8 Administrative Account	M&T Bank	8,671,643.89
0468	Small Cities Administrative Account	M&T Bank	0.00
0469	OCR Community Miscellaneous Programs Account	M&T Bank	11,829,857.85
0470	HCV Main Account	Bank of America, N.A.	9,606,168.23
0471	Empire State Relief Fund	M&T Bank	1,624,503.34
0472	Master Escrow Account	Bank of America, N.A.	0.00
0473	Family Self-Sufficiency Account	Bank of America, N.A.	4,094,623.80

0474	Moderate Rehabilitation Account	Bank of America, N.A.	0.00
0475	Reserve Account	Bank of America, N.A.	87,630.75
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.	11,271,413.74
0891	Small Cities Community Development Block Grant Program	M&T Bank	307,703.06
0892	Disaster Recovery Initiative Account	M&T Bank	764,138.54
0893	Payroll Account for Small Cities CDBG Program	M&T Bank	158.69
0895	HTFC Storm Recovery Payment	M&T Bank	124,262.50
NYS INSURANCE DEPARTMENT			
0001	Property/Casualty Insurance Security Fund	Key Bank	460,929.72
0002	Public Motor Vehicle Security Fund	JPMorgan Chase Bank, N.A.	605,043.75
0003	Workers' Compensation Security Fund	JPMorgan Chase Bank, N.A.	706,057.71
0004	Medical Indemnity Fund	JPMorgan Chase Bank, N.A.	17,300,560.32
NYS TEACHERS RETIREMENT SYSTEM			
0052	Master Funding Account	State Street Bank & Trust Co.	0.00
0052	Main Account	JPMorgan Chase Bank, N.A.	12,800,130.45
0853	Excess Benefit Fund	JPMorgan Chase Bank, N.A.	3,393,462.25
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.	104,497,075.92
0054	State Insurance Fund	Bank of America, N.A.	1,674,594.21
0055	State Insurance Fund	Bank of America, N.A.	22,776,892.51
0861	Disability Benefits Fund Tax Escrow Account	Bank of America, N.A.	50,699.39
STATE UNIVERSITY CONSTRUCTION FUND			
0034	Income Fund	Key Bank	941,612.35
0075	Educational Facilities Revenue Bonds Debt Service Account	Key Bank	29,557.25
0870	Deductions Account	Key Bank	222,460.30
0871	Bio-Tech Incubator at Farmingdale	Key Bank	0.00
WORKERS COMPENSATION BOARD			
0006	Fund for Reopened Cases	Bank of America, N.A.	(587,267.00)
0007	Special Disability Fund	Bank of America, N.A.	2,779,392.54
0008	Special Fund for Disability Benefits	Bank of America, N.A.	168,529.40
0011	Uninsured Employers Fund	Bank of America, N.A.	1,665,876.53
0012	WCB Asset Transfer Account	Bank of America, N.A.	0.00
0013	WCB Assessment Revenue Clearing	Bank of America, N.A.	725,898.78
008K	Special Fund for Disability Benefits	Key Bank	207,864.67

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 2017

Office of Operations
Division of Payroll, Accounting and Revenue Services
Bureau of Financial Reporting and Oil Spill Remediation

NYS Comptroller
THOMAS P. DiNAPOLI

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, 2017

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	51
Appendix D	HCRA Medicaid Disproportionate Share - Statement of Cash Flow	52
Appendix E	Summary of Off-Budget Spending Report	53
Appendix F	Schedule of Month-End Temporary Loans Outstanding	54
Appendix G	Dedicated Infrastructure Investment Fund - Statement of Receipts and Disbursements	58

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMBINED STATEMENT OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
(Amounts in millions)

EXHIBIT A

		GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
		MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2016	8 MOS. ENDED NOV. 30, 2016	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:															
Personal Income Tax	(4)	$ 1,781.9	$ 20,371.0	$ 11.6	$ 74.2	$ 597.9	$ 6,815.1	$ -	$ -	$ 2,391.4	$ 27,260.3	$ 2,093.8	$ 28,125.8	$ (865.5)	-3.1%
Consumption/Use Taxes		603.4	4,851.9	160.1	1,374.6	550.7	4,430.6	51.1	378.5	1,365.3	11,035.6	1,259.0	10,775.6	260.0	2.4%
Business Taxes		18.3	2,513.0	80.7	934.1	-	-	51.5	413.7	150.5	3,860.8	(17.4)	3,945.5	(84.7)	-2.1%
Other Taxes		72.4	823.8	90.6	845.1	85.0	714.5	12.0	71.5	260.0	2,454.9	286.6	2,337.4	117.5	5.0%
Miscellaneous Receipts		430.8	2,113.6	1,421.8	11,574.0	33.5	314.1	103.9	2,967.7	1,990.0	16,969.4	1,973.1	16,065.6	903.8	5.6%
Federal Receipts		0.1	0.2	5,078.9	36,186.1	-	36.7	270.1	1,376.4	5,349.1	37,599.4	4,210.4	33,683.4	3,916.0	11.6%
Total Receipts		**2,906.9**	**30,673.5**	**6,843.7**	**50,988.1**	**1,267.1**	**12,311.0**	**488.6**	**5,207.8**	**11,506.3**	**99,180.4**	**9,805.5**	**94,933.3**	**4,247.1**	**4.5%**
DISBURSEMENTS:															
Local Assistance Grants:	(3)														
Education		2,015.9	13,861.6	418.4	5,032.2	-	-	7.5	83.2	2,441.8	18,977.0	2,000.5	18,406.5	570.5	3.1%
Environment and Recreation		0.1	2.5	0.1	2.0	-	-	32.5	101.5	32.7	106.0	32.9	90.5	15.5	17.1%
General Government		3.2	728.0	12.5	136.4	-	-	33.9	384.2	49.6	1,248.6	44.2	1,146.4	102.2	8.9%
Public Health:															
Medicaid		1,401.6	10,503.6	3,939.0	27,986.6	-	-	-	-	5,340.6	38,490.2	5,303.7	34,622.5	3,867.7	11.2%
Other Public Health		48.9	665.9	588.8	5,671.0	-	-	3.0	123.8	640.7	6,460.7	582.6	5,546.6	914.1	16.5%
Public Safety		16.3	97.4	172.9	938.8	-	-	-	18.0	189.2	1,054.2	174.1	1,132.0	(77.8)	-6.9%
Public Welfare		141.3	1,431.9	280.3	2,672.2	-	-	65.4	210.2	487.0	4,314.3	460.2	4,752.3	(438.0)	-9.2%
Support and Regulate Business		30.1	130.1	10.0	47.4	-	-	14.9	756.5	55.0	934.0	118.0	671.0	263.0	39.2%
Transportation		24.3	88.6	573.0	3,364.7	-	-	32.1	529.5	629.4	3,982.8	662.3	4,103.3	(120.5)	-2.9%
Total Local Assistance Grants		**3,681.7**	**27,509.6**	**5,995.0**	**45,851.3**	**-**	**-**	**189.3**	**2,206.9**	**9,866.0**	**75,567.8**	**9,378.5**	**70,471.1**	**5,096.7**	**7.2%**
Departmental Operations:															
Personal Service		621.6	4,229.7	799.5	5,238.0	-	-	-	-	1,421.1	9,467.7	1,404.6	9,362.4	105.3	1.1%
Non-Personal Service		182.0	1,398.2	415.1	3,155.6	1.2	21.6	-	-	598.3	4,575.4	605.9	4,466.3	109.1	2.4%
General State Charges		86.2	4,483.0	477.4	1,814.2	-	-	-	-	563.6	6,297.2	499.2	5,984.4	312.8	5.2%
Debt Service, Including Payments on Financing Agreements		-	-	-	-	81.8	1,663.7	-	-	81.8	1,663.7	74.1	1,569.6	94.1	6.0%
Capital Projects	(1)	-	-	-	-	-	-	645.3	4,439.8	645.3	4,439.8	647.9	4,401.5	38.3	0.9%
Total Disbursements		**4,571.5**	**37,620.5**	**7,687.0**	**56,059.1**	**83.0**	**1,685.3**	**834.6**	**6,646.7**	**13,176.1**	**102,011.6**	**12,610.2**	**96,255.3**	**5,756.3**	**6.0%**
Excess (Deficiency) of Receipts over Disbursements		**(1,664.6)**	**(6,947.0)**	**(843.3)**	**(5,071.0)**	**1,184.1**	**10,625.7**	**(346.0)**	**(1,438.9)**	**(1,669.8)**	**(2,831.2)**	**(2,804.7)**	**(1,322.0)**	**(1,509.2)**	**-114.2%**
OTHER FINANCING SOURCES (USES):															
Bond Proceeds (net)		-	-	-	-	-	-	-	-	-	-	-	-	-	0.0%
Transfers from Other Funds	(2)	1,001.6	10,983.5	877.1	6,057.7	176.4	2,142.2	365.0	1,636.1	2,420.1	20,819.5	1,873.1	20,173.5	646.0	3.2%
Transfers to Other Funds	(2)	(1,191.5)	(7,276.6)	(195.5)	(1,371.8)	(1,029.3)	(11,793.7)	(21.5)	(464.8)	(2,437.8)	(20,906.9)	(1,876.4)	(20,204.1)	702.8	3.5%
Total Other Financing Sources (Uses)		**(189.9)**	**3,706.9**	**681.6**	**4,685.9**	**(852.9)**	**(9,651.5)**	**343.5**	**1,171.3**	**(17.7)**	**(87.4)**	**(3.3)**	**(30.6)**	**(56.8)**	**-185.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		**(1,854.5)**	**(3,240.1)**	**(161.7)**	**(385.1)**	**331.2**	**974.2**	**(2.5)**	**(267.6)**	**(1,687.5)**	**(2,918.6)**	**(2,808.0)**	**(1,352.6)**	**(1,566.0)**	**-115.8%**
Beginning Fund Balances (Deficits)		**6,363.0**	**7,748.6**	**4,048.8**	**4,272.2**	**787.4**	**144.4**	**(1,325.6)**	**(1,060.5)**	**9,873.6**	**11,104.7**	**13,265.5**	**11,810.1**	**(705.4)**	**-6.0%**
Ending Fund Balances (Deficits)		**$ 4,508.5**	**$ 4,508.5**	**$ 3,887.1**	**$ 3,887.1**	**$ 1,118.6**	**$ 1,118.6**	**$ (1,328.1)**	**$ (1,328.1)**	**$ 8,186.1**	**$ 8,186.1**	**$ 10,457.5**	**$ 10,457.5**	**$ (2,271.4)**	**-21.7%**

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. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2016	8 MOS. ENDED NOV. 30, 2016	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:													
Personal Income Tax	(4)	$ 1,781.9	$ 20,371.0	$ 11.6	$ 74.2	$ 597.9	$ 6,815.1	$ 2,391.4	$ 27,260.3	$ 2,093.8	$ 28,125.8	$ (865.5)	-3.1%
Consumption/Use Taxes		603.4	4,851.9	160.1	1,374.6	550.7	4,430.6	1,314.2	10,657.1	1,212.0	10,360.6	296.5	2.9%
Business Taxes		18.3	2,513.0	80.7	934.1	-	-	99.0	3,447.1	(69.4)	3,516.8	(69.7)	-2.0%
Other Taxes		72.4	823.8	90.6	845.1	85.0	714.5	248.0	2,383.4	274.6	2,265.9	117.5	5.2%
Miscellaneous Receipts		430.8	2,113.6	1,405.4	11,424.5	33.5	314.1	1,869.7	13,852.2	1,879.6	13,749.4	102.8	0.7%
Federal Receipts		0.1	0.2	-	0.4	-	36.7	0.1	37.3	(1.0)	35.4	1.9	5.4%
Total Receipts		**2,906.9**	**30,673.5**	**1,748.4**	**14,652.9**	**1,267.1**	**12,311.0**	**5,922.4**	**57,637.4**	**5,389.6**	**58,053.9**	**(416.5)**	**-0.7%**
DISBURSEMENTS:													
Local Assistance Grants:	(3)												
Education		2,015.9	13,861.6	156.0	2,881.3	-	-	2,171.9	16,742.9	1,828.1	16,533.1	209.8	1.3%
Environment and Recreation		0.1	2.5	0.1	1.4	-	-	0.2	3.9	0.8	5.5	(1.6)	-29.1%
General Government		3.2	728.0	10.6	112.6	-	-	13.8	840.6	10.1	859.4	(18.8)	-2.2%
Public Health:													
Medicaid		1,401.6	10,503.6	612.2	3,774.4	-	-	2,013.8	14,278.0	1,986.9	13,472.1	805.9	6.0%
Other Public Health		48.9	665.9	125.3	1,451.3	-	-	174.2	2,117.2	143.3	2,300.4	(183.2)	-8.0%
Public Safety		16.3	97.4	13.3	92.1	-	-	29.6	189.5	28.5	189.6	(0.1)	-0.1%
Public Welfare		141.3	1,431.9	0.9	4.2	-	-	142.2	1,436.1	190.3	1,682.6	(246.5)	-14.6%
Support and Regulate Business		30.1	130.1	8.5	42.9	-	-	38.6	173.0	63.4	169.7	3.3	1.9%
Transportation		24.3	88.6	560.2	3,322.3	-	-	584.5	3,410.9	621.9	3,421.6	(10.7)	-0.3%
Total Local Assistance Grants		**3,681.7**	**27,509.6**	**1,487.1**	**11,682.5**	**-**	**-**	**5,168.8**	**39,192.1**	**4,873.3**	**38,634.0**	**558.1**	**1.4%**
Departmental Operations:													
Personal Service		621.6	4,229.7	721.5	4,789.0	-	-	1,343.1	9,018.7	1,335.1	8,935.8	82.9	0.9%
Non-Personal Service		182.0	1,398.2	292.2	2,258.6	1.2	21.6	475.4	3,678.4	495.1	3,587.4	91.0	2.5%
General State Charges		86.2	4,483.0	434.8	1,593.2	-	-	521.0	6,076.2	469.5	5,819.7	256.5	4.4%
Debt Service, Including Payments on Financing Agreements		-	-	-	-	81.8	1,663.7	81.8	1,663.7	74.1	1,569.6	94.1	6.0%
Capital Projects		-	-	-	-	-	-	-	-	0.1	2.5	(2.5)	-100.0%
Total Disbursements		**4,571.5**	**37,620.5**	**2,935.6**	**20,323.3**	**83.0**	**1,685.3**	**7,590.1**	**59,629.1**	**7,247.2**	**58,549.0**	**1,080.1**	**1.8%**
Excess (Deficiency) of Receipts over Disbursements		**(1,664.6)**	**(6,947.0)**	**(1,187.2)**	**(5,670.4)**	**1,184.1**	**10,625.7**	**(1,667.7)**	**(1,991.7)**	**(1,857.6)**	**(495.1)**	**(1,496.6)**	**-302.3%**
OTHER FINANCING SOURCES (USES):													
Transfers from Other Funds	(2)	1,001.6	10,983.5	887.6	6,394.2	176.4	2,142.2	2,065.6	19,519.9	1,595.3	18,639.2	880.7	4.7%
Transfers to Other Funds	(2)	(1,191.5)	(7,276.6)	(20.8)	(339.8)	(1,029.3)	(11,793.7)	(2,241.6)	(19,410.1)	(1,691.9)	(18,811.3)	598.8	3.2%
Total Other Financing Sources (Uses)		**(189.9)**	**3,706.9**	**866.8**	**6,054.4**	**(852.9)**	**(9,651.5)**	**(176.0)**	**109.8**	**(96.6)**	**(172.1)**	**281.9**	**163.8%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses		**(1,854.5)**	**(3,240.1)**	**(320.4)**	**384.0**	**331.2**	**974.2**	**(1,843.7)**	**(1,881.9)**	**(1,954.2)**	**(667.2)**	**(1,214.7)**	**-182.1%**
Beginning Fund Balances (Deficits)		**6,363.0**	**7,748.6**	**4,436.7**	**3,732.3**	**787.4**	**144.4**	**11,587.1**	**11,625.3**	**13,928.2**	**12,641.2**	**(1,015.9)**	**-8.0%**
Ending Fund Balances (Deficits)		**$ 4,508.5**	**$ 4,508.5**	**$ 4,116.3**	**$ 4,116.3**	**$ 1,118.6**	**$ 1,118.6**	**$ 9,743.4**	**$ 9,743.4**	**$ 11,974.0**	**$ 11,974.0**	**$ (2,230.6)**	**-18.6%**

(*) 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

EXHIBIT A NOTES
November 2017

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)	$373.2	million
Urban Development Corporation (Youth Facilities)	29.9	
Housing Finance Agency (HFA)	231.9	
Housing Assistance Fund	13.6	
Dormitory Authority (Mental Hygiene)	562.4	
Dormitory Authority and State University Income Fund	452.9	
Federal Capital Projects	407.0	
State bond and note proceeds	146.6	

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	$635.2	million
General Debt Service Fund	709.5	
Banking Services Account	26.7	
Centralized Tech Services Account	9.0	
Charter School Stimulus Fund	4.8	
Court Facilities Incentive Aid Fund	60.7	
Dedicated Highway & Bridge Trust Fund	33.0	
Dedicated Infrastructure Investment Fund	776.7	
Dedicated Mass Transportation - Railroad Account	4.4	
Dedicated Mass Transportation - Transit Authority Account	24.4	
Dedicated Mass Transportation (Non-MTA)	2.5	
Financial Crimes Revenue Account	2.0	
Housing Debt Service Fund	3.1	
Medical Marihuana Health Operation and Oversight	4.5	
Mental Hygiene Patient Income Account	1,350.0	
Mental Hygiene Program Fund	1,200.0	
MTA Financial Assistance Fund	260.5	
MTA Operating Assistance Fund	24.8	
NYC County Courts Operating Fund	3.7	
SUNY - Hospital IFR	43.6	
SUNY - Income Fund	1,015.0	
Tax Revenue Arrearage Account	1.5	

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 ($11.0m), the State University Income Fund ($198.4m), the Mental Hygiene Program Account ($871.3m) and Miscellaneous State Special Revenue Fund ($0.2m).

§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, 2017 - pursuant to a certification from the Budget Director - the reserve amount is ($308.7m), which is funded by a transfer from the General Fund.

Special Revenue Funds "Transfers To Other Funds" includes transfers to Mental Health Services Fund and Department of Health Income Fund ($955.9m) representing the federal share of Medicaid payments for patients residing in State-operated Health and Mental Hygiene facilities, the General Debt Service Fund ($10.6m), the Capital Projects Funds ($191.2m) and Medicaid Management Information System Escrow Fund ($59.2m).

Also included in Special Revenue funds are transfers to the General Fund from the following:

Federal Dept of Health & Human Services Fund	$8.4	million
Federal Employment & Training Grants	1.1	
Federal USDA/Food & Nutrition Services Fund	47.6	
MTA Operating Assistance Fund	1.1	
NYC Assessment Account	21.0	
Public Safety Communication Account	25.0	
SUNY Income Fund	26.0	
Training and Education Program on OSHA Fund	1.2	
Unemployment Insurance Administration Fund	19.0	
Unemployment Insurance - Interest & Penalty Account	3.3	

Debt Service Funds "Transfers To Other Funds" includes transfers to the General Fund from the following:

Revenue Bond Tax Fund	$6,201.7	million
Local Government Assistance Tax Fund	2,161.0	
Sales Tax Revenue Bond Tax Fund	1,777.3	
Clean Water/Clean Air Fund	673.3	

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 ($103.1m) and Mental Hygiene ($877.3m).

Capital Projects Funds "Transfers To Other Funds" includes transfers to the General Fund ($15.2m), the General Debt Service Fund - Lease Purchase ($253.2m), the Revenue Bond Tax Fund ($191.7m), and Miscellaneous Special Revenue Fund ($4.7m).

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, the following balances remained in agency escrow accounts. For accounting purposes, adjustments have been made to reduce medical assistance spending and count these monies as financial resources of the General Fund and the Special Revenue Federal Fund.

	Allocation of Month-End Balances	
	General Fund	Special Revenue - Federal
Medicaid Recoveries - Health Facilities	$ -	$ 373,647
Medicaid Recoveries - Audit	-	608,678
Medicaid Recoveries - Third Parties	-	8,040,807
Pharmacy Rebates	-	1,773,321
Medicare Catastrophic Recovery	-	-
Medicaid "Windfall" Recovery	-	-
Total	$ -	$ 10,796,453

GOVERNMENTAL FUNDS FOOTNOTES

EXHIBIT A NOTES
November 2017

4. 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 ($74.2m) as of November 30, 2017.

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. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2016	8 MOS. ENDED NOV. 30, 2016	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	$ 4.3	$ 41.7	$ 42.6	$ 337.5	$ 46.9	$ 379.2	$ 31.8	$ 286.1	$ 93.1	32.5%
Federal Receipts	1.7	11.3	-	-	1.7	11.3	2.1	12.2	(0.9)	-7.4%
Unemployment Taxes	156.2	1,361.9	-	-	156.2	1,361.9	165.1	1,322.0	39.9	3.0%
Total Receipts	**162.2**	**1,414.9**	**42.6**	**337.5**	**204.8**	**1,752.4**	**199.0**	**1,620.3**	**132.1**	**8.2%**
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	(0.4)	4.5	12.6	72.9	12.2	77.4	10.6	69.5	7.9	11.4%
Non-Personal Service	3.8	35.2	48.5	336.7	52.3	371.9	34.7	297.2	74.7	25.1%
General State Charges	-	0.8	2.7	37.7	2.7	38.5	11.9	33.5	5.0	14.9%
Unemployment Benefits	158.3	1,373.6	-	-	158.3	1,373.6	167.4	1,378.1	(4.5)	-0.3%
Total Disbursements	**161.7**	**1,414.1**	**63.8**	**447.3**	**225.5**	**1,861.4**	**224.6**	**1,778.3**	**83.1**	**4.7%**
Excess (Deficiency) of Receipts Over Disbursements	**0.5**	**0.8**	**(21.2)**	**(109.8)**	**(20.7)**	**(109.0)**	**(25.6)**	**(158.0)**	**49.0**	**31.0%**
OTHER FINANCING SOURCES (USES):										
Transfers from Other Funds	-	-	13.7	35.7	13.7	35.7	3.2	28.0	7.7	27.5%
Transfers to Other Funds	-	-	(0.1)	(7.4)	(0.1)	(7.4)	(0.1)	(7.8)	0.4	5.1%
Total Other Financing Sources (Uses)	**-**	**-**	**13.6**	**28.3**	**13.6**	**28.3**	**3.1**	**20.2**	**8.1**	**40.1%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**0.5**	**0.8**	**(7.6)**	**(81.5)**	**(7.1)**	**(80.7)**	**(22.5)**	**(137.8)**	**57.1**	**41.4%**
Beginning Fund Balances (Deficits)	**23.9**	**23.6**	**(274.3)**	**(200.4)**	**(250.4)**	**(176.8)**	**(176.4)**	**(61.1)**	**(115.7)**	**-189.4%**
Ending Fund Balances (Deficits)	**$ 24.4**	**$ 24.4**	**$ (281.9)**	**$ (281.9)**	**$ (257.5)**	**$ (257.5)**	**$ (198.9)**	**$ (198.9)**	**$ (58.6)**	**-29.5%**

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. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2016	8 MOS. ENDED NOV. 30, 2016	$ Increase/ (Decrease)	% Increase/ Decrease
RECEIPTS:										
Miscellaneous Receipts	$ 28.6	$ 67.6	$ 0.1	$ 1.1	$ 28.7	$ 68.7	$ 7.0	$ 44.0	$ 24.7	56.1%
Total Receipts	**28.6**	**67.6**	**0.1**	**1.1**	**28.7**	**68.7**	**7.0**	**44.0**	**24.7**	**56.1%**
DISBURSEMENTS:										
Departmental Operations:										
Personal Service	3.2	40.3	-	0.2	3.2	40.5	7.0	42.6	(2.1)	-4.9%
Non-Personal Service	2.3	10.1	-	-	2.3	10.1	1.1	8.1	2.0	24.7%
General State Charges	-	14.9	-	0.1	-	15.0	-	11.6	3.4	29.3%
Total Disbursements	**5.5**	**65.3**	**-**	**0.3**	**5.5**	**65.6**	**8.1**	**62.3**	**3.3**	**5.3%**
Excess (Deficiency) of Receipts Over Disbursements	**23.1**	**2.3**	**0.1**	**0.8**	**23.2**	**3.1**	**(1.1)**	**(18.3)**	**21.4**	**116.9%**
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	**23.1**	**2.3**	**0.1**	**0.8**	**23.2**	**3.1**	**(1.1)**	**(18.3)**	**21.4**	**116.9%**
Beginning Fund Balances (Deficits)	**(22.7)**	**(1.9)**	**11.4**	**10.7**	**(11.3)**	**8.8**	**(5.5)**	**11.7**	**(2.9)**	**-24.8%**
Ending Fund Balances (Deficits)	**$ 0.4**	**$ 0.4**	**$ 11.5**	**$ 11.5**	**$ 11.9**	**$ 11.9**	**$ (6.6)**	**$ (6.6)**	**$ 18.5**	**280.3%**

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(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	$ 28,350.0	$ 27,327.0	$ 27,260.3	$ (1,089.7)	$ (66.7)
Consumption/Use	11,175.0	10,993.0	11,035.6	(139.4)	42.6
Business	3,627.0	3,843.0	3,860.8	233.8	17.8
Other	2,394.0	2,515.0	2,454.9	60.9	(60.1)
Miscellaneous Receipts	15,992.0	16,583.0	16,969.4	977.4	386.4
Federal Receipts	36,909.0	36,674.0	37,599.4	690.4	925.4
Total Receipts	**98,447.0**	**97,935.0**	**99,180.4**	**733.4**	**1,245.4**
DISBURSEMENTS:					
Local Assistance Grants	76,105.0	75,169.0	75,567.8	(537.2)	398.8
Departmental Operations	13,651.0	13,962.0	14,043.1	392.1	81.1
General State Charges	6,214.0	6,250.0	6,297.2	83.2	47.2
Debt Service	1,715.0	1,664.0	1,663.7	(51.3)	(0.3)
Capital Projects	5,721.0	4,705.0	4,439.8	(1,281.2)	(265.2)
Total Disbursements	**103,406.0**	**101,750.0**	**102,011.6**	**(1,394.4)**	**261.6**
Excess (Deficiency) of Receipts over Disbursements	**(4,959.0)**	**(3,815.0)**	**(2,831.2)**	**2,127.8**	**983.8**
OTHER FINANCING SOURCES (USES):					
Bond and Note Proceeds, net	-	-	-	-	-
Transfers from Other Funds	21,925.0	21,427.0	20,819.5	(1,105.5)	(607.5)
Transfers to Other Funds	(21,970.0)	(21,517.0)	(20,906.9)	(1,063.1)	(610.1)
Total Other Financing Sources (Uses)	**(45.0)**	**(90.0)**	**(87.4)**	**(42.4)**	**2.6**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(5,004.0)**	**(3,905.0)**	**(2,918.6)**	**2,085.4**	**986.4**
Fund Balances (Deficits) at April 1	**11,105.0**	**11,105.0**	**11,104.7**	**(0.3)**	**(0.3)**
Fund Balances (Deficits) at November 30, 2017	**$ 6,101.0**	**$ 7,200.0**	**$ 8,186.1**	**$ 2,085.1**	**$ 986.1**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(Amounts in millions)

EXHIBIT D

	STATE OPERATING FUNDS (***)				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 28,350.0	$ 27,327.0	$ 27,260.3	$ (1,089.7)	$ (66.7)
Consumption/Use	10,785.0	10,609.0	10,657.1	(127.9)	48.1
Business	3,219.0	3,432.0	3,447.1	228.1	15.1
Other	2,322.0	2,443.0	2,383.4	61.4	(59.6)
Miscellaneous Receipts	12,686.0	13,492.0	13,852.2	1,166.2	360.2
Federal Receipts	37.0	39.0	37.3	0.3	(1.7)
Total Receipts	**57,399.0**	**57,342.0**	**57,637.4**	**238.4**	**295.4**
DISBURSEMENTS:					
Local Assistance Grants	39,472.0	39,118.0	39,192.1	(279.9)	74.1
Departmental Operations	12,423.0	12,639.0	12,697.1	274.1	58.1
General State Charges	6,035.0	6,065.0	6,076.2	41.2	11.2
Debt Service	1,715.0	1,664.0	1,663.7	(51.3)	(0.3)
Capital Projects	-	-	-	-	-
Total Disbursements	**59,645.0**	**59,486.0**	**59,629.1**	**(15.9)**	**143.1**
Excess (Deficiency) of Receipts over Disbursements	**(2,246.0)**	**(2,144.0)**	**(1,991.7)**	**254.3**	**152.3**
OTHER FINANCING SOURCES (USES):					
Transfers from Other Funds	19,807.0	19,615.0	19,519.9 (****)	(287.1)	(95.1)
Transfers to Other Funds	(20,087.0)	(19,628.0)	(19,410.1) (****)	(676.9)	(217.9)
Total Other Financing Sources (Uses)	**(280.0)**	**(13.0)**	**109.8**	**389.8**	**122.8**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(2,526.0)**	**(2,157.0)**	**(1,881.9)**	**644.1**	**275.1**
Fund Balances (Deficits) at April 1	**11,625.0**	**11,625.0**	**11,625.3**	**0.3**	**0.3**
Fund Balances (Deficits) at November 30, 2017	**$ 9,099.0**	**$ 9,468.0**	**$ 9,743.4**	**$ 644.4**	**$ 275.4**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.
(***) 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 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(Amounts in millions)

EXHIBIT D

	GENERAL FUND				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:					
Taxes:					
Personal Income	$ 21,075.0	$ 20,425.0	$ 20,371.0	$ (704.0)	$ (54.0)
Consumption/Use	4,917.0	4,830.0	4,851.9	(65.1)	21.9
Business	2,387.0	2,539.0	2,513.0	126.0	(26.0)
Other	716.0	843.0	823.8	107.8	(19.2)
Miscellaneous Receipts	1,287.0	1,967.0	2,113.6	826.6	146.6
Federal Receipts	-	-	0.2	0.2	0.2
Transfers From:					
PIT in excess of Revenue Bond Debt Service	6,444.0	6,217.0	6,201.7	(242.3)	(15.3)
Sales Tax in excess of LGAC / STRBF Debt Service	3,972.0	3,916.0	3,938.3	(33.7)	22.3
Real Estate Taxes in excess of CW/CA Debt Service	695.0	697.0	673.3	(21.7)	(23.7)
All Other	156.0	156.0	170.2	14.2	14.2
Total Receipts and Other Financing Sources	**41,649.0**	**41,590.0**	**41,657.0**	**8.0**	**67.0**
DISBURSEMENTS:					
Local Assistance Grants	27,784.0	27,389.0	27,509.6	(274.4)	120.6
Departmental Operations	5,437.0	5,612.0	5,627.9	190.9	15.9
General State Charges	4,467.0	4,502.0	4,483.0	16.0	(19.0)
Transfers To:					
Debt Service	713.0	710.0	709.5	(3.5)	(0.5)
Capital Projects	1,970.0	1,617.0	1,444.9	(525.1)	(172.1)
State Share Medicaid	863.0	830.0	1,080.9 (***)	217.9	250.9
SUNY Operations	1,016.0	1,016.0	1,015.0	(1.0)	(1.0)
Other Purposes	3,263.0	3,274.0	3,026.3	(236.7)	(247.7)
Total Disbursements and Other Financing Uses	**45,513.0**	**44,950.0**	**44,897.1**	**(615.9)**	**(52.9)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(3,864.0)**	**(3,360.0)**	**(3,240.1)**	**623.9**	**119.9**
Fund Balances (Deficits) at April 1	**7,749.0**	**7,749.0**	**7,748.6**	**(0.4)**	**(0.4)**
Fund Balances (Deficits) at November 30, 2017	**$ 3,885.0**	**$ 4,389.0**	**$ 4,508.5**	**$ 623.5**	**$ 119.5**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.
(***) Includes transfers to the Department of Health Income Fund, the State University Income Fund and the Mental Hygiene Program Account representing payments for patients residing in State-Operated Health, Mental Hygiene and State University facilities.

STATE OF NEW YORK **EXHIBIT D**

BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(Amounts in millions)

	SPECIAL REVENUE FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:							
Taxes:							
Personal Income	$ 187.0	$ 70.0	$ 74.2	$ -	$ 74.2	$ (112.8)	$ 4.2
Consumption/Use	1,389.0	1,371.0	1,374.6	-	1,374.6	(14.4)	3.6
Business	832.0	893.0	934.1	-	934.1	102.1	41.1
Other	860.0	861.0	845.1	-	845.1	(14.9)	(15.9)
Miscellaneous Receipts	11,207.0	11,352.0	11,574.0	-	11,574.0	367.0	222.0
Federal Receipts	35,472.0	35,259.0	36,186.1	-	36,186.1	714.1	927.1
Transfers from Other Funds(***)	6,430.0	6,456.0	6,394.2	(336.5)	6,057.7	(372.3)	(398.3)
Total Receipts and Other Financing Sources	**56,377.0**	**56,262.0**	**57,382.3**	**(336.5)**	**57,045.8**	**668.8**	**783.8**
DISBURSEMENTS:							
Local Assistance Grants	45,368.0	45,430.0	45,851.3	-	45,851.3	483.3	421.3
Departmental Operations	8,185.0	8,328.0	8,393.6	-	8,393.6	208.6	65.6
General State Charges	1,747.0	1,748.0	1,814.2	-	1,814.2	67.2	66.2
Capital Projects	-	-	-	-	-	-	-
Transfers to Other Funds(***)	1,653.0	1,740.0	1,708.3	(336.5)	1,371.8	(281.2)	(368.2)
Total Disbursements and Other Financing Uses	**56,953.0**	**57,246.0**	**57,767.4**	**(336.5)**	**57,430.9**	**477.9**	**184.9**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(576.0)**	**(984.0)**	**(385.1)**	**-**	**(385.1)**	**190.9**	**598.9**
Fund Balances (Deficits) at April 1	**4,272.0**	**4,272.0**	**4,272.2**	**-**	**4,272.2**	**0.2**	**0.2**
Fund Balances (Deficits) at November 30, 2017	**$ 3,696.0**	**$ 3,288.0**	**$ 3,887.1**	**$ -**	**$ 3,887.1**	**$ 191.1**	**$ 599.1**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.
(***) Actual reported transfer amounts include eliminations between Special Revenue - State and Federal Funds.

STATE OF NEW YORK

EXHIBIT D

BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(Amounts in millions)

	STATE SPECIAL REVENUE FUNDS					FEDERAL SPECIAL REVENUE FUNDS				
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Personal Income	$ 187.0	$ 70.0	$ 74.2	$ (112.8)	$ 4.2	$ -	$ -	$ -	$ -	$ -
Consumption/Use	1,389.0	1,371.0	1,374.6	(14.4)	3.6	-	-	-	-	-
Business	832.0	893.0	934.1	102.1	41.1	-	-	-	-	-
Other	860.0	861.0	845.1	(14.9)	(15.9)	-	-	-	-	-
Miscellaneous Receipts	11,088.0	11,205.0	11,424.5	336.5	219.5	119.0	147.0	149.5	30.5	2.5
Federal Receipts	-	-	0.4	0.4	0.4	35,472.0	35,259.0	36,185.7	713.7	926.7
Transfers from Other Funds	6,424.0	6,456.0	6,394.2	(29.8)	(61.8)	6.0	-	-	(6.0)	-
Total Receipts and Other Financing Sources	**20,780.0**	**20,856.0**	**21,047.1**	**267.1**	**191.1**	**35,597.0**	**35,406.0**	**36,335.2**	**738.2**	**929.2**
DISBURSEMENTS:										
Local Assistance Grants	11,688.0	11,729.0	11,682.5	(5.5)	(46.5)	33,680.0	33,701.0	34,168.8	488.8	467.8
Departmental Operations	6,957.0	7,005.0	7,047.6	90.6	42.6	1,228.0	1,323.0	1,346.0	118.0	23.0
General State Charges	1,568.0	1,563.0	1,593.2	25.2	30.2	179.0	185.0	221.0	42.0	36.0
Capital Projects	-	-	-	-	-	-	-	-	-	-
Transfers to Other Funds	245.0	323.0	339.8	94.8	16.8	1,408.0	1,417.0	1,368.5	(39.5)	(48.5)
Total Disbursements and Other Financing Uses	**20,458.0**	**20,620.0**	**20,663.1**	**205.1**	**43.1**	**36,495.0**	**36,626.0**	**37,104.3**	**609.3**	**478.3**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**322.0**	**236.0**	**384.0**	**62.0**	**148.0**	**(898.0)**	**(1,220.0)**	**(769.1)**	**128.9**	**450.9**
Fund Balances (Deficits) at April 1	**3,732.0**	**3,732.0**	**3,732.3**	**0.3**	**0.3**	**540.0**	**540.0**	**539.9**	**(0.1)**	**(0.1)**
Fund Balances (Deficits) at November 30, 2017	**$ 4,054.0**	**$ 3,968.0**	**$ 4,116.3**	**$ 62.3**	**$ 148.3**	**$ (358.0)**	**$ (680.0)**	**$ (229.2)**	**$ 128.8**	**$ 450.8**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK **EXHIBIT D**

BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(Amounts in millions)

	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	$ 7,088.0	$ 6,832.0	$ 6,815.1	$ (272.9)	$ (16.9)
Consumption/Use	4,479.0	4,408.0	4,430.6	(48.4)	22.6
Other	746.0	739.0	714.5	(31.5)	(24.5)
Miscellaneous Receipts	311.0	320.0	314.1	3.1	(5.9)
Federal Receipts	37.0	39.0	36.7	(0.3)	(2.3)
Transfers from Other Funds	2,116.0	2,173.0	2,142.2	26.2	(30.8)
Total Receipts and Other Financing Sources	**14,777.0**	**14,511.0**	**14,453.2**	**(323.8)**	**(57.8)**
DISBURSEMENTS:					
Departmental Operations	29.0	22.0	21.6	(7.4)	(0.4)
Debt Service	1,715.0	1,664.0	1,663.7	(51.3)	(0.3)
Transfers to Other Funds	12,017.0	11,858.0	11,793.7	(223.3)	(64.3)
Total Disbursements and Other Financing Uses	**13,761.0**	**13,544.0**	**13,479.0**	**(282.0)**	**(65.0)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,016.0**	**967.0**	**974.2**	**(41.8)**	**7.2**
Fund Balances (Deficits) at April 1	**144.0**	**144.0**	**144.4**	**0.4**	**0.4**
Fund Balances (Deficits) at November 30, 2017	**$ 1,160.0**	**$ 1,111.0**	**$ 1,118.6**	**$ (41.4)**	**$ 7.6**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(Amounts in millions)

EXHIBIT D

	CAPITAL PROJECTS FUNDS						
	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Eliminations	Total	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:							
Taxes:							
Consumption/Use	$ 390.0	$ 384.0	$ 378.5	$ -	$ 378.5	$ (11.5)	$ (5.5)
Business	408.0	411.0	413.7	-	413.7	5.7	2.7
Other	72.0	72.0	71.5	-	71.5	(0.5)	(0.5)
Miscellaneous Receipts	3,187.0	2,944.0	2,967.7	-	2,967.7	(219.3)	23.7
Federal Receipts	1,400.0	1,376.0	1,376.4	-	1,376.4	(23.6)	0.4
Bond and Note Proceeds, net	-	-	-	-	-	-	-
Transfers from Other Funds	2,112.0	1,812.0	1,636.1	-	1,636.1	(475.9)	(175.9)
Total Receipts and Other Financing Sources	**7,569.0**	**6,999.0**	**6,843.9**	**-**	**6,843.9**	**(725.1)**	**(155.1)**
DISBURSEMENTS:							
Local Assistance Grants	2,953.0	2,350.0	2,206.9	-	2,206.9	(746.1)	(143.1)
Capital Projects	5,721.0	4,705.0	4,439.8	-	4,439.8	(1,281.2)	(265.2)
Transfers to Other Funds	475.0	472.0	464.8	-	464.8	(10.2)	(7.2)
Total Disbursements and Other Financing Uses	**9,149.0**	**7,527.0**	**7,111.5**	**-**	**7,111.5**	**(2,037.5)**	**(415.5)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(1,580.0)**	**(528.0)**	**(267.6)**	**-**	**(267.6)**	**1,312.4**	**260.4**
Fund Balances (Deficits) at April 1	**(1,060.0)**	**(1,060.0)**	**(1,060.5)**	**-**	**(1,060.5)**	**(0.5)**	**(0.5)**
Fund Balances (Deficits) at November 30, 2017	**$ (2,640.0)**	**$ (1,588.0)**	**$ (1,328.1)**	**$ -**	**$ (1,328.1)**	**$ 1,311.9**	**$ 259.9**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK
BUDGETARY BASIS - FINANCIAL PLAN AND ACTUAL
FISCAL YEAR 2017-2018
FOR EIGHT MONTHS ENDED NOVEMBER 30, 2017
(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	Actual Over/ (Under) Updated Financial Plan	Enacted Financial Plan (*)	Updated Financial Plan (**)	Actual	Actual Over/ (Under) Enacted Financial Plan	Actual Over/ (Under) Updated Financial Plan
RECEIPTS:										
Taxes:										
Consumption/Use	$ 390.0	$ 384.0	$ 378.5	$ (11.5)	$ (5.5)	$ -	$ -	$ -	$ -	$ -
Business	408.0	411.0	413.7	5.7	2.7	-	-	-	-	-
Other	72.0	72.0	71.5	(0.5)	(0.5)	-	-	-	-	-
Miscellaneous Receipts	3,186.0	2,943.0	2,966.0	(220.0)	23.0	1.0	1.0	1.7	0.7	0.7
Federal Receipts	2.0	3.0	2.5	0.5	(0.5)	1,398.0	1,373.0	1,373.9	(24.1)	0.9
Bond and Note Proceeds, net	-	-	-	-	-	-	-	-	-	-
Transfers from Other Funds	2,112.0	1,812.0	1,636.1	(475.9)	(175.9)	-	-	-	-	-
Total Receipts and Other Financing Sources	**6,170.0**	**5,625.0**	**5,468.3**	**(701.7)**	**(156.7)**	**1,399.0**	**1,374.0**	**1,375.6**	**(23.4)**	**1.6**
DISBURSEMENTS:										
Local Assistance Grants	2,485.0	1,951.0	1,896.4	(588.6)	(54.6)	468.0	399.0	310.5	(157.5)	(88.5)
Capital Projects	4,820.0	3,808.0	3,542.0	(1,278.0)	(266.0)	901.0	897.0	897.8	(3.2)	0.8
Transfers to Other Funds	469.0	467.0	460.1	(8.9)	(6.9)	6.0	5.0	4.7	(1.3)	(0.3)
Total Disbursements and Other Financing Uses	**7,774.0**	**6,226.0**	**5,898.5**	**(1,875.5)**	**(327.5)**	**1,375.0**	**1,301.0**	**1,213.0**	**(162.0)**	**(88.0)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(1,604.0)**	**(601.0)**	**(430.2)**	**1,173.8**	**170.8**	**24.0**	**73.0**	**162.6**	**138.6**	**89.6**
Fund Balances (Deficits) at April 1	**(491.0)**	**(491.0)**	**(490.9)**	**0.1**	**0.1**	**(569.0)**	**(569.0)**	**(569.6)**	**(0.6)**	**(0.6)**
Fund Balances (Deficits) at November 30, 2017	**$ (2,095.0)**	**$ (1,092.0)**	**$ (921.1)**	**$ 1,173.9**	**$ 170.9**	**$ (545.0)**	**$ (496.0)**	**$ (407.0)**	**$ 138.0**	**$ 89.0**

(*) Source: 2017-18 Enacted Financial Plan dated May 26, 2017.
(**) Source: 2017-18 Mid-Year Update dated November 10, 2017.

STATE OF NEW YORK
GOVERNMENTAL FUNDS
COMPARATIVE SCHEDULE OF TAX RECEIPTS
(Amounts in millions)

EXHIBIT E

	GENERAL		SPECIAL REVENUE		DEBT SERVICE		CAPITAL PROJECTS		TOTAL GOVERNMENTAL FUNDS				YEAR OVER YEAR	
	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2017	8 MOS. ENDED NOV. 30, 2017	MONTH OF NOV. 2016	8 MOS. ENDED NOV. 30, 2016	$ Increase/ (Decrease)	% Increase/ Decrease
PERSONAL INCOME TAX														
Withholding	$ 2,898.9	$ 22,481.0	$ -	$ -	$ -	$ -	$ -	$ -	$ 2,898.9	$ 22,481.0	$ 2,828.4	$ 21,421.1	$ 1,059.9	4.9%
Estimated Payments	116.7	8,965.8	-	-	-	-	-	-	116.7	8,965.8	79.6	9,661.3	(695.5)	-7.2%
Returns	33.9	2,229.2	-	-	-	-	-	-	33.9	2,229.2	33.4	2,379.1	(149.9)	-6.3%
State/City Offsets	(96.0)	(723.4)	-	-	-	-	-	-	(96.0)	(723.4)	(121.1)	(735.2)	(11.8)	-1.6%
Other (Assessments/LLC)	108.3	842.4	-	-	-	-	-	-	108.3	842.4	93.3	858.0	(15.6)	-1.8%
Gross Receipts	**3,061.8**	**33,795.0**	**-**	**-**	**-**	**-**	**-**	**-**	**3,061.8**	**33,795.0**	**2,913.6**	**33,584.3**	**210.7**	**0.6%**
Transfers to School Tax Relief Fund	(11.6)	(74.2)	11.6	74.2	-	-	-	-	-	-	-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	(597.9)	(6,815.1)	-	-	597.9	6,815.1	-	-	-	-	-	-	-	0.0%
Less: Refunds Issued	(670.4)	(6,534.7)	-	-	-	-	-	-	(670.4)	(6,534.7)	(819.8)	(5,458.5)	1,076.2	19.7%
Total	**1,781.9**	**20,371.0**	**11.6**	**74.2**	**597.9**	**6,815.1**	**-**	**-**	**2,391.4**	**27,260.3**	**2,093.8**	**28,125.8**	**(865.5)**	**-3.1%**
CONSUMPTION/USE TAXES														
Sales and Use	551.0	4,437.5	77.5	640.5	550.7	4,430.6	-	-	1,179.2	9,508.6	1,066.8	9,159.5	349.1	3.8%
Auto Rental	-	-	3.7	33.4	-	-	6.1	57.6	9.8	91.0	3.9	78.6	12.4	15.8%
Cigarette/Tobacco Products	29.3	238.8	68.2	583.6	-	-	-	-	97.5	822.4	110.7	867.1	(44.7)	-5.2%
Medical Marihuana	-	-	0.2	1.1	-	-	-	-	0.2	1.1	-	0.3	0.8	266.7%
Motor Fuel	-	-	9.1	73.5	-	-	33.6	272.1	42.7	345.6	45.5	352.3	(6.7)	-1.9%
Alcoholic Beverage	23.1	175.6	-	-	-	-	-	-	23.1	175.6	20.6	173.0	2.6	1.5%
Highway Use	-	-	0.1	1.3	-	-	11.4	48.8	11.5	50.1	11.2	96.3	(46.2)	-48.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	1.3	41.2	-	-	-	-	1.3	41.2	0.3	48.5	(7.3)	-15.1%
Total	**603.4**	**4,851.9**	**160.1**	**1,374.6**	**550.7**	**4,430.6**	**51.1**	**378.5**	**1,365.3**	**11,035.6**	**1,259.0**	**10,775.6**	**260.0**	**2.4%**
BUSINESS TAXES														
Corporation Franchise	9.5	1,316.0	42.2	437.0	-	-	-	-	51.7	1,753.0	(108.2)	1,860.5	(107.5)	-5.8%
Corporation and Utilities	0.5	258.9	0.5	72.6	-	-	-	6.0	1.0	337.5	(2.1)	286.9	50.6	17.6%
Insurance	4.1	696.7	1.0	71.3	-	-	-	-	5.1	768.0	6.4	709.7	58.3	8.2%
Bank	4.2	241.4	(4.2)	27.2	-	-	-	-	-	268.6	(7.5)	325.9	(57.3)	-17.6%
Petroleum Business	-	-	41.2	326.0	-	-	51.5	407.7	92.7	733.7	94.0	762.5	(28.8)	-3.8%
Total	**18.3**	**2,513.0**	**80.7**	**934.1**	**-**	**-**	**51.5**	**413.7**	**150.5**	**3,860.8**	**(17.4)**	**3,945.5**	**(84.7)**	**-2.1%**
OTHER TAXES														
Real Property Gains	-	-	-	-	-	-	-	-	-	-	0.1	0.1	(0.1)	-100.0%
Estate and Gift	70.6	809.9	-	-	-	-	-	-	70.6	809.9	92.0	729.6	80.3	11.0%
Pari-Mutuel	1.1	11.7	-	-	-	-	-	-	1.1	11.7	1.1	11.9	(0.2)	-1.7%
Real Estate Transfer	-	-	-	-	85.0	714.5	12.0	71.5	97.0	786.0	94.6	775.5	10.5	1.4%
Racing and Exhibitions	0.7	2.2	-	-	-	-	-	-	0.7	2.2	1.6	2.5	(0.3)	-12.0%
Metropolitan Commuter Trans. Mobility	-	-	90.6	845.1	-	-	-	-	90.6	845.1	97.2	817.8	27.3	3.3%
Total	**72.4**	**823.8**	**90.6**	**845.1**	**85.0**	**714.5**	**12.0**	**71.5**	**260.0**	**2,454.9**	**286.6**	**2,337.4**	**117.5**	**5.0%**
Total Tax Receipts	**$ 2,476.0**	**$ 28,559.7**	**$ 343.0**	**$ 3,228.0**	**$ 1,233.6**	**$ 11,960.2**	**$ 114.6**	**$ 863.7**	**$ 4,167.2**	**$ 44,611.6**	**$ 3,622.0**	**$ 45,184.3**	**$ (572.7)**	**-1.3%**

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	**$ 11,104.7**	**$ 11,516.4**	**$ 6,483.9**	**$ 7,679.9**	**$ 9,316.8**	**$ 9,494.5**	**$ 9,850.6**	**$ 9,873.6**					**$ 11,104.7**	**$ 11,810.1**	**$ (705.4)**	**-6.0%**
RECEIPTS:																
Taxes:																
Personal Income Tax :																
Withholdings	2,755.8	2,855.0	2,889.4	2,682.4	3,026.7	2,583.1	2,789.7	2,898.9					22,481.0	21,421.1	1,059.9	4.9%
Estimated payments	4,168.2	112.1	1,922.9	89.7	95.6	2,315.3	145.3	116.7					8,965.8	9,661.3	(695.5)	-7.2%
Returns	1,572.8	74.6	44.2	31.7	33.0	47.3	391.7	33.9					2,229.2	2,379.1	(149.9)	-6.3%
State/City Offsets	(201.5)	(15.6)	(19.4)	(19.0)	(21.2)	(29.0)	(321.7)	(96.0)					(723.4)	(735.2)	(11.8)	-1.6%
Other (Assessments/LLC)	154.0	105.2	87.5	97.2	110.7	79.4	100.1	108.3					842.4	858.0	(15.6)	-1.8%
Gross Receipts	**8,449.3**	**3,131.3**	**4,924.6**	**2,882.0**	**3,244.8**	**4,996.1**	**3,105.1**	**3,061.8**	**-**	**-**	**-**	**-**	**33,795.0**	**33,584.3**	**210.7**	**0.6%**
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-	-	-	-	-	-					-	-	-	0.0%
Refunds issued	(3,447.5)	(1,030.0)	(273.8)	(232.0)	(189.8)	(280.3)	(410.9)	(670.4)					(6,534.7)	(5,458.5)	1,076.2	19.7%
Total Personal Income Tax	**5,001.8**	**2,101.3**	**4,650.8**	**2,650.0**	**3,055.0**	**4,715.8**	**2,694.2**	**2,391.4**	**-**	**-**	**-**	**-**	**27,260.3**	**28,125.8**	**(865.5)**	**-3.1%**
Consumption/Use Taxes:																
Sales and Use	1,042.9	1,044.0	1,447.1	1,125.1	1,101.2	1,456.2	1,112.9	1,179.2					9,508.6	9,159.5	349.1	3.8%
Auto Rental	11.7	8.8	12.3	13.5	13.0	12.6	9.3	9.8					91.0	78.6	12.4	15.8%
Cigarette/Tobacco Products	87.7	107.8	105.8	97.8	118.1	101.7	106.0	97.5					822.4	867.1	(44.7)	-5.2%
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2	0.2					1.1	0.3	0.8	266.7%
Motor Fuel	41.4	39.6	44.2	44.1	44.7	46.3	42.6	42.7					345.6	352.3	(6.7)	-1.9%
Alcoholic Beverage	21.0	19.0	23.6	28.9	16.5	24.1	19.4	23.1					175.6	173.0	2.6	1.5%
Highway Use	11.6	(32.5)	10.9	12.2	12.1	10.0	14.3	11.5					50.1	96.3	(46.2)	-48.0%
Metropolitan Commuter Trans. Taxicab Trip	13.4	0.7	0.4	13.1	0.5	0.4	11.4	1.3					41.2	48.5	(7.3)	-15.1%
Total Consumption/Use Taxes	**1,229.8**	**1,187.5**	**1,644.4**	**1,334.8**	**1,306.3**	**1,651.4**	**1,316.1**	**1,365.3**	**-**	**-**	**-**	**-**	**11,035.6**	**10,775.6**	**260.0**	**2.4%**
Business Taxes:																
Corporation Franchise	430.1	118.0	495.6	60.6	130.6	498.8	(32.4)	51.7					1,753.0	1,860.5	(107.5)	-5.8%
Corporation and Utilities	40.6	36.2	119.9	10.6	3.8	124.1	1.3	1.0					337.5	286.9	50.6	17.6%
Insurance	45.5	15.5	321.3	7.2	24.4	340.5	8.5	5.1					768.0	709.7	58.3	8.2%
Bank	4.3	(7.4)	(0.9)	6.9	275.1	(10.4)	1.0	-					268.6	325.9	(57.3)	-17.6%
Petroleum Business	82.7	82.3	95.3	99.5	90.5	99.4	91.3	92.7					733.7	762.5	(28.8)	-3.8%
Total Business Taxes	**603.2**	**244.6**	**1,031.2**	**184.8**	**524.4**	**1,052.4**	**69.7**	**150.5**	**-**	**-**	**-**	**-**	**3,860.8**	**3,945.5**	**(84.7)**	**-2.1%**
Other Taxes:																
Real Property Gains	-	-	-	-	-	-	-	-					-	0.1	(0.1)	-100.0%
Estate and Gift	89.7	112.7	102.0	64.4	83.2	211.7	75.6	70.6					809.9	729.6	80.3	11.0%
Pari-Mutuel	0.8	1.2	1.5	1.4	2.3	2.2	1.2	1.1					11.7	11.9	(0.2)	-1.7%
Real Estate Transfer	94.8	94.7	101.5	96.3	109.5	110.3	81.9	97.0					786.0	775.5	10.5	1.4%
Racing and Exhibitions	0.4	0.1	-	0.2	0.5	-	0.3	0.7					2.2	2.5	(0.3)	-12.0%
Metropolitan Commuter Trans. Mobility	120.2	106.9	106.2	98.2	105.7	99.3	118.0	90.6					845.1	817.8	27.3	3.3%
Total Other Taxes	**305.9**	**315.6**	**311.2**	**260.5**	**301.2**	**423.5**	**277.0**	**260.0**	**-**	**-**	**-**	**-**	**2,454.9**	**2,337.4**	**117.5**	**5.0%**
Total Taxes	**7,140.7**	**3,849.0**	**7,637.6**	**4,430.1**	**5,186.9**	**7,843.1**	**4,357.0**	**4,167.2**	**-**	**-**	**-**	**-**	**44,611.6**	**45,184.3**	**(572.7)**	**-1.3%**
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.7	0.9	1.2	1.1	1.7	65.3	6.3	171.5					248.7	233.5	15.2	6.5%
Bottle Bill	0.3	0.5	32.7	0.6	0.2	36.2	1.2	0.2					71.9	68.7	3.2	4.7%
Assessments:																
Business	33.6	72.8	94.2	25.9	70.9	118.9	19.7	21.5					457.5	739.5	(282.0)	-38.1%
Medical Care	462.2	460.4	457.4	541.8	503.9	475.5	509.5	471.2					3,881.9	3,673.7	208.2	5.7%
Public Utilities	1.4	-	0.7	0.1	0.4	45.9	(9.6)	0.3					39.2	92.5	(53.3)	-57.6%
Other	0.9	(0.1)	1.3	5.7	-	0.3	(5.5)	0.1					2.7	155.1	(152.4)	-98.3%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	6.1	6.4	5.9	5.4	6.1	5.7	6.5	4.4					46.5	39.6	6.9	17.4%
Audit Fees	-	0.8	1.1	-	0.1	-	-	-					2.0	2.2	(0.2)	-9.1%
Business/Professional	49.4	56.3	108.4	53.4	50.5	108.9	73.2	62.6					562.7	574.7	(12.0)	-2.1%
Civil	22.3	17.5	16.7	43.0	12.6	26.7	33.5	22.0					194.3	184.4	9.9	5.4%
Criminal	0.2	1.6	0.5	0.2	0.7	1.8	1.0	0.4					6.4	5.7	0.7	12.3%
Motor Vehicle	147.9	137.2	143.6	108.0	123.6	116.8	117.7	120.7					1,015.5	918.2	97.3	10.6%
Recreational/Consumer	43.7	50.5	39.9	53.2	76.3	115.0	71.1	67.3					517.0	498.2	18.8	3.8%
Fines, Penalties and Forfeitures	15.8	411.5	46.8	26.0	74.1	286.4	30.1	162.8					1,053.5	741.4	312.1	42.1%
Gaming:																
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6	10.1					130.6	118.6	12.0	10.1%
Lottery	190.4	234.2	193.7	182.6	268.1	184.5	181.6	224.9					1,660.0	1,632.7	27.3	1.7%
Video Lottery	72.5	73.6	94.2	76.5	93.8	75.3	73.9	89.4					649.2	649.9	(0.7)	-0.1%
Interest Earnings	10.1	7.7	9.7	8.6	11.3	11.1	12.6	12.9					84.0	50.1	33.9	67.7%
Receipts from Public Authorities:																
Bond Proceeds	-	2.6	76.1	1,120.5	40.1	38.5	876.3	28.3					2,182.4	1,473.8	708.6	48.1%
Cost Recovery Assessments	-	-	-	-	22.6	8.6	-	6.8					38.0	33.1	4.9	14.8%
Issuance Fees	3.0	13.9	1.2	29.1	1.3	0.3	14.7	4.0					67.5	70.4	(2.9)	-4.1%
Non Bond Related	8.6	1.8	-	6.0	23.1	25.1	23.5	0.1					88.2	30.7	57.5	187.3%
Receipts from Municipalities	22.2	20.2	24.6	22.6	24.4	58.0	31.3	23.1					226.4	249.0	(22.6)	-9.1%
Rentals	46.2	30.1	16.0	27.8	6.0	7.8	2.1	63.9					199.9	248.9	(49.0)	-19.7%
Revenues of State Departments:																

STATE OF NEW YORK
GOVERNMENTAL FUNDS (*)
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Administrative Recoveries	12.4	9.3	33.1	23.7	9.8	26.1	23.0	11.1					148.5	141.2	7.3	5.2%
Commissions	-	1.1	0.1	0.4	0.3	0.3	0.4	0.8					3.4	4.2	(0.8)	-19.0%
Gifts, Grants and Donations	1.7	1.3	11.5	0.7	3.6	1.8	1.3	0.7					22.6	20.8	1.8	8.7%
Indirect Cost Recoveries	0.9	13.4	11.5	7.2	20.8	4.6	8.1	20.3					86.8	85.9	0.9	1.0%
Patient/Client Care Reimbursement	195.7	138.5	300.3	173.6	21.4	376.1	158.7	241.2					1,605.5	1,496.4	109.1	7.3%
Rebates	11.7	11.9	15.7	17.1	13.1	11.8	19.4	13.5					114.2	104.8	9.4	9.0%
Restitution and Settlements	5.5	8.8	1.1	11.6	1.0	1.9	7.6	9.2					46.7	255.1	(208.4)	-81.7%
Student Loans	8.1	9.3	13.3	8.2	10.5	31.8	7.3	6.2					94.7	55.4	39.3	70.9%
All Other	51.9	38.4	40.2	27.0	55.9	41.4	50.0	49.6					354.4	360.5	(6.1)	-1.7%
Sales	1.2	1.5	1.3	1.3	10.0	3.6	1.9	1.6					22.4	18.9	3.5	18.5%
Tuition	43.8	42.4	77.3	37.8	193.3	415.2	167.1	67.3					1,044.2	1,037.8	6.4	0.6%
Total Miscellaneous Receipts	**1,493.1**	**1,886.7**	**1,883.8**	**2,671.1**	**1,762.4**	**2,741.2**	**2,541.1**	**1,990.0**	**-**	**-**	**-**	**-**	**16,969.4**	**16,065.6**	**903.8**	**5.6%**
Federal Receipts	3,473.2	4,695.3	5,680.9	3,774.4	5,262.4	5,149.4	4,214.7	5,349.1					37,599.4	33,683.4	3,916.0	11.6%
Total Receipts	**12,107.0**	**10,431.0**	**15,202.3**	**10,875.6**	**12,211.7**	**15,733.7**	**11,112.8**	**11,506.3**	**-**	**-**	**-**	**-**	**99,180.4**	**94,933.3**	**4,247.1**	**4.5%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	1,247.7	4,268.0	3,739.9	681.8	995.1	4,325.3	1,277.4	2,441.8					18,977.0	18,406.5	570.5	3.1%
Environment and Recreation	2.7	32.7	3.8	7.2	8.9	9.2	8.8	32.7					106.0	90.5	15.5	17.1%
General Government	24.1	49.4	651.9	61.1	92.3	245.0	75.2	49.6					1,248.6	1,146.4	102.2	8.9%
Public Health:																
Medicaid	4,456.9	5,499.9	4,344.4	4,124.1	5,618.5	4,606.7	4,499.1	5,340.6					38,490.2	34,622.5	3,867.7	11.2%
Other Public Health	537.5	869.1	938.7	914.1	565.4	1,378.4	616.8	640.7					6,460.7	5,546.6	914.1	16.5%
Public Safety	137.0	80.7	129.0	88.6	180.2	76.2	173.3	189.2					1,054.2	1,132.0	(77.8)	-6.9%
Public Welfare	446.6	547.5	706.4	377.9	378.8	514.3	855.8	487.0					4,314.3	4,752.3	(438.0)	-9.2%
Support and Regulate Business	165.9	78.4	102.2	119.4	244.1	86.9	82.1	55.0					934.0	671.0	263.0	39.2%
Transportation	285.6	560.2	522.6	402.4	635.1	511.6	435.9	629.4					3,982.8	4,103.3	(120.5)	-2.9%
Total Local Assistance Grants	**7,304.0**	**11,985.9**	**11,138.9**	**6,776.6**	**8,718.4**	**11,753.6**	**8,024.4**	**9,866.0**	**-**	**-**	**-**	**-**	**75,567.8**	**70,471.1**	**5,096.7**	**7.2%**
Departmental Operations:																
Personal Service	1,100.0	1,450.0	1,064.9	1,044.2	1,227.8	1,047.8	1,111.9	1,421.1					9,467.7	9,362.4	105.3	1.1%
Non-Personal Service	368.9	620.2	611.2	428.6	658.4	645.6	644.2	598.3					4,575.4	4,466.3	109.1	2.4%
General State Charges	2,459.3	785.1	477.9	403.2	487.2	563.1	557.8	563.6					6,297.2	5,984.4	312.8	5.2%
Debt Service, Including Payments on Financing Agreements	87.2	148.2	186.1	28.0	348.6	757.1	26.7	81.8					1,663.7	1,569.6	94.1	6.0%
Capital Projects	350.0	472.2	526.0	555.8	575.7	596.6	718.2	645.3					4,439.8	4,401.5	38.3	0.9%
Total Disbursements	**11,669.4**	**15,461.6**	**14,005.0**	**9,236.4**	**12,016.1**	**15,363.8**	**11,083.2**	**13,176.1**	**-**	**-**	**-**	**-**	**102,011.6**	**96,255.3**	**5,756.3**	**6.0%**
Excess (Deficiency) of Receipts over Disbursements	**437.6**	**(5,030.6)**	**1,197.3**	**1,639.2**	**195.6**	**369.9**	**29.6**	**(1,669.8)**	**-**	**-**	**-**	**-**	**(2,831.2)**	**(1,322.0)**	**(1,509.2)**	**-114.2%**
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers from Other Funds	3,449.1	2,289.2	3,496.5	1,494.0	2,367.8	3,227.7	2,075.1	2,420.1					20,819.5	20,173.5	646.0	3.2%
Transfers to Other Funds	(3,475.0)	(2,291.1)	(3,497.8)	(1,496.3)	(2,385.7)	(3,241.5)	(2,081.7)	(2,437.8)					(20,906.9)	(20,204.1)	702.8	3.5%
Total Other Financing Sources (Uses)	**(25.9)**	**(1.9)**	**(1.3)**	**(2.3)**	**(17.9)**	**(13.8)**	**(6.6)**	**(17.7)**	**-**	**-**	**-**	**-**	**(87.4)**	**(30.6)**	**(56.8)**	**-185.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**411.7**	**(5,032.5)**	**1,196.0**	**1,636.9**	**177.7**	**356.1**	**23.0**	**(1,687.5)**	**-**	**-**	**-**	**-**	**(2,918.6)**	**(1,352.6)**	**(1,566.0)**	**-115.8%**
Ending Fund Balance	**$ 11,516.4**	**$ 6,483.9**	**$ 7,679.9**	**$ 9,316.8**	**$ 9,494.5**	**$ 9,850.6**	**$ 9,873.6**	**$ 8,186.1**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 8,186.1**	**$ 10,457.5**	**$ (2,271.4)**	**-21.7%**

(*) 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 2017-2018
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 11,625.3	$ 12,636.4	$ 8,247.2	$ 8,315.4	$ 10,096.0	$ 10,519.7	$ 10,984.5	$ 11,587.1					$ 11,625.3	$ 12,641.2	$ (1,015.9)	-8.0%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	2,755.8	2,855.0	2,889.4	2,682.4	3,026.7	2,583.1	2,789.7	2,898.9					22,481.0	21,421.1	1,059.9	4.9%
Estimated payments	4,168.2	112.1	1,922.9	89.7	95.6	2,315.3	145.3	116.7					8,965.8	9,661.3	(695.5)	-7.2%
Returns	1,572.8	74.6	44.2	31.7	33.0	47.3	391.7	33.9					2,229.2	2,379.1	(149.9)	-6.3%
State/City Offsets	(201.5)	(15.6)	(19.4)	(19.0)	(21.2)	(29.0)	(321.7)	(96.0)					(723.4)	(735.2)	(11.8)	-1.6%
Other (Assessments/LLC)	154.0	105.2	87.5	97.2	110.7	79.4	100.1	108.3					842.4	858.0	(15.6)	-1.8%
Gross Receipts	**8,449.3**	**3,131.3**	**4,924.6**	**2,882.0**	**3,244.8**	**4,996.1**	**3,105.1**	**3,061.8**	-	-	-	-	**33,795.0**	**33,584.3**	**210.7**	**0.6%**
Transfers to School Tax Relief Fund	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Revenue Bond Tax Fund	-	-	-	-	-	-	-	-					-	-	-	0.0%
Refunds issued	(3,447.5)	(1,030.0)	(273.8)	(232.0)	(189.8)	(280.3)	(410.9)	(670.4)					(6,534.7)	(5,458.5)	1,076.2	19.7%
Total Personal Income Tax	**5,001.8**	**2,101.3**	**4,650.8**	**2,650.0**	**3,055.0**	**4,715.8**	**2,694.2**	**2,391.4**	-	-	-	-	**27,260.3**	**28,125.8**	**(865.5)**	**-3.1%**
Consumption/Use Taxes:																
Sales and Use	1,042.9	1,044.0	1,447.1	1,125.1	1,101.2	1,456.2	1,112.9	1,179.2					9,508.6	9,159.5	349.1	3.8%
Auto Rental	3.7	3.3	4.6	5.1	4.9	4.6	3.5	3.7					33.4	35.9	(2.5)	-7.0%
Cigarette/Tobacco Products	87.7	107.8	105.8	97.8	118.1	101.7	106.0	97.5					822.4	867.1	(44.7)	-5.2%
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2	0.2					1.1	0.3	0.8	266.7%
Motor Fuel	8.6	8.7	9.3	9.5	9.3	9.9	9.1	9.1					73.5	74.4	(0.9)	-1.2%
Alcoholic Beverage	21.0	19.0	23.6	28.9	16.5	24.1	19.4	23.1					175.6	173.0	2.6	1.5%
Highway Use	0.1	0.2	0.2	0.2	0.2	0.2	0.1	0.1					1.3	1.9	(0.6)	-31.6%
Metropolitan Commuter Trans. Taxicab Trip	13.4	0.7	0.4	13.1	0.5	0.4	11.4	1.3					41.2	48.5	(7.3)	-15.1%
Total Consumption/Use Taxes	**1,177.5**	**1,183.8**	**1,591.1**	**1,279.8**	**1,250.9**	**1,597.2**	**1,262.6**	**1,314.2**	-	-	-	-	**10,657.1**	**10,360.6**	**296.5**	**2.9%**
Business Taxes:																
Corporation Franchise	430.1	118.0	495.6	60.6	130.6	498.8	(32.4)	51.7					1,753.0	1,860.5	(107.5)	-5.8%
Corporation and Utilities	39.7	35.6	117.9	10.6	3.7	121.9	1.1	1.0					331.5	281.5	50.0	17.8%
Insurance	45.5	15.5	321.3	7.2	24.4	340.5	8.5	5.1					768.0	709.7	58.3	8.2%
Bank	4.3	(7.4)	(0.9)	6.9	275.1	(10.4)	1.0	-					268.6	325.9	(57.3)	-17.6%
Petroleum Business	36.8	36.6	42.1	44.3	40.3	44.2	40.5	41.2					326.0	339.2	(13.2)	-3.9%
Total Business Taxes	**556.4**	**198.3**	**976.0**	**129.6**	**474.1**	**995.0**	**18.7**	**99.0**	-	-	-	-	**3,447.1**	**3,516.8**	**(69.7)**	**-2.0%**
Other Taxes:																
Real Property Gains	-	-	-	-	-	-	-	-					-	0.1	(0.1)	-100.0%
Estate and Gift	89.7	112.7	102.0	64.4	83.2	211.7	75.6	70.6					809.9	729.6	80.3	11.0%
Pari-Mutuel	0.8	1.2	1.5	1.4	2.3	2.2	1.2	1.1					11.7	11.9	(0.2)	-1.7%
Real Estate Transfer	94.8	94.7	89.6	84.4	97.6	98.4	70.0	85.0					714.5	704.0	10.5	1.5%
Racing and Exhibitions	0.4	0.1	-	0.2	0.5	-	0.3	0.7					2.2	2.5	(0.3)	-12.0%
Metropolitan Commuter Trans. Mobility	120.2	106.9	106.2	98.2	105.7	99.3	118.0	90.6					845.1	817.8	27.3	3.3%
Total Other Taxes	**305.9**	**315.6**	**299.3**	**248.6**	**289.3**	**411.6**	**265.1**	**248.0**	-	-	-	-	**2,383.4**	**2,265.9**	**117.5**	**5.2%**
Total Taxes	**7,041.6**	**3,799.0**	**7,517.2**	**4,308.0**	**5,069.3**	**7,719.6**	**4,240.6**	**4,052.6**	-	-	-	-	**43,747.9**	**44,269.1**	**(521.2)**	**-1.2%**
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.7	0.9	1.2	1.1	1.7	65.3	6.3	171.5					248.7	233.5	15.2	6.5%
Bottle Bill	0.3	0.5	9.7	0.6	0.2	36.2	1.2	0.2					48.9	45.7	3.2	7.0%
Assessments:																
Business	14.4	28.7	84.4	11.1	52.4	108.5	6.5	6.9					312.9	605.3	(292.4)	-48.3%
Medical Care	462.2	460.4	457.4	541.8	503.9	475.5	509.5	471.2					3,881.9	3,673.7	208.2	5.7%
Public Utilities	1.4	-	0.7	0.1	0.4	45.9	(9.6)	0.3					39.2	92.5	(53.3)	-57.6%
Other	0.9	(0.1)	1.3	5.7	-	0.3	(5.5)	0.1					2.7	155.1	(152.4)	-98.3%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	6.1	6.4	5.9	5.4	6.1	5.7	6.5	4.4					46.5	39.6	6.9	17.4%
Audit Fees	-	0.8	1.1	-	0.1	-	-	-					2.0	2.2	(0.2)	-9.1%
Business/Professional	47.8	48.4	105.7	49.9	48.8	103.9	71.4	61.5					537.4	551.8	(14.4)	-2.6%
Civil	22.3	17.5	16.7	43.0	12.6	26.7	33.5	22.0					194.3	184.4	9.9	5.4%
Criminal	0.2	1.6	0.5	0.2	0.7	1.8	1.0	0.4					6.4	5.7	0.7	12.3%
Motor Vehicle	78.6	71.5	80.2	37.4	64.9	55.0	61.3	61.2					510.1	436.7	73.4	16.8%
Recreational/Consumer	43.6	50.3	39.7	53.1	76.0	92.0	70.9	67.3					492.9	471.3	21.6	4.6%
Fines, Penalties and Forfeitures	13.1	406.1	43.8	23.0	68.9	283.2	27.2	160.1					1,025.4	702.8	322.6	45.9%
Gaming:																
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6	10.1					130.6	118.6	12.0	10.1%
Lottery	190.4	234.2	193.7	182.6	268.1	184.5	181.6	224.9					1,660.0	1,632.7	27.3	1.7%
Video Lottery	72.5	73.6	94.2	76.5	93.8	75.3	73.9	89.4					649.2	649.9	(0.7)	-0.1%
Interest Earnings	9.3	6.7	8.7	7.6	10.0	10.0	11.5	11.6					75.4	46.8	28.6	61.1%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	22.6	8.6	-	6.8					38.0	33.1	4.9	14.8%

STATE OF NEW YORK
GOVERNMENTAL FUNDS
STATEMENT OF CASH FLOW - STATE OPERATING (*)
FISCAL YEAR 2017-2018
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Issuance Fees	3.0	13.9	1.2	29.1	1.3	0.3	14.7	4.0					67.5	70.4	(2.9)	-4.1%
Non Bond Related	7.7	1.2	-	6.0	0.3	24.5	5.5	0.1					45.3	25.2	20.1	79.8%
Receipts from Municipalities	22.0	20.2	24.6	22.3	24.2	58.0	30.9	23.0					225.2	247.2	(22.0)	-8.9%
Rentals	45.4	29.4	15.4	27.2	4.7	5.9	1.6	62.9					192.5	244.1	(51.6)	-21.1%
Revenues of State Departments:																
Administrative Recoveries	12.4	9.3	33.1	23.7	9.8	26.1	23.0	11.1					148.5	141.1	7.4	5.2%
Commissions	-	1.1	0.1	0.4	0.3	0.3	0.4	0.8					3.4	4.2	(0.8)	-19.0%
Gifts, Grants and Donations	1.2	1.3	1.1	0.5	1.0	1.7	0.9	0.5					8.2	9.0	(0.8)	-8.9%
Indirect Cost Recoveries	0.9	13.4	11.5	7.2	20.8	4.6	8.1	20.3					86.8	85.9	0.9	1.0%
Patient/Client Care Reimbursement	195.7	138.5	300.3	173.6	21.4	376.1	158.7	241.2					1,605.5	1,496.4	109.1	7.3%
Rebates	3.4	1.7	7.5	7.3	4.2	3.0	10.0	5.0					42.1	34.7	7.4	21.3%
Restitution and Settlements	5.4	8.7	1.0	11.4	0.3	2.3	6.3	7.5					42.9	247.2	(204.3)	-82.6%
Student Loans	8.1	9.3	13.3	8.2	10.5	31.8	7.3	6.2					94.7	55.4	39.3	70.9%
All Other	51.3	35.3	36.3	26.6	46.7	40.3	49.1	48.7					334.3	352.6	(18.3)	-5.2%
Sales	0.4	1.3	0.9	1.3	1.1	1.2	1.2	1.2					8.6	16.8	(8.2)	-48.8%
Tuition	43.8	42.4	77.3	37.8	193.3	415.2	167.1	67.3					1,044.2	1,037.8	6.4	0.6%
Total Miscellaneous Receipts	**1,387.2**	**1,744.9**	**1,681.0**	**1,446.1**	**1,582.0**	**2,583.7**	**1,557.6**	**1,869.7**	**-**	**-**	**-**	**-**	**13,852.2**	**13,749.4**	**102.8**	**0.7%**
Federal Receipts	-	-	-	2.0	35.1	-	0.1	0.1					37.3	35.4	1.9	5.4%
Total Receipts	**8,428.8**	**5,543.9**	**9,198.2**	**5,756.1**	**6,686.4**	**10,303.3**	**5,798.3**	**5,922.4**	**-**	**-**	**-**	**-**	**57,637.4**	**58,053.9**	**(416.5)**	**-0.7%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	984.1	3,902.6	3,263.4	411.2	758.4	4,173.6	1,077.7	2,171.9					16,742.9	16,533.1	209.8	1.3%
Environment and Recreation	0.3	1.1	0.7	0.6	0.5	0.3	0.2	0.2					3.9	5.5	(1.6)	-29.1%
General Government	17.0	29.1	568.8	25.1	56.1	112.0	18.7	13.8					840.6	859.4	(18.8)	-2.2%
Public Health:																
Medicaid	1,755.6	1,911.7	1,723.3	1,485.5	1,895.6	1,878.7	1,613.8	2,013.8					14,278.0	13,472.1	805.9	6.0%
Other Public Health	153.3	348.9	499.6	367.8	146.4	284.5	142.5	174.2					2,117.2	2,300.4	(183.2)	-8.0%
Public Safety	17.2	16.3	21.0	27.4	20.6	31.5	25.9	29.6					189.5	189.6	(0.1)	-0.1%
Public Welfare	131.9	215.3	331.9	165.1	119.6	194.4	135.7	142.2					1,436.1	1,682.6	(246.5)	-14.6%
Support and Regulate Business	10.2	6.8	25.9	9.5	32.6	10.6	38.8	38.6					173.0	169.7	3.3	1.9%
Transportation	244.6	503.8	434.3	371.6	496.6	413.5	362.0	584.5					3,410.9	3,421.6	(10.7)	-0.3%
Total Local Assistance Grants	**3,314.2**	**6,935.6**	**6,868.9**	**2,863.8**	**3,526.4**	**7,099.1**	**3,415.3**	**5,168.8**	**-**	**-**	**-**	**-**	**39,192.1**	**38,634.0**	**558.1**	**1.4%**
Departmental Operations:																
Personal Service	1,049.8	1,371.1	1,013.1	997.7	1,180.9	998.7	1,064.3	1,343.1					9,018.7	8,935.8	82.9	0.9%
Non-Personal Service	321.6	500.0	527.0	364.4	525.7	458.7	505.6	475.4					3,678.4	3,587.4	91.0	2.5%
General State Charges	2,452.3	738.8	466.7	393.1	429.1	541.9	533.3	521.0					6,076.2	5,819.7	256.5	4.4%
Debt Service, Including Payments on Financing Agreements	87.2	148.2	186.1	28.0	348.6	757.1	26.7	81.8					1,663.7	1,569.6	94.1	6.0%
Capital Projects	-	-	-	-	-	-	-	-					-	2.5	(2.5)	-100.0%
Total Disbursements	**7,225.1**	**9,693.7**	**9,061.8**	**4,647.0**	**6,010.7**	**9,855.5**	**5,545.2**	**7,590.1**	**-**	**-**	**-**	**-**	**59,629.1**	**58,549.0**	**1,080.1**	**1.8%**
Excess (Deficiency) of Receipts over Disbursements	**1,203.7**	**(4,149.8)**	**136.4**	**1,109.1**	**675.7**	**447.8**	**253.1**	**(1,667.7)**	**-**	**-**	**-**	**-**	**(1,991.7)**	**(495.1)**	**(1,496.6)**	**-302.3%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds (**)	3,168.6	1,936.1	3,152.2	2,089.5	1,945.6	2,800.0	2,362.3	2,065.6					19,519.9	18,639.2	880.7	4.7%
Transfers to Other Funds (**)	(3,361.2)	(2,175.5)	(3,220.4)	(1,418.0)	(2,197.6)	(2,783.0)	(2,012.8)	(2,241.6)					(19,410.1)	(18,811.3)	598.8	3.2%
Total Other Financing Sources (Uses)	**(192.6)**	**(239.4)**	**(68.2)**	**671.5**	**(252.0)**	**17.0**	**349.5**	**(176.0)**	**-**	**-**	**-**	**-**	**109.8**	**(172.1)**	**281.9**	**163.8%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,011.1**	**(4,389.2)**	**68.2**	**1,780.6**	**423.7**	**464.8**	**602.6**	**(1,843.7)**	**-**	**-**	**-**	**-**	**(1,881.9)**	**(667.2)**	**(1,214.7)**	**-182.1%**
Ending Fund Balance	**$ 12,636.4**	**$ 8,247.2**	**$ 8,315.4**	**$ 10,096.0**	**$ 10,519.7**	**$ 10,984.5**	**$ 11,587.1**	**$ 9,743.4**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 9,743.4**	**$ 11,974.0**	**$ (2,230.6)**	**-18.6%**

(*) 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.

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT F

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 7,748.6	$ 7,404.8	$ 3,139.9	$ 3,014.3	$ 3,773.7	$ 3,882.6	$ 6,523.2	$ 6,363.0					$ 7,748.6	$ 8,934.1	$ (1,185.5)	-13.3%
RECEIPTS:																
Taxes:																
Personal Income Tax:																
Withholdings	2,755.8	2,855.0	2,889.4	2,682.4	3,026.7	2,583.1	2,789.7	2,898.9					22,481.0	21,421.1	1,059.9	4.9%
Estimated payments	4,168.2	112.1	1,922.9	89.7	95.6	2,315.3	145.3	116.7					8,965.8	9,661.3	(695.5)	-7.2%
Returns	1,572.8	74.6	44.2	31.7	33.0	47.3	391.7	33.9					2,229.2	2,379.1	(149.9)	-6.3%
State/City Offsets	(201.5)	(15.6)	(19.4)	(19.0)	(21.2)	(29.0)	(321.7)	(96.0)					(723.4)	(735.2)	(11.8)	-1.6%
Other (Assessments/LLC)	154.0	105.2	87.5	97.2	110.7	79.4	100.1	108.3					842.4	858.0	(15.6)	-1.8%
Gross Receipts	**8,449.3**	**3,131.3**	**4,924.6**	**2,882.0**	**3,244.8**	**4,996.1**	**3,105.1**	**3,061.8**	**-**	**-**	**-**	**-**	**33,795.0**	**33,584.3**	**210.7**	**0.6%**
Transfers to School Tax Relief Fund	-	-	(57.6)	-	-	-	(5.0)	(11.6)					(74.2)	(545.2)	(471.0)	-86.4%
Transfers to Revenue Bond Tax Fund	(1,250.5)	(525.3)	(1,162.7)	(662.5)	(763.7)	(1,179.0)	(673.5)	(597.9)					(6,815.1)	(7,031.4)	(216.3)	-3.1%
Refunds issued	(3,447.5)	(1,030.0)	(273.8)	(232.0)	(189.8)	(280.3)	(410.9)	(670.4)					(6,534.7)	(5,458.5)	1,076.2	19.7%
Total Personal Income Tax	**3,751.3**	**1,576.0**	**3,430.5**	**1,987.5**	**2,291.3**	**3,536.8**	**2,015.7**	**1,781.9**	**-**	**-**	**-**	**-**	**20,371.0**	**20,549.2**	**(178.2)**	**-0.9%**
Consumption/Use Taxes:																
Sales and Use	477.4	488.3	676.8	526.8	515.7	681.5	520.0	551.0					4,437.5	4,274.7	162.8	3.8%
Auto Rental	-	-	-	-	-	-	-	-					-	-	-	0.0%
Cigarette/Tobacco Products	23.6	31.3	31.0	26.4	34.5	31.6	31.1	29.3					238.8	252.8	(14.0)	-5.5%
Motor Fuel	-	-	-	-	-	-	-	-					-	-	-	0.0%
Alcoholic Beverage	21.0	19.0	23.6	28.9	16.5	24.1	19.4	23.1					175.6	173.0	2.6	1.5%
Highway Use	-	-	-	-	-	-	-	-					-	-	-	0.0%
Metropolitan Commuter Trans. Taxicab Trip	-	-	-	-	-	-	-	-					-	-	-	0.0%
Total Consumption/Use Taxes	**522.0**	**538.6**	**731.4**	**582.1**	**566.7**	**737.2**	**570.5**	**603.4**	**-**	**-**	**-**	**-**	**4,851.9**	**4,700.5**	**151.4**	**3.2%**
Business Taxes																
Corporation Franchise	346.4	90.0	393.9	36.1	105.1	392.3	(57.3)	9.5					1,316.0	1,479.5	(163.5)	-11.1%
Corporation and Utilities	30.4	29.0	92.2	7.4	3.1	95.5	0.8	0.5					258.9	214.2	44.7	20.9%
Insurance	40.3	12.6	284.7	7.0	30.6	307.1	10.3	4.1					696.7	629.4	67.3	10.7%
Bank	4.2	5.4	(0.9)	3.9	237.3	(13.3)	0.6	4.2					241.4	274.8	(33.4)	-12.2%
Petroleum Business	-	-	-	-	-	-	-	-					-	-	-	0.0%
Total Business Taxes	**421.3**	**137.0**	**769.9**	**54.4**	**376.1**	**781.6**	**(45.6)**	**18.3**	**-**	**-**	**-**	**-**	**2,513.0**	**2,597.9**	**(84.9)**	**-3.3%**
Other Taxes:																
Real Property Gains	-	-	-	-	-	-	-	-					-	0.1	(0.1)	-100.0%
Estate and Gift	89.7	112.7	102.0	64.4	83.2	211.7	75.6	70.6					809.9	729.6	80.3	11.0%
Pari-Mutuel	0.8	1.2	1.5	1.4	2.3	2.2	1.2	1.1					11.7	11.9	(0.2)	-1.7%
Real Estate Transfer	-	-	-	-	-	-	-	-					-	-	-	0.0%
Racing and Exhibitions	0.4	0.1	-	0.2	0.5	-	0.3	0.7					2.2	2.5	(0.3)	-12.0%
Metropolitan Commuter Trans. Mobility	-	-	-	-	-	-	-	-					-	-	-	0.0%
Total Other Taxes	**90.9**	**114.0**	**103.5**	**66.0**	**86.0**	**213.9**	**77.1**	**72.4**	**-**	**-**	**-**	**-**	**823.8**	**744.1**	**79.7**	**10.7%**
Total Taxes	**4,785.5**	**2,365.6**	**5,035.3**	**2,690.0**	**3,320.1**	**5,269.5**	**2,617.7**	**2,476.0**	**-**	**-**	**-**	**-**	**28,559.7**	**28,591.7**	**(32.0)**	**-0.1%**
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	-	(0.4)	0.4	0.2	0.9	64.5	5.4	170.4					241.4	226.4	15.0	6.6%
Bottle Bill	0.3	0.5	9.7	0.6	0.2	36.2	1.2	0.2					48.9	45.7	3.2	7.0%
Assessments:																
Business	-	-	-	-	-	-	-	-					-	250.0	(250.0)	-100.0%
Medical Care	1.8	2.5	4.3	3.6	3.1	-	8.6	4.5					28.4	32.4	(4.0)	-12.3%
Public Utilities	-	-	-	-	-	-	-	-					-	55.7	(55.7)	-100.0%
Other	-	0.1	0.1	-	-	0.2	0.1	0.1					0.6	0.3	0.3	100.0%
Fees, Licenses and Permits:																
Alcohol Beverage Control Licensing	6.1	6.4	5.9	5.4	6.1	5.7	6.5	4.4					46.5	39.6	6.9	17.4%
Audit Fees	-	-	-	-	-	-	-	-					-	-	-	0.0%
Business/Professional	1.5	15.6	21.9	8.8	5.4	28.8	20.1	7.7					109.8	115.7	(5.9)	-5.1%
Civil	17.4	13.3	11.6	38.9	7.1	21.2	28.6	16.5					154.6	145.9	8.7	6.0%
Criminal	0.2	0.1	0.1	0.2	0.1	0.2	0.2	0.1					1.2	0.4	0.8	200.0%
Motor Vehicle	35.7	29.5	30.9	(5.2)	34.4	7.2	17.9	16.5					166.9	110.7	56.2	50.8%
Recreational/Consumer	1.1	1.4	0.7	1.6	2.0	1.1	1.2	1.7					10.8	10.0	0.8	8.0%
Fines, Penalties and Forfeitures	6.6	393.0	22.2	1.6	21.7	276.8	15.5	149.2					886.6	616.4	270.2	43.8%
Interest Earnings	3.8	1.1	2.0	0.9	1.7	2.4	3.6	3.8					19.3	13.6	5.7	41.9%
Receipts from Public Authorities:																
Cost Recovery Assessments	-	-	-	-	2.2	8.6	-	6.8					17.6	12.7	4.9	38.6%
Issuance Fees	-	9.7	1.2	29.1	1.3	0.3	14.7	4.0					60.3	63.2	(2.9)	-4.6%
Non Bond Related	-	0.1	-	-	-	24.1	-	-					24.2	23.3	0.9	3.9%
Receipts from Municipalities	16.7	16.7	16.6	16.7	16.7	16.7	16.6	16.7					133.4	116.7	16.7	14.3%
Rentals	0.8	0.8	0.1	0.4	0.1	-	0.3	0.4					2.9	2.1	0.8	38.1%
Revenues of State Departments:																
Administrative Recoveries	-	0.2	24.7	0.7	1.1	17.0	1.4	0.4					45.5	46.6	(1.1)	-2.4%
Commissions	-	0.1	0.1	-	-	-	-	-					0.2	0.2	-	0.0%
Gifts, Grants and Donations	0.1	-	-	-	-	-	-	-					0.1	-	0.1	100.0%
Indirect Cost Recoveries	0.9	13.4	11.4	7.2	20.8	4.7	8.1	20.3					86.8	80.8	6.0	7.4%
Rebates	(0.9)	(0.2)	(0.7)	-	(1.6)	2.7	-	-					(0.7)	0.4	(1.1)	-275.0%
Restitution and Settlements	0.1	7.9	-	1.1	-	0.5	0.2	-					9.8	134.7	(124.9)	-92.7%
Student Loans	-	-	-	-	-	-	-	-					-	-	-	0.0%
All Other	1.9	1.6	1.1	0.2	3.5	1.6	1.5	7.1					18.5	19.2	(0.7)	-3.6%
Sales	-	-	-	-	-	-	-	-					-	0.1	(0.1)	-100.0%
Total Miscellaneous Receipts	**94.1**	**513.4**	**164.3**	**112.0**	**126.8**	**520.5**	**151.7**	**430.8**	**-**	**-**	**-**	**-**	**2,113.6**	**2,162.8**	**(49.2)**	**-2.3%**

STATE OF NEW YORK
GENERAL FUND
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT F

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Federal Receipts	-	-	-	-	-	-	0.1	0.1					0.2	0.3	(0.1)	-33.3%
Total Receipts	**4,879.6**	**2,879.0**	**5,199.6**	**2,802.0**	**3,446.9**	**5,790.0**	**2,769.5**	**2,906.9**	**-**	**-**	**-**	**-**	**30,673.5**	**30,754.8**	**(81.3)**	**-0.3%**
DISBURSEMENTS:																
Local Assistance Grants																
Education	984.1	3,902.4	2,878.7	409.6	755.8	1,983.7	931.4	2,015.9					13,861.6	13,237.6	624.0	4.7%
Environment and Recreation	-	1.1	0.5	0.2	0.3	0.1	0.2	0.1					2.5	4.1	(1.6)	-39.0%
General Government	1.4	12.8	560.2	4.4	33.7	104.2	8.1	3.2					728.0	731.7	(3.7)	-0.5%
Public Health:																
Medicaid	1,366.9	1,380.9	1,376.4	1,164.8	1,229.3	1,360.8	1,222.9	1,401.6					10,503.6	9,608.1	895.5	9.3%
Other Public Health	73.6	181.6	143.3	69.3	61.7	45.1	42.4	48.9					665.9	920.1	(254.2)	-27.6%
Public Safety	3.7	9.5	9.5	16.7	10.2	21.1	10.4	16.3					97.4	99.9	(2.5)	-2.5%
Public Welfare	131.6	214.2	331.7	165.0	118.6	194.5	135.0	141.3					1,431.9	1,678.5	(246.6)	-14.7%
Support and Regulate Business	8.4	5.0	25.2	9.4	28.2	9.4	14.4	30.1					130.1	117.0	13.1	11.2%
Transportation	-	25.1	13.9	-	25.3	-	-	24.3					88.6	82.0	6.6	8.0%
Total Local Assistance Grants	**2,569.7**	**5,732.6**	**5,339.4**	**1,839.4**	**2,263.1**	**3,718.9**	**2,364.8**	**3,681.7**	**-**	**-**	**-**	**-**	**27,509.6**	**26,479.0**	**1,030.6**	**3.9%**
Departmental Operations:																
Personal Service	484.8	641.7	475.5	465.6	564.9	477.4	498.2	621.6					4,229.7	4,199.8	29.9	0.7%
Non-Personal Service	90.8	226.6	185.0	142.3	211.2	179.3	181.0	182.0					1,398.2	1,315.6	82.6	6.3%
General State Charges	2,398.1	291.5	409.5	347.2	40.8	513.5	396.2	86.2					4,483.0	4,270.9	212.1	5.0%
Total Disbursements	**5,543.4**	**6,892.4**	**6,409.4**	**2,794.5**	**3,080.0**	**4,889.1**	**3,440.2**	**4,571.5**	**-**	**-**	**-**	**-**	**37,620.5**	**36,265.3**	**1,355.2**	**3.7%**
Excess (Deficiency) of Receipts over Disbursements	**(663.8)**	**(4,013.4)**	**(1,209.8)**	**7.5**	**366.9**	**900.9**	**(670.7)**	**(1,664.6)**	**-**	**-**	**-**	**-**	**(6,947.0)**	**(5,510.5)**	**(1,436.5)**	**-26.1%**
OTHER FINANCING SOURCES (USES):																
Transfers from Revenue Bond Tax Fund	1,248.9	509.1	1,162.4	455.3	356.0	1,400.1	673.5	396.4					6,201.7	6,354.4	(152.7)	-2.4%
Transfers from LGAC / STRBTF	412.7	240.2	788.3	468.4	436.2	651.3	455.8	485.4					3,938.3	3,828.1	110.2	2.9%
Transfers from CW/CA Fund	81.0	94.6	89.1	84.3	86.3	93.2	64.9	79.9					673.3	658.8	14.5	2.2%
Transfers from Other Funds	10.3	2.1	2.5	4.8	4.7	92.8	13.1	39.9					170.2	180.6	(10.4)	-5.8%
Transfers to State Capital Projects	(259.7)	(168.1)	(266.0)	677.2	(419.6)	(270.6)	352.0	(280.4)					(635.2)	(1,125.8)	(490.6)	-43.6%
Transfers to Federal Capital Projects	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to All Other Capital Projects	(50.0)	(100.0)	(171.5)	(75.0)	(75.0)	(166.5)	(81.7)	(90.0)					(809.7)	(567.9)	241.8	42.6%
Transfers to General Debt Service	(274.4)	1.2	(1.8)	(147.9)	(14.1)	86.6	(361.9)	2.8					(709.5)	(411.1)	298.4	72.6%
Transfers to All Other State Funds	(848.8)	(830.6)	(518.8)	(715.2)	(632.5)	(147.2)	(605.2)	(823.9)					(5,122.2)	(4,808.5)	313.7	6.5%
Total Other Financing Sources (Uses)	**320.0**	**(251.5)**	**1,084.2**	**751.9**	**(258.0)**	**1,739.7**	**510.5**	**(189.9)**	**-**	**-**	**-**	**-**	**3,706.9**	**4,108.6**	**(401.7)**	**-9.8%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(343.8)**	**(4,264.9)**	**(125.6)**	**759.4**	**108.9**	**2,640.6**	**(160.2)**	**(1,854.5)**	**-**	**-**	**-**	**-**	**(3,240.1)**	**(1,401.9)**	**(1,838.2)**	**-131.1%**
Ending Fund Balance	**$ 7,404.8**	**$ 3,139.9**	**$ 3,014.3**	**$ 3,773.7**	**$ 3,882.6**	**$ 6,523.2**	**$ 6,363.0**	**$ 4,508.5**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 4,508.5**	**$ 7,532.2**	**$ (3,023.7)**	**-40.1%**

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 4,272.2	$ 4,731.9	$ 3,896.2	$ 5,153.7	$ 5,591.9	$ 5,523.2	$ 4,212.7	$ 4,048.8					$ -	$ 4,272.2	$ 3,607.1	$ 665.1	18.4%
RECEIPTS:																	
Taxes:																	
Personal Income Tax	-	-	57.6	-	-	-	5.0	11.6					-	74.2	545.2	(471.0)	-86.4%
Consumption/Use Taxes:																	
Sales and Use	92.5	67.9	93.9	71.8	70.2	93.6	73.1	77.5					-	640.5	612.4	28.1	4.6%
Auto Rental	3.7	3.3	4.6	5.1	4.9	4.6	3.5	3.7					-	33.4	35.9	(2.5)	-7.0%
Cigarette/Tobacco Products	64.1	76.5	74.8	71.4	83.6	70.1	74.9	68.2					-	583.6	614.3	(30.7)	-5.0%
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2	0.2					-	1.1	0.3	0.8	266.7%
Motor Fuel	8.6	8.7	9.3	9.5	9.3	9.9	9.1	9.1					-	73.5	74.4	(0.9)	-1.2%
Alcoholic Beverage	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Highway Use	0.1	0.2	0.2	0.2	0.2	0.2	0.1	0.1					-	1.3	1.9	(0.6)	-31.6%
Metropolitan Commuter Trans. Taxicab Trip	13.4	0.7	0.4	13.1	0.5	0.4	11.4	1.3					-	41.2	48.5	(7.3)	-15.1%
Total Consumption/Use Taxes	**182.5**	**157.4**	**183.3**	**171.2**	**168.9**	**178.9**	**172.3**	**160.1**	**-**	**-**	**-**	**-**	**-**	**1,374.6**	**1,387.7**	**(13.1)**	**-0.9%**
Business Taxes:																	
Corporation Franchise	83.7	28.0	101.7	24.5	25.5	106.5	24.9	42.2					-	437.0	381.0	56.0	14.7%
Corporation and Utilities	9.3	6.6	25.7	3.2	0.6	26.4	0.3	0.5					-	72.6	67.3	5.3	7.9%
Insurance	5.2	2.9	36.6	0.2	(6.2)	33.4	(1.8)	1.0					-	71.3	80.3	(9.0)	-11.2%
Bank	0.1	(12.8)	-	3.0	37.8	2.9	0.4	(4.2)					-	27.2	51.1	(23.9)	-46.8%
Petroleum Business	36.8	36.6	42.1	44.3	40.3	44.2	40.5	41.2					-	326.0	339.2	(13.2)	-3.9%
Total Business Taxes	**135.1**	**61.3**	**206.1**	**75.2**	**98.0**	**213.4**	**64.3**	**80.7**	**-**	**-**	**-**	**-**	**-**	**934.1**	**918.9**	**15.2**	**1.7%**
Other Taxes:																	
Metropolitan Commuter Trans. Mobility	120.2	106.9	106.2	98.2	105.7	99.3	118.0	90.6					-	845.1	817.8	27.3	3.3%
Total Other Taxes	**120.2**	**106.9**	**106.2**	**98.2**	**105.7**	**99.3**	**118.0**	**90.6**	**-**	**-**	**-**	**-**	**-**	**845.1**	**817.8**	**27.3**	**3.3%**
Total Taxes	**437.8**	**325.6**	**553.2**	**344.6**	**372.6**	**491.6**	**359.6**	**343.0**	**-**	**-**	**-**	**-**	**-**	**3,228.0**	**3,669.6**	**(441.6)**	**-12.0%**
Miscellaneous Receipts:																	
Abandoned Property:																	
Abandoned Property	0.7	1.3	0.8	0.9	0.8	0.8	0.9	1.1					-	7.3	7.1	0.2	2.8%
Assessments:																	
Business	18.1	64.4	84.6	12.9	62.7	108.6	8.3	13.3					-	372.9	413.3	(40.4)	-9.8%
Medical Care	460.4	457.9	453.1	538.2	500.8	475.5	500.9	466.7					-	3,853.5	3,641.3	212.2	5.8%
Public Utilities	1.4	-	0.7	0.1	0.4	45.9	(9.6)	0.3					-	39.2	36.8	2.4	6.5%
Other	0.9	(0.2)	1.2	5.7	-	0.1	(5.6)	-					-	2.1	154.8	(152.7)	-98.6%
Fees, Licenses and Permits:																	
Audit Fees	-	0.8	1.1	-	0.1	-	-	-					-	2.0	2.2	(0.2)	-9.1%
Business/Professional	46.3	32.8	83.8	41.1	43.4	75.1	51.3	53.8					-	427.6	436.1	(8.5)	-1.9%
Civil	4.9	4.2	5.1	4.1	5.5	5.5	4.9	5.5					-	39.7	38.5	1.2	3.1%
Criminal	-	1.5	0.4	-	0.6	1.6	0.8	0.3					-	5.2	5.3	(0.1)	-1.9%
Motor Vehicle	42.9	42.0	49.3	42.6	30.5	47.8	43.4	44.7					-	343.2	326.0	17.2	5.3%
Recreational/Consumer	42.5	48.9	39.0	51.5	74.0	90.9	69.7	65.6					-	482.1	461.3	20.8	4.5%
Fines, Penalties and Forfeitures	7.3	13.8	22.4	22.0	49.9	7.6	12.4	11.7					-	147.1	101.7	45.4	44.6%
Gaming:																	
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6	10.1					-	130.6	118.6	12.0	10.1%
Lottery	190.4	234.2	193.7	182.6	268.1	184.5	181.6	224.9					-	1,660.0	1,632.7	27.3	1.7%
Video Lottery	72.5	73.6	94.2	76.5	93.8	75.3	73.9	89.4					-	649.2	649.9	(0.7)	-0.1%
Interest Earnings	5.9	6.1	7.1	7.2	8.8	8.0	8.5	8.4					-	60.0	34.7	25.3	72.9%
Receipts from Public Authorities:																	
Bond Proceeds	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	20.4	-	-	-					-	20.4	20.4	-	0.0%
Issuance Fees	3.0	4.2	-	-	-	-	-	-					-	7.2	7.2	-	0.0%
Non Bond Related	7.7	1.1	-	6.0	0.3	0.4	5.5	0.1					-	21.1	1.9	19.2	1,010.5%
Receipts from Municipalities	5.3	3.1	7.9	4.7	6.5	41.3	14.3	6.3					-	89.4	126.6	(37.2)	-29.4%
Rentals	44.6	28.6	15.3	26.8	4.6	5.9	1.3	62.5					-	189.6	242.0	(52.4)	-21.7%
Revenues of State Departments:																	
Administrative Recoveries	12.4	9.1	8.4	23.0	8.7	9.1	21.6	10.7					-	103.0	94.6	8.4	8.9%
Commissions	-	1.0	-	0.4	0.3	0.3	0.4	0.8					-	3.2	4.0	(0.8)	-20.0%
Gifts, Grants and Donations	1.1	1.3	1.5	0.5	1.1	1.7	0.8	0.5					-	8.5	9.0	(0.5)	-5.6%
Indirect Cost Recoveries	-	-	0.1	-	-	(0.1)	-	-					-	-	5.1	(5.1)	-100.0%
Patient/Client Care Reimbursement	145.5	96.6	245.3	133.1	52.9	281.5	131.8	207.8					-	1,294.5	1,208.3	86.2	7.1%
Rebates	12.6	11.9	16.4	17.1	14.7	9.1	19.4	13.5					-	114.7	104.2	10.5	10.1%
Restitution and Settlements	5.3	0.8	1.0	10.3	0.8	1.3	6.1	7.5					-	33.1	112.5	(79.4)	-70.6%
Student Loans	8.1	9.3	13.3	8.2	10.5	31.8	7.3	6.2					-	94.7	55.4	39.3	70.9%
All Other	49.5	34.4	36.7	26.5	44.6	38.8	47.7	41.6					-	319.8	327.5	(7.7)	-2.4%
Sales	0.4	1.3	1.1	1.3	1.0	1.2	1.4	1.2					-	8.9	16.9	(8.0)	-47.3%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Tuition	43.8	42.4	77.3	37.8	193.3	415.2	167.1	67.3					-	1,044.2	1,037.8	6.4	0.6%
Total Miscellaneous Receipts	**1,256.2**	**1,236.8**	**1,473.3**	**1,305.5**	**1,510.0**	**1,978.7**	**1,391.7**	**1,421.8**	**-**	**-**	**-**	**-**	**-**	**11,574.0**	**11,433.7**	**140.3**	**1.2%**
Federal Receipts	3,337.1	4,582.4	5,398.6	3,633.4	5,066.9	5,002.3	4,086.5	5,078.9					-	36,186.1	32,022.6	4,163.5	13.0%
Total Receipts	**5,031.1**	**6,144.8**	**7,425.1**	**5,283.5**	**6,949.5**	**7,472.6**	**5,837.8**	**6,843.7**	**-**	**-**	**-**	**-**	**-**	**50,988.1**	**47,125.9**	**3,862.2**	**8.2%**
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	263.6	365.4	839.3	249.0	234.9	2,335.9	325.7	418.4					-	5,032.2	5,147.0	(114.8)	-2.2%
Environment and Recreation	0.3	-	0.3	0.6	0.2	0.5	-	0.1					-	2.0	4.0	(2.0)	-50.0%
General Government	16.3	26.5	10.5	22.7	24.3	12.3	11.3	12.5					-	136.4	158.8	(22.4)	-14.1%
Public Health:																	
Medicaid	3,090.0	4,119.0	2,968.0	2,959.3	4,389.2	3,245.9	3,276.2	3,939.0					-	27,986.6	25,014.4	2,972.2	11.9%
Other Public Health	458.3	664.5	781.5	828.1	489.4	1,312.5	547.9	588.8					-	5,671.0	4,562.4	1,108.6	24.3%
Public Safety	133.3	58.1	119.5	71.9	169.5	50.7	162.9	172.9					-	938.8	998.0	(59.2)	-5.9%
Public Welfare	266.9	326.9	360.1	206.7	244.4	291.0	695.9	280.3					-	2,672.2	2,979.6	(307.4)	-10.3%
Support and Regulate Business	1.8	2.8	0.8	0.2	6.1	1.2	24.5	10.0					-	47.4	55.3	(7.9)	-14.3%
Transportation	251.6	482.1	427.1	374.1	475.4	416.4	365.0	573.0					-	3,364.7	3,380.4	(15.7)	-0.5%
Total Local Assistance Grants	**4,482.1**	**6,045.3**	**5,507.1**	**4,712.6**	**6,033.4**	**7,666.4**	**5,409.4**	**5,995.0**	**-**	**-**	**-**	**-**	**-**	**45,851.3**	**42,299.9**	**3,551.4**	**8.4%**
Departmental Operations:																	
Personal Service	615.2	808.3	589.4	578.6	662.9	570.4	613.7	799.5					-	5,238.0	5,162.6	75.4	1.5%
Non-Personal Service	277.2	392.0	421.5	278.4	445.8	463.2	462.4	415.1					-	3,155.6	3,124.1	31.5	1.0%
General State Charges	61.2	493.6	68.4	56.0	446.4	49.6	161.6	477.4					-	1,814.2	1,713.5	100.7	5.9%
Capital Projects	-	-	-	-	-	-	-	-					-	-	2.5	(2.5)	-100.0%
Total Disbursements	**5,435.7**	**7,739.2**	**6,586.4**	**5,625.6**	**7,588.5**	**8,749.6**	**6,647.1**	**7,687.0**	**-**	**-**	**-**	**-**	**-**	**56,059.1**	**52,302.6**	**3,756.5**	**7.2%**
Excess (Deficiency) of Receipts over Disbursements	**(404.6)**	**(1,594.4)**	**838.7**	**(342.1)**	**(639.0)**	**(1,277.0)**	**(809.3)**	**(843.3)**	**-**	**-**	**-**	**-**	**-**	**(5,071.0)**	**(5,176.7)**	**105.7**	**2.0%**
OTHER FINANCING SOURCES (USES):																	
Transfers from Other Funds	1,026.0	977.1	834.3	855.5	856.1	234.0	723.6	887.6					(336.5)	6,057.7	5,662.1	395.6	7.0%
Transfers to Other Funds	(161.7)	(218.4)	(415.5)	(75.2)	(285.8)	(267.5)	(78.2)	(206.0)					336.5	(1,371.8)	(1,092.7)	279.1	25.5%
Total Other Financing Sources (Uses)	**864.3**	**758.7**	**418.8**	**780.3**	**570.3**	**(33.5)**	**645.4**	**681.6**	**-**	**-**	**-**	**-**	**-**	**4,685.9**	**4,569.4**	**116.5**	**2.5%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**459.7**	**(835.7)**	**1,257.5**	**438.2**	**(68.7)**	**(1,310.5)**	**(163.9)**	**(161.7)**	**-**	**-**	**-**	**-**	**-**	**(385.1)**	**(607.3)**	**222.2**	**36.6%**
Ending Fund Balance	**$ 4,731.9**	**$ 3,896.2**	**$ 5,153.7**	**$ 5,591.9**	**$ 5,523.2**	**$ 4,212.7**	**$ 4,048.8**	**$ 3,887.1**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 3,887.1**	**$ 2,999.8**	**$ 887.3**	**29.6%**

(*) Intra-Fund transfer eliminations represent transfers between Special Revenue-State and Federal Funds.

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 3,732.3	$ 4,804.9	$ 4,536.3	$ 4,883.0	$ 5,541.5	$ 5,634.4	$ 4,065.2	$ 4,436.7					$ 3,732.3	$ 3,547.4	$ 184.9	5.2%
RECEIPTS:																
Taxes:																
Personal Income Tax	-	-	57.6	-	-	-	5.0	11.6					74.2	545.2	(471.0)	-86.4%
Consumption/Use Taxes:																
Sales and Use	92.5	67.9	93.9	71.8	70.2	93.6	73.1	77.5					640.5	612.4	28.1	4.6%
Auto Rental	3.7	3.3	4.6	5.1	4.9	4.6	3.5	3.7					33.4	35.9	(2.5)	-7.0%
Cigarette/Tobacco Products	64.1	76.5	74.8	71.4	83.6	70.1	74.9	68.2					583.6	614.3	(30.7)	-5.0%
Medical Marijuana	0.1	0.1	0.1	0.1	0.2	0.1	0.2	0.2					1.1	0.3	0.8	266.7%
Motor Fuel	8.6	8.7	9.3	9.5	9.3	9.9	9.1	9.1					73.5	74.4	(0.9)	-1.2%
Alcoholic Beverage	-	-	-	-	-	-	-	-					-	-	-	0.0%
Highway Use	0.1	0.2	0.2	0.2	0.2	0.2	0.1	0.1					1.3	1.9	(0.6)	-31.6%
Metropolitan Commuter Trans. Taxicab Trip	13.4	0.7	0.4	13.1	0.5	0.4	11.4	1.3					41.2	48.5	(7.3)	-15.1%
Total Consumption/Use Taxes	**182.5**	**157.4**	**183.3**	**171.2**	**168.9**	**178.9**	**172.3**	**160.1**	**-**	**-**	**-**	**-**	**1,374.6**	**1,387.7**	**(13.1)**	**-0.9%**
Business Taxes																
Corporation Franchise	83.7	28.0	101.7	24.5	25.5	106.5	24.9	42.2					437.0	381.0	56.0	14.7%
Corporation and Utilities	9.3	6.6	25.7	3.2	0.6	26.4	0.3	0.5					72.6	67.3	5.3	7.9%
Insurance	5.2	2.9	36.6	0.2	(6.2)	33.4	(1.8)	1.0					71.3	80.3	(9.0)	-11.2%
Bank	0.1	(12.8)	-	3.0	37.8	2.9	0.4	(4.2)					27.2	51.1	(23.9)	-46.8%
Petroleum Business	36.8	36.6	42.1	44.3	40.3	44.2	40.5	41.2					326.0	339.2	(13.2)	-3.9%
Total Business Taxes	**135.1**	**61.3**	**206.1**	**75.2**	**98.0**	**213.4**	**64.3**	**80.7**	**-**	**-**	**-**	**-**	**934.1**	**918.9**	**15.2**	**1.7%**
Other Taxes																
Metropolitan Commuter Trans. Mobility	120.2	106.9	106.2	98.2	105.7	99.3	118.0	90.6					845.1	817.8	27.3	3.3%
Total Other Taxes	**120.2**	**106.9**	**106.2**	**98.2**	**105.7**	**99.3**	**118.0**	**90.6**	**-**	**-**	**-**	**-**	**845.1**	**817.8**	**27.3**	**3.3%**
Total Taxes	**437.8**	**325.6**	**553.2**	**344.6**	**372.6**	**491.6**	**359.6**	**343.0**	**-**	**-**	**-**	**-**	**3,228.0**	**3,669.6**	**(441.6)**	**-12.0%**
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	0.7	1.3	0.8	0.9	0.8	0.8	0.9	1.1					7.3	7.1	0.2	2.8%
Assessments:																
Business	14.4	28.7	84.4	11.1	52.4	108.5	6.5	6.9					312.9	355.3	(42.4)	-11.9%
Medical Care	460.4	457.9	453.1	538.2	500.8	475.5	500.9	466.7					3,853.5	3,641.3	212.2	5.8%
Public Utilities	1.4	-	0.7	0.1	0.4	45.9	(9.6)	0.3					39.2	36.8	2.4	6.5%
Other	0.9	(0.2)	1.2	5.7	-	0.1	(5.6)	-					2.1	154.8	(152.7)	-98.6%
Fees, Licenses and Permits:																
Audit Fees	-	0.8	1.1	-	0.1	-	-	-					2.0	2.2	(0.2)	-9.1%
Business/Professional	46.3	32.8	83.8	41.1	43.4	75.1	51.3	53.8					427.6	436.1	(8.5)	-1.9%
Civil	4.9	4.2	5.1	4.1	5.5	5.5	4.9	5.5					39.7	38.5	1.2	3.1%
Criminal	-	1.5	0.4	-	0.6	1.6	0.8	0.3					5.2	5.3	(0.1)	-1.9%
Motor Vehicle	42.9	42.0	49.3	42.6	30.5	47.8	43.4	44.7					343.2	326.0	17.2	5.3%
Recreational/Consumer	42.5	48.9	39.0	51.5	74.0	90.9	69.7	65.6					482.1	461.3	20.8	4.5%
Fines, Penalties and Forfeitures	6.5	13.1	21.6	21.4	47.2	6.4	11.7	10.9					138.8	86.4	52.4	60.6%
Gaming:																
Casino	22.7	10.4	12.5	24.4	10.9	14.0	25.6	10.1					130.6	118.6	12.0	10.1%
Lottery	190.4	234.2	193.7	182.6	268.1	184.5	181.6	224.9					1,660.0	1,632.7	27.3	1.7%
Video Lottery	72.5	73.6	94.2	76.5	93.8	75.3	73.9	89.4					649.2	649.9	(0.7)	-0.1%
Interest Earnings	5.5	5.5	6.6	6.7	8.0	7.6	7.9	7.7					55.5	32.9	22.6	68.7%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	20.4	-	-	-					20.4	20.4	-	0.0%
Issuance Fees	3.0	4.2	-	-	-	-	-	-					7.2	7.2	-	0.0%
Non Bond Related	7.7	1.1	-	6.0	0.3	0.4	5.5	0.1					21.1	1.9	19.2	1,010.5%
Receipts from Municipalities	5.3	3.1	7.9	4.7	6.5	41.3	14.3	6.3					89.4	126.6	(37.2)	-29.4%
Rentals	44.6	28.6	15.3	26.8	4.6	5.9	1.3	62.5					189.6	242.0	(52.4)	-21.7%
Revenues of State Departments:																
Administrative Recoveries	12.4	9.1	8.4	23.0	8.7	9.1	21.6	10.7					103.0	94.5	8.5	9.0%
Commissions	-	1.0	-	0.4	0.3	0.3	0.4	0.8					3.2	4.0	(0.8)	-20.0%
Gifts, Grants and Donations	1.1	1.3	1.1	0.5	1.0	1.7	0.9	0.5					8.1	9.0	(0.9)	-10.0%
Indirect Cost Recoveries	-	-	0.1	-	-	(0.1)	-	-					-	5.1	(5.1)	-100.0%
Patient/Client Care Reimbursement	145.5	96.6	245.3	133.1	52.9	281.5	131.8	207.8					1,294.5	1,208.3	86.2	7.1%
Rebates	4.3	1.9	8.2	7.3	5.8	0.3	10.0	5.0					42.8	34.3	8.5	24.8%
Restitution and Settlements	5.3	0.8	1.0	10.3	0.3	1.8	6.1	7.5					33.1	112.5	(79.4)	-70.6%
Student Loans	8.1	9.3	13.3	8.2	10.5	31.8	7.3	6.2					94.7	55.4	39.3	70.9%
All Other	49.4	33.7	35.2	26.4	43.2	38.7	47.6	41.6					315.8	333.4	(17.6)	-5.3%
Sales	0.4	1.3	0.9	1.3	1.0	1.2	1.2	1.2					8.5	16.6	(8.1)	-48.8%

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Tuition	43.8	42.4	77.3	37.8	193.3	415.2	167.1	67.3					1,044.2	1,037.8	6.4	0.6%
Total Miscellaneous Receipts	**1,242.9**	**1,189.1**	**1,461.5**	**1,292.7**	**1,485.3**	**1,968.6**	**1,379.0**	**1,405.4**	**-**	**-**	**-**	**-**	**11,424.5**	**11,294.2**	**130.3**	**1.2%**
Federal Receipts	-	-	-	0.4	-	-	-	-					0.4	(1.6)	2.0	125.0%
Total Receipts	**1,680.7**	**1,514.7**	**2,014.7**	**1,637.7**	**1,857.9**	**2,460.2**	**1,738.6**	**1,748.4**	**-**	**-**	**-**	**-**	**14,652.9**	**14,962.2**	**(309.3)**	**-2.1%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	0.2	384.7	1.6	2.6	2,189.9	146.3	156.0					2,881.3	3,295.5	(414.2)	-12.6%
Environment and Recreation	0.3	-	0.2	0.4	0.2	0.2	-	0.1					1.4	1.4	-	0.0%
General Government	15.6	16.3	8.6	20.7	22.4	7.8	10.6	10.6					112.6	127.7	(15.1)	-11.8%
Public Health:																
Medicaid	388.7	530.8	346.9	320.7	666.3	517.9	390.9	612.2					3,774.4	3,864.0	(89.6)	-2.3%
Other Public Health	79.7	167.3	356.3	298.5	84.7	239.4	100.1	125.3					1,451.3	1,380.3	71.0	5.1%
Public Safety	13.5	6.8	11.5	10.7	10.4	10.4	15.5	13.3					92.1	89.7	2.4	2.7%
Public Welfare	0.3	1.1	0.2	0.1	1.0	(0.1)	0.7	0.9					4.2	4.1	0.1	2.4%
Support and Regulate Business	1.8	1.8	0.7	0.1	4.4	1.2	24.4	8.5					42.9	52.7	(9.8)	-18.6%
Transportation	244.6	478.7	420.4	371.6	471.3	413.5	362.0	560.2					3,322.3	3,339.6	(17.3)	-0.5%
Total Local Assistance Grants	**744.5**	**1,203.0**	**1,529.5**	**1,024.4**	**1,263.3**	**3,380.2**	**1,050.5**	**1,487.1**	**-**	**-**	**-**	**-**	**11,682.5**	**12,155.0**	**(472.5)**	**-3.9%**
Departmental Operations:																
Personal Service	565.0	729.4	537.6	532.1	616.0	521.3	566.1	721.5					4,789.0	4,736.0	53.0	1.1%
Non-Personal Service	229.9	271.8	337.3	214.2	313.1	276.3	323.8	292.2					2,258.6	2,245.2	13.4	0.6%
General State Charges	54.2	447.3	57.2	45.9	388.3	28.4	137.1	434.8					1,593.2	1,548.8	44.4	2.9%
Capital Projects	-	-	-	-	-	-	-	-					-	2.5	(2.5)	-100.0%
Total Disbursements	**1,593.6**	**2,651.5**	**2,461.6**	**1,816.6**	**2,580.7**	**4,206.2**	**2,077.5**	**2,935.6**	**-**	**-**	**-**	**-**	**20,323.3**	**20,687.5**	**(364.2)**	**-1.8%**
Excess (Deficiency) of Receipts over Disbursements	**87.1**	**(1,136.8)**	**(446.9)**	**(178.9)**	**(722.8)**	**(1,746.0)**	**(338.9)**	**(1,187.2)**	**-**	**-**	**-**	**-**	**(5,670.4)**	**(5,725.3)**	**54.9**	**1.0%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	1,026.0	977.1	834.3	855.5	856.1	234.0	723.6	887.6					6,394.2	5,914.8	479.4	8.1%
Transfers to Other Funds	(40.5)	(108.9)	(40.7)	(18.1)	(40.4)	(57.2)	(13.2)	(20.8)					(339.8)	(171.5)	168.3	98.1%
Total Other Financing Sources (Uses)	**985.5**	**868.2**	**793.6**	**837.4**	**815.7**	**176.8**	**710.4**	**866.8**	**-**	**-**	**-**	**-**	**6,054.4**	**5,743.3**	**311.1**	**5.4%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**1,072.6**	**(268.6)**	**346.7**	**658.5**	**92.9**	**(1,569.2)**	**371.5**	**(320.4)**	**-**	**-**	**-**	**-**	**384.0**	**18.0**	**366.0**	**2,033.3%**
Ending Fund Balance	**$ 4,804.9**	**$ 4,536.3**	**$ 4,883.0**	**$ 5,541.5**	**$ 5,634.4**	**$ 4,065.2**	**$ 4,436.7**	**$ 4,116.3**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 4,116.3**	**$ 3,565.4**	**$ 550.9**	**15.5%**

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	**$ 539.9**	**$ (73.0)**	**$ (640.1)**	**$ 270.7**	**$ 50.4**	**$ (111.2)**	**$ 147.5**	**$ (387.9)**					**$ 539.9**	**$ 59.7**	**$ 480.2**	**804.4%**
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property:																
Abandoned Property	-	-	-	-	-	-	-	-					-	-	-	0.0%
Assessments:																
Business	3.7	35.7	0.2	1.8	10.3	0.1	1.8	6.4					60.0	58.0	2.0	3.4%
Medical Care	-	-	-	-	-	-	-	-					-	-	-	0.0%
Public Utilities	-	-	-	-	-	-	-	-					-	-	-	0.0%
Other	-	-	-	-	-	-	-	-					-	-	-	0.0%
Fees, Licenses and Permits:																
Business/Professional	-	-	-	-	-	-	-	-					-	-	-	0.0%
Civil	-	-	-	-	-	-	-	-					-	-	-	0.0%
Criminal	-	-	-	-	-	-	-	-					-	-	-	0.0%
Motor Vehicle	-	-	-	-	-	-	-	-					-	-	-	0.0%
Recreational/Consumer	-	-	-	-	-	-	-	-					-	-	-	0.0%
Fines, Penalties and Forfeitures	0.8	0.7	0.8	0.6	2.7	1.2	0.7	0.8					8.3	15.3	(7.0)	-45.8%
Interest Earnings	0.4	0.6	0.5	0.5	0.8	0.4	0.6	0.7					4.5	1.8	2.7	150.0%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Cost Recovery Assessments	-	-	-	-	-	-	-	-					-	-	-	0.0%
Issuance Fees	-	-	-	-	-	-	-	-					-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-					-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-					-	-	-	0.0%
Rentals	-	-	-	-	-	-	-	-					-	-	-	0.0%
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-	-	-	-	-					-	0.1	(0.1)	-100.0%
Commissions	-	-	-	-	-	-	-	-					-	-	-	0.0%
Gifts, Grants and Donations	-	-	0.4	-	0.1	-	(0.1)	-					0.4	-	0.4	100.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-					-	-	-	0.0%
Patient/Client Care Reimbursement	-	-	-	-	-	-	-	-					-	-	-	0.0%
Rebates	8.3	10.0	8.2	9.8	8.9	8.8	9.4	8.5					71.9	69.9	2.0	2.9%
Restitution and Settlements	-	-	-	-	0.5	(0.5)	-	-					-	-	-	0.0%
Student Loans	-	-	-	-	-	-	-	-					-	-	-	0.0%
All Other	0.1	0.7	1.5	0.1	1.4	0.1	0.1	-					4.0	(5.9)	9.9	167.8%
Sales	-	-	0.2	-	-	-	0.2	-					0.4	0.3	0.1	33.3%
Tuition	-	-	-	-	-	-	-	-					-	-	-	0.0%
Total Miscellaneous Receipts	**13.3**	**47.7**	**11.8**	**12.8**	**24.7**	**10.1**	**12.7**	**16.4**	**-**	**-**	**-**	**-**	**149.5**	**139.5**	**10.0**	**7.2%**
Federal Receipts	3,337.1	4,582.4	5,398.6	3,633.0	5,066.9	5,002.3	4,086.5	5,078.9					36,185.7	32,024.2	4,161.5	13.0%
Total Receipts	**3,350.4**	**4,630.1**	**5,410.4**	**3,645.8**	**5,091.6**	**5,012.4**	**4,099.2**	**5,095.3**	**-**	**-**	**-**	**-**	**36,335.2**	**32,163.7**	**4,171.5**	**13.0%**

STATE OF NEW YORK
SPECIAL REVENUE FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	263.6	365.2	454.6	247.4	232.3	146.0	179.4	262.4					2,150.9	1,851.5	299.4	16.2%
Environment and Recreation	-	-	0.1	0.2	-	0.3	-	-					0.6	2.6	(2.0)	-76.9%
General Government	0.7	10.2	1.9	2.0	1.9	4.5	0.7	1.9					23.8	31.1	(7.3)	-23.5%
Public Health:																
Medicaid	2,701.3	3,588.2	2,621.1	2,638.6	3,722.9	2,728.0	2,885.3	3,326.8					24,212.2	21,150.4	3,061.8	14.5%
Other Public Health	378.6	497.2	425.2	529.6	404.7	1,073.1	447.8	463.5					4,219.7	3,182.1	1,037.6	32.6%
Public Safety	119.8	51.3	108.0	61.2	159.1	40.3	147.4	159.6					846.7	908.3	(61.6)	-6.8%
Public Welfare	266.6	325.8	359.9	206.6	243.4	291.1	695.2	279.4					2,668.0	2,975.5	(307.5)	-10.3%
Support and Regulate Business	-	1.0	0.1	0.1	1.7	-	0.1	1.5					4.5	2.6	1.9	73.1%
Transportation	7.0	3.4	6.7	2.5	4.1	2.9	3.0	12.8					42.4	40.8	1.6	3.9%
Total Local Assistance Grants	**3,737.6**	**4,842.3**	**3,977.6**	**3,688.2**	**4,770.1**	**4,286.2**	**4,358.9**	**4,507.9**	**-**	**-**	**-**	**-**	**34,168.8**	**30,144.9**	**4,023.9**	**13.3%**
Departmental Operations:																
Personal Service	50.2	78.9	51.8	46.5	46.9	49.1	47.6	78.0					449.0	426.6	22.4	5.3%
Non-Personal Service	47.3	120.2	84.2	64.2	132.7	186.9	138.6	122.9					897.0	878.9	18.1	2.1%
General State Charges	7.0	46.3	11.2	10.1	58.1	21.2	24.5	42.6					221.0	164.7	56.3	34.2%
Capital Projects	-	-	-	-	-	-	-	-					-	-	-	0.0%
Total Disbursements	**3,842.1**	**5,087.7**	**4,124.8**	**3,809.0**	**5,007.8**	**4,543.4**	**4,569.6**	**4,751.4**	**-**	**-**	**-**	**-**	**35,735.8**	**31,615.1**	**4,120.7**	**13.0%**
Excess (Deficiency) of Receipts over Disbursements	**(491.7)**	**(457.6)**	**1,285.6**	**(163.2)**	**83.8**	**469.0**	**(470.4)**	**343.9**	**-**	**-**	**-**	**-**	**599.4**	**548.6**	**50.8**	**9.3%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Other Funds	(121.2)	(109.5)	(374.8)	(57.1)	(245.4)	(210.3)	(65.0)	(185.2)					(1,368.5)	(1,173.9)	194.6	16.6%
Total Other Financing Sources (Uses)	**(121.2)**	**(109.5)**	**(374.8)**	**(57.1)**	**(245.4)**	**(210.3)**	**(65.0)**	**(185.2)**	**-**	**-**	**-**	**-**	**(1,368.5)**	**(1,173.9)**	**194.6**	**16.6%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(612.9)**	**(567.1)**	**910.8**	**(220.3)**	**(161.6)**	**258.7**	**(535.4)**	**158.7**	**-**	**-**	**-**	**-**	**(769.1)**	**(625.3)**	**(143.8)**	**-23.0%**
Ending Fund Balance	**$ (73.0)**	**$ (640.1)**	**$ 270.7**	**$ 50.4**	**$ (111.2)**	**$ 147.5**	**$ (387.9)**	**$ (229.2)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (229.2)**	**$ (565.6)**	**$ 336.4**	**59.5%**

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT H

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 144.4	$ 426.7	$ 571.0	$ 418.1	$ 780.8	$ 1,002.7	$ 396.1	$ 787.4					$ 144.4	$ 159.7	$ (15.3)	-9.6%
RECEIPTS:																
Taxes:																
Personal Income Tax	1,250.5	525.3	1,162.7	662.5	763.7	1,179.0	673.5	597.9					6,815.1	7,031.4	(216.3)	-3.1%
Consumption/Use Taxes:																
Sales and Use	473.0	487.8	676.4	526.5	515.3	681.1	519.8	550.7					4,430.6	4,272.4	158.2	3.7%
Total Consumption/Use Taxes	**473.0**	**487.8**	**676.4**	**526.5**	**515.3**	**681.1**	**519.8**	**550.7**	-	-	-	-	**4,430.6**	**4,272.4**	**158.2**	**3.7%**
Other Taxes:																
Real Estate Transfer	94.8	94.7	89.6	84.4	97.6	98.4	70.0	85.0					714.5	704.0	10.5	1.5%
Total Other Taxes	**94.8**	**94.7**	**89.6**	**84.4**	**97.6**	**98.4**	**70.0**	**85.0**	-	-	-	-	**714.5**	**704.0**	**10.5**	**1.5%**
Total Taxes	**1,818.3**	**1,107.8**	**1,928.7**	**1,273.4**	**1,376.6**	**1,958.5**	**1,263.3**	**1,233.6**	-	-	-	-	**11,960.2**	**12,007.8**	**(47.6)**	**-0.4%**
Miscellaneous Receipts:																
Assessments:																
Medical Care	-	-	-	-	-	-	-	-					-	-	-	0.0%
Fees, Licenses and Permits:																
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	0.1	-	0.3	-	-	0.1					0.6	0.3	0.3	100.0%
Receipts from Municipalities	-	0.4	0.1	0.9	1.0	-	-	-					2.4	3.9	(1.5)	-38.5%
Rentals	-	-	-	-	-	-	-	-					-	-	-	0.0%
Revenues of State Departments:																
Patient/Client Care Reimbursement	50.2	41.9	55.0	40.5	(31.5)	94.6	26.9	33.4					311.0	288.1	22.9	7.9%
Sales	-	-	-	-	0.1	-	-	-					0.1	0.1	-	0.0%
Total Miscellaneous Receipts	**50.2**	**42.4**	**55.2**	**41.4**	**(30.1)**	**94.6**	**26.9**	**33.5**	-	-	-	-	**314.1**	**292.4**	**21.7**	**7.4%**
Federal Receipts	-	-	-	1.6	35.1	-	-	-					36.7	36.7	-	0.0%
Total Receipts	**1,868.5**	**1,150.2**	**1,983.9**	**1,316.4**	**1,381.6**	**2,053.1**	**1,290.2**	**1,267.1**	-	-	-	-	**12,311.0**	**12,336.9**	**(25.9)**	**-0.2%**
DISBURSEMENTS:																
Departmental Operations:																
Non-Personal Service	0.9	1.6	4.7	7.9	1.4	3.1	0.8	1.2					21.6	26.6	(5.0)	-18.8%
Debt Service, Including Payments On Financing Agreements	87.2	148.2	186.1	28.0	348.6	757.1	26.7	81.8					1,663.7	1,569.6	94.1	6.0%
Total Disbursements	**88.1**	**149.8**	**190.8**	**35.9**	**350.0**	**760.2**	**27.5**	**83.0**	-	-	-	-	**1,685.3**	**1,596.2**	**89.1**	**5.6%**
Excess (Deficiency) of Receipts over Disbursements	**1,780.4**	**1,000.4**	**1,793.1**	**1,280.5**	**1,031.6**	**1,292.9**	**1,262.7**	**1,184.1**	-	-	-	-	**10,625.7**	**10,740.7**	**(115.0)**	**-1.1%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	389.7	113.0	275.6	221.2	206.3	328.6	431.4	176.4					2,142.2	1,702.5	439.7	25.8%
Transfers to Other Funds	(1,887.8)	(969.1)	(2,221.6)	(1,139.0)	(1,016.0)	(2,228.1)	(1,302.8)	(1,029.3)					(11,793.7)	(11,726.5)	67.2	0.6%
Total Other Financing Sources (Uses)	**(1,498.1)**	**(856.1)**	**(1,946.0)**	**(917.8)**	**(809.7)**	**(1,899.5)**	**(871.4)**	**(852.9)**	-	-	-	-	**(9,651.5)**	**(10,024.0)**	**372.5**	**3.7%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**282.3**	**144.3**	**(152.9)**	**362.7**	**221.9**	**(606.6)**	**391.3**	**331.2**	-	-	-	-	**974.2**	**716.7**	**257.5**	**35.9%**
Ending Fund Balance	$ 426.7	$ 571.0	$ 418.1	$ 780.8	$ 1,002.7	$ 396.1	$ 787.4	$ 1,118.6	$ -	$ -	$ -	$ -	$ 1,118.6	$ 876.4	$ 242.2	27.6%

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT I

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (1,060.5)	$ (1,047.0)	$ (1,123.2)	$ (906.2)	$ (829.6)	$ (914.0)	$ (1,281.4)	$ (1,325.6)					$ -	$ (1,060.5)	$ (890.8)	$ (169.7)	-19.1%
RECEIPTS:																	
Taxes:																	
Consumption/Use Taxes:																	
Auto Rental	8.0	5.5	7.7	8.4	8.1	8.0	5.8	6.1					-	57.6	42.7	14.9	34.9%
Motor Fuel	32.8	30.9	34.9	34.6	35.4	36.4	33.5	33.6					-	272.1	277.9	(5.8)	-2.1%
Highway Use	11.5	(32.7)	10.7	12.0	11.9	9.8	14.2	11.4					-	48.8	94.4	(45.6)	-48.3%
Total Consumption/Use Taxes	**52.3**	**3.7**	**53.3**	**55.0**	**55.4**	**54.2**	**53.5**	**51.1**	**-**	**-**	**-**	**-**	**-**	**378.5**	**415.0**	**(36.5)**	**-8.8%**
Business Taxes:																	
Corporation Franchise	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Corporation and Utilities	0.9	0.6	2.0	-	0.1	2.2	0.2	-					-	6.0	5.4	0.6	11.1%
Petroleum Business	45.9	45.7	53.2	55.2	50.2	55.2	50.8	51.5					-	407.7	423.3	(15.6)	-3.7%
Total Business Taxes	**46.8**	**46.3**	**55.2**	**55.2**	**50.3**	**57.4**	**51.0**	**51.5**	**-**	**-**	**-**	**-**	**-**	**413.7**	**428.7**	**(15.0)**	**-3.5%**
Other Taxes:																	
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	11.9	12.0					-	71.5	71.5	-	0.0%
Total Other Taxes	**-**	**-**	**11.9**	**11.9**	**11.9**	**11.9**	**11.9**	**12.0**	**-**	**-**	**-**	**-**	**-**	**71.5**	**71.5**	**-**	**0.0%**
Total Taxes	**99.1**	**50.0**	**120.4**	**122.1**	**117.6**	**123.5**	**116.4**	**114.6**	**-**	**-**	**-**	**-**	**-**	**863.7**	**915.2**	**(51.5)**	**-5.6%**
Miscellaneous Receipts:																	
Abandoned Property:																	
Bottle Bill	-	-	23.0	-	-	-	-	-					-	23.0	23.0	-	0.0%
Assessments:																	
Business	15.5	8.4	9.6	13.0	8.2	10.3	11.4	8.2					-	84.6	76.2	8.4	11.0%
Fees, Licenses and Permits:																	
Business/Professional	1.6	7.9	2.7	3.5	1.7	5.0	1.8	1.1					-	25.3	22.9	2.4	10.5%
Civil	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Motor Vehicle	69.3	65.7	63.4	70.6	58.7	61.8	56.4	59.5					-	505.4	481.5	23.9	5.0%
Recreational/Consumer	0.1	0.2	0.2	0.1	0.3	23.0	0.2	-					-	24.1	26.9	(2.8)	-10.4%
Fines, Penalties and Forfeitures	1.9	4.7	2.2	2.4	2.5	2.0	2.2	1.9					-	19.8	23.3	(3.5)	-15.0%
Interest Earnings	0.4	0.4	0.5	0.5	0.5	0.7	0.5	0.6					-	4.1	1.5	2.6	173.3%
Receipts from Public Authorities:																	
Bond Proceeds	-	2.6	76.1	1,120.5	40.1	38.5	876.3	28.3					-	2,182.4	1,473.8	708.6	48.1%
Issuance Fees	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Non Bond Related	0.9	0.6	-	-	22.8	0.6	18.0	-					-	42.9	5.5	37.4	680.0%
Receipts from Municipalities	0.2	-	-	0.3	0.2	-	0.4	0.1					-	1.2	1.8	(0.6)	-33.3%
Rentals	0.8	0.7	0.6	0.6	1.3	1.9	0.5	1.0					-	7.4	4.8	2.6	54.2%
Revenues of State Departments:																	
Administrative Recoveries	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Gifts, Grants and Donations	0.5	-	10.0	0.2	2.5	0.1	0.5	0.2					-	14.0	11.8	2.2	18.6%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Rebates	-	0.2	-	-	-	-	-	-					-	0.2	0.2	-	0.0%
Restitution and Settlements	0.1	0.1	0.1	0.2	0.2	0.1	1.3	1.7					-	3.8	7.9	(4.1)	-51.9%
All Other	0.5	2.4	2.4	0.3	7.8	1.0	0.8	0.9					-	16.1	13.8	2.3	16.7%
Sales	0.8	0.2	0.2	-	8.9	2.4	0.5	0.4					-	13.4	1.8	11.6	644.4%
Total Miscellaneous Receipts	**92.6**	**94.1**	**191.0**	**1,212.2**	**155.7**	**147.4**	**970.8**	**103.9**	**-**	**-**	**-**	**-**	**-**	**2,967.7**	**2,176.7**	**791.0**	**36.3%**
Federal Receipts	136.1	112.9	282.3	139.4	160.4	147.1	128.1	270.1					-	1,376.4	1,623.8	(247.4)	-15.2%
Total Receipts	**327.8**	**257.0**	**593.7**	**1,473.7**	**433.7**	**418.0**	**1,215.3**	**488.6**	**-**	**-**	**-**	**-**	**-**	**5,207.8**	**4,715.7**	**492.1**	**10.4%**

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - COMBINED
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT I

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	Intra-Fund Transfer Eliminations (*)	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																	
Local Assistance Grants:																	
Education	-	0.2	21.9	23.2	4.4	5.7	20.3	7.5					-	83.2	21.9	61.3	279.9%
Environment and Recreation	2.4	31.6	3.0	6.4	8.4	8.6	8.6	32.5					-	101.5	82.4	19.1	23.2%
General Government	6.4	10.1	81.2	34.0	34.3	128.5	55.8	33.9					-	384.2	255.9	128.3	50.1%
Public Health:																	
Medicaid	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Other Public Health	5.6	23.0	13.9	16.7	14.3	20.8	26.5	3.0					-	123.8	64.1	59.7	93.1%
Public Safety	-	13.1	-	-	0.5	4.4	-	-					-	18.0	34.1	(16.1)	-47.2%
Public Welfare	48.1	6.4	14.6	6.2	15.8	28.8	24.9	65.4					-	210.2	94.2	116.0	123.1%
Support and Regulate Business	155.7	70.6	76.2	109.8	209.8	76.3	43.2	14.9					-	756.5	498.7	257.8	51.7%
Transportation	34.0	53.0	81.6	28.3	134.4	95.2	70.9	32.1					-	529.5	640.9	(111.4)	-17.4%
Total Local Assistance Grants	**252.2**	**208.0**	**292.4**	**224.6**	**421.9**	**368.3**	**250.2**	**189.3**	**-**	**-**	**-**	**-**	**-**	**2,206.9**	**1,692.2**	**514.7**	**30.4%**
Departmental Operations:																	
Personal Service	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Capital Projects	350.0	472.2	526.0	555.8	575.7	596.6	718.2	645.3					-	4,439.8	4,399.0	40.8	0.9%
Total Disbursements	**602.2**	**680.2**	**818.4**	**780.4**	**997.6**	**964.9**	**968.4**	**834.6**	**-**	**-**	**-**	**-**	**-**	**6,646.7**	**6,091.2**	**555.5**	**9.1%**
Excess (Deficiency) of Receipts over Disbursements	**(274.4)**	**(423.2)**	**(224.7)**	**693.3**	**(563.9)**	**(546.9)**	**246.9**	**(346.0)**	**-**	**-**	**-**	**-**	**-**	**(1,438.9)**	**(1,375.5)**	**(63.4)**	**-4.6%**
OTHER FINANCING SOURCES (USES):																	
Bond Proceeds (net)	-	-	-	-	-	-	-	-					-	-	-	-	0.0%
Transfers from Other Funds	316.5	377.0	476.4	(584.1)	512.0	439.3	(266.0)	365.0					-	1,636.1	1,787.0	(150.9)	-8.4%
Transfers to Other Funds	(28.6)	(30.0)	(34.7)	(32.6)	(32.5)	(259.8)	(25.1)	(21.5)					-	(464.8)	(471.6)	(6.8)	-1.4%
Total Other Financing Sources (Uses)	**287.9**	**347.0**	**441.7**	**(616.7)**	**479.5**	**179.5**	**(291.1)**	**343.5**	**-**	**-**	**-**	**-**	**-**	**1,171.3**	**1,315.4**	**(144.1)**	**-11.0%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**13.5**	**(76.2)**	**217.0**	**76.6**	**(84.4)**	**(367.4)**	**(44.2)**	**(2.5)**	**-**	**-**	**-**	**-**	**-**	**(267.6)**	**(60.1)**	**(207.5)**	**-345.3%**
Ending Fund Balance	**$ (1,047.0)**	**$ (1,123.2)**	**$ (906.2)**	**$ (829.6)**	**$ (914.0)**	**$ (1,281.4)**	**$ (1,325.6)**	**$ (1,328.1)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (1,328.1)**	**$ (950.9)**	**$ (377.2)**	**-39.7%**

(*) Intra-Fund transfer eliminations represent transfers from Capital Projects-State and Federal Funds.

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (490.9)	$ (501.4)	$ (556.6)	$ (469.7)	$ (405.9)	$ (471.3)	$ (815.4)	$ (788.2)					$ (490.9)	$ (331.5)	$ (159.4)	-48.1%
RECEIPTS:																
Taxes:																
Consumption/Use Taxes																
Auto Rental	8.0	5.5	7.7	8.4	8.1	8.0	5.8	6.1					57.6	42.7	14.9	34.9%
Motor Fuel	32.8	30.9	34.9	34.6	35.4	36.4	33.5	33.6					272.1	277.9	(5.8)	-2.1%
Highway Use	11.5	(32.7)	10.7	12.0	11.9	9.8	14.2	11.4					48.8	94.4	(45.6)	-48.3%
Total Consumption/Use Taxes	52.3	3.7	53.3	55.0	55.4	54.2	53.5	51.1	-	-	-	-	378.5	415.0	(36.5)	-8.8%
Business Taxes																
Corporation Franchise	-	-	-	-	-	-	-	-					-	-	-	0.0%
Corporation and Utilities	0.9	0.6	2.0	-	0.1	2.2	0.2	-					6.0	5.4	0.6	11.1%
Petroleum Business	45.9	45.7	53.2	55.2	50.2	55.2	50.8	51.5					407.7	423.3	(15.6)	-3.7%
Total Business Taxes	46.8	46.3	55.2	55.2	50.3	57.4	51.0	51.5	-	-	-	-	413.7	428.7	(15.0)	-3.5%
Other Taxes																
Real Estate Transfer	-	-	11.9	11.9	11.9	11.9	11.9	12.0					71.5	71.5	-	0.0%
Total Other Taxes	-	-	11.9	11.9	11.9	11.9	11.9	12.0	-	-	-	-	71.5	71.5	-	0.0%
Total Taxes	99.1	50.0	120.4	122.1	117.6	123.5	116.4	114.6	-	-	-	-	863.7	915.2	(51.5)	-5.6%
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	23.0	-	-	-	-	-					23.0	23.0	-	0.0%
Assessments:																
Business	15.5	8.4	9.6	13.0	8.2	10.3	11.4	8.2					84.6	76.2	8.4	11.0%
Fees, Licenses and Permits:																
Business/Professional	1.6	7.9	2.7	3.5	1.7	5.0	1.8	1.1					25.3	22.9	2.4	10.5%
Civil	-	-	-	-	-	-	-	-					-	-	-	0.0%
Motor Vehicle	69.3	65.7	63.4	70.6	58.7	61.8	56.4	59.5					505.4	481.5	23.9	5.0%
Recreational/Consumer	0.1	0.2	0.2	0.1	0.3	23.0	0.2	-					24.1	26.9	(2.8)	-10.4%
Fines, Penalties and Forfeitures	1.9	4.7	2.2	2.4	2.5	2.0	2.2	1.9					19.8	23.3	(3.5)	-15.0%
Interest Earnings	0.4	0.4	0.5	0.5	0.5	0.7	0.5	0.6					4.1	1.5	2.6	173.3%
Receipts from Public Authorities:																
Bond Proceeds	-	2.6	76.1	1,120.5	40.1	38.5	876.3	28.3					2,182.4	1,473.8	708.6	48.1%
Issuance Fees	-	-	-	-	-	-	-	-					-	-	-	0.0%
Non Bond Related	0.9	0.6	-	-	22.8	0.6	18.0	-					42.9	5.5	37.4	680.0%
Receipts from Municipalities	0.2	-	-	0.3	0.2	-	0.4	0.1					1.2	1.8	(0.6)	-33.3%
Rentals	0.8	0.6	0.5	0.6	1.2	1.8	0.5	1.0					7.0	4.4	2.6	59.1%
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-	-	-	-	-					-	-	-	0.0%
Gifts, Grants and Donations	0.5	-	10.0	0.2	2.5	0.1	0.5	0.2					14.0	11.8	2.2	18.6%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-					-	-	-	0.0%
Rebates	-	0.2	-	-	-	-	-	-					0.2	0.2	-	0.0%
Restitution and Settlements	0.1	0.1	0.1	0.2	0.2	0.1	1.3	1.7					3.8	7.9	(4.1)	-51.9%
All Other	0.5	2.4	2.4	0.3	7.8	1.0	0.8	0.9					16.1	13.8	2.3	16.7%
Sales	0.1	0.1	0.2	-	8.9	2.4	0.4	-					12.1	0.8	11.3	1,412.5%
Total Miscellaneous Receipts	91.9	93.9	190.9	1,212.2	155.6	147.3	970.7	103.5	-	-	-	-	2,966.0	2,175.3	790.7	36.3%
Federal Receipts	-	-	-	-	-	2.5	-	-					2.5	2.5	-	0.0%
Total Receipts	191.0	143.9	311.3	1,334.3	273.2	273.3	1,087.1	218.1	-	-	-	-	3,832.2	3,093.0	739.2	23.9%

EXHIBIT I

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - STATE
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	0.2	21.9	23.2	4.4	5.7	20.3	7.5					83.2	21.9	61.3	279.9%
Environment and Recreation	2.4	31.6	3.0	6.4	8.4	8.6	8.6	32.5					101.5	82.4	19.1	23.2%
General Government	6.4	10.1	81.2	34.0	34.3	128.5	55.8	33.9					384.2	255.9	128.3	50.1%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-					-	-	-	0.0%
Other Public Health	5.6	23.0	13.9	16.7	14.3	15.9	26.5	3.0					118.9	60.2	58.7	97.5%
Public Safety	-	13.1	-	-	0.5	1.1	-	-					14.7	32.1	(17.4)	-54.2%
Public Welfare	48.1	6.4	14.6	6.2	15.8	28.8	24.9	65.4					210.2	94.2	116.0	123.1%
Support and Regulate Business	155.7	70.6	76.2	109.8	209.8	76.3	43.2	14.9					756.5	498.7	257.8	51.7%
Transportation	3.3	9.7	50.7	3.2	73.1	70.5	11.6	5.1					227.2	218.9	8.3	3.8%
Total Local Assistance Grants	**221.5**	**164.7**	**261.5**	**199.5**	**360.6**	**335.4**	**190.9**	**162.3**	**-**	**-**	**-**	**-**	**1,896.4**	**1,264.3**	**632.1**	**50.0%**
Departmental Operations:																
Personal Service	-	-	-	-	-	-	-	-					-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-					-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-					-	-	-	0.0%
Capital Projects	267.9	381.4	409.3	454.3	457.5	461.5	577.9	532.2					3,542.0	3,304.3	237.7	7.2%
Total Disbursements	**489.4**	**546.1**	**670.8**	**653.8**	**818.1**	**796.9**	**768.8**	**694.5**	**-**	**-**	**-**	**-**	**5,438.4**	**4,568.6**	**869.8**	**19.0%**
Excess (Deficiency) of Receipts over Disbursements	**(298.4)**	**(402.2)**	**(359.5)**	**680.5**	**(544.9)**	**(523.6)**	**318.3**	**(476.4)**	**-**	**-**	**-**	**-**	**(1,606.2)**	**(1,475.6)**	**(130.6)**	**-8.9%**
OTHER FINANCING SOURCES (USES):																
Bond Proceeds (net)	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers from Other Funds	316.5	377.0	476.4	(584.1)	512.0	439.3	(266.0)	365.0					1,636.1	1,817.4	(181.3)	-10.0%
Transfers to Other Funds	(28.6)	(30.0)	(30.0)	(32.6)	(32.5)	(259.8)	(25.1)	(21.5)					(460.1)	(463.3)	(3.2)	-0.7%
Total Other Financing Sources (Uses)	**287.9**	**347.0**	**446.4**	**(616.7)**	**479.5**	**179.5**	**(291.1)**	**343.5**	**-**	**-**	**-**	**-**	**1,176.0**	**1,354.1**	**(178.1)**	**-13.2%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(10.5)**	**(55.2)**	**86.9**	**63.8**	**(65.4)**	**(344.1)**	**27.2**	**(132.9)**	**-**	**-**	**-**	**-**	**(430.2)**	**(121.5)**	**(308.7)**	**-254.1%**
Ending Fund Balance	**$ (501.4)**	**$ (556.6)**	**$ (469.7)**	**$ (405.9)**	**$ (471.3)**	**$ (815.4)**	**$ (788.2)**	**$ (921.1)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (921.1)**	**$ (453.0)**	**$ (468.1)**	**-103.3%**

STATE OF NEW YORK
CAPITAL PROJECTS FUNDS - FEDERAL
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT I

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (569.6)	$ (545.6)	$ (566.6)	$ (436.5)	$ (423.7)	$ (442.7)	$ (466.0)	$ (537.4)					$ (569.6)	$ (559.3)	$ (10.3)	-1.8%
RECEIPTS:																
Miscellaneous Receipts:																
Abandoned Property:																
Bottle Bill	-	-	-	-	-	-	-	-					-	-	-	0.0%
Assessments:																
Business	-	-	-	-	-	-	-	-					-	-	-	0.0%
Fees, Licenses and Permits:																
Business/Professional	-	-	-	-	-	-	-	-					-	-	-	0.0%
Civil	-	-	-	-	-	-	-	-					-	-	-	0.0%
Motor Vehicle	-	-	-	-	-	-	-	-					-	-	-	0.0%
Recreational/Consumer	-	-	-	-	-	-	-	-					-	-	-	0.0%
Fines, Penalties and Forfeitures	-	-	-	-	-	-	-	-					-	-	-	0.0%
Interest Earnings	-	-	-	-	-	-	-	-					-	-	-	0.0%
Receipts from Public Authorities:																
Bond Proceeds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Issuance Fees	-	-	-	-	-	-	-	-					-	-	-	0.0%
Non Bond Related	-	-	-	-	-	-	-	-					-	-	-	0.0%
Receipts from Municipalities	-	-	-	-	-	-	-	-					-	-	-	0.0%
Rentals	-	0.1	0.1	-	0.1	0.1	-	-					0.4	0.4	-	0.0%
Revenues of State Departments:																
Administrative Recoveries	-	-	-	-	-	-	-	-					-	-	-	0.0%
Gifts, Grants and Donations	-	-	-	-	-	-	-	-					-	-	-	0.0%
Indirect Cost Recoveries	-	-	-	-	-	-	-	-					-	-	-	0.0%
Restitution and Settlements	-	-	-	-	-	-	-	-					-	-	-	0.0%
All Other	-	-	-	-	-	-	-	-					-	-	-	0.0%
Sales	0.7	0.1	-	-	-	-	0.1	0.4					1.3	1.0	0.3	30.0%
Total Miscellaneous Receipts	**0.7**	**0.2**	**0.1**	**-**	**0.1**	**0.1**	**0.1**	**0.4**	**-**	**-**	**-**	**-**	**1.7**	**1.4**	**0.3**	**21.4%**
Federal Receipts	136.1	112.9	282.3	139.4	160.4	144.6	128.1	270.1					1,373.9	1,621.3	(247.4)	-15.3%
Total Receipts	**136.8**	**113.1**	**282.4**	**139.4**	**160.5**	**144.7**	**128.2**	**270.5**	**-**	**-**	**-**	**-**	**1,375.6**	**1,622.7**	**(247.1)**	**-15.2%**
DISBURSEMENTS:																
Local Assistance Grants:																
Education	-	-	-	-	-	-	-	-					-	-	-	0.0%
Environment and Recreation	-	-	-	-	-	-	-	-					-	-	-	0.0%
General Government	-	-	-	-	-	-	-	-					-	-	-	0.0%
Public Health:																
Medicaid	-	-	-	-	-	-	-	-					-	-	-	0.0%
Other Public Health	-	-	-	-	-	4.9	-	-					4.9	3.9	1.0	25.6%
Public Safety	-	-	-	-	-	3.3	-	-					3.3	2.0	1.3	65.0%
Public Welfare	-	-	-	-	-	-	-	-					-	-	-	0.0%
Support and Regulate Business	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transportation	30.7	43.3	30.9	25.1	61.3	24.7	59.3	27.0					302.3	422.0	(119.7)	-28.4%
Total Local Assistance Grants	**30.7**	**43.3**	**30.9**	**25.1**	**61.3**	**32.9**	**59.3**	**27.0**	**-**	**-**	**-**	**-**	**310.5**	**427.9**	**(117.4)**	**-27.4%**
Departmental Operations:																
Personal Service	-	-	-	-	-	-	-	-					-	-	-	0.0%
Non-Personal Service	-	-	-	-	-	-	-	-					-	-	-	0.0%
General State Charges	-	-	-	-	-	-	-	-					-	-	-	0.0%
Capital Projects	82.1	90.8	116.7	101.5	118.2	135.1	140.3	113.1					897.8	1,094.7	(196.9)	-18.0%
Total Disbursements	**112.8**	**134.1**	**147.6**	**126.6**	**179.5**	**168.0**	**199.6**	**140.1**	**-**	**-**	**-**	**-**	**1,208.3**	**1,522.6**	**(314.3)**	**-20.6%**
Excess (Deficiency) of Receipts over Disbursements	**24.0**	**(21.0)**	**134.8**	**12.8**	**(19.0)**	**(23.3)**	**(71.4)**	**130.4**	**-**	**-**	**-**	**-**	**167.3**	**100.1**	**67.2**	**67.1%**
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	-	-	-	-	-	-	-	-					-	-	-	0.0%
Transfers to Other Funds	-	-	(4.7)	-	-	-	-	-					(4.7)	(38.7)	(34.0)	-87.9%
Total Other Financing Sources (Uses)	**-**	**-**	**(4.7)**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**(4.7)**	**(38.7)**	**(34.0)**	**-87.9%**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**24.0**	**(21.0)**	**130.1**	**12.8**	**(19.0)**	**(23.3)**	**(71.4)**	**130.4**	**-**	**-**	**-**	**-**	**162.6**	**61.4**	**101.2**	**164.8%**
Ending Fund Balance	**$ (545.6)**	**$ (566.6)**	**$ (436.5)**	**$ (423.7)**	**$ (442.7)**	**$ (466.0)**	**$ (537.4)**	**$ (407.0)**	**$ -**	**$ -**	**$ -**	**$ -**	**$ (407.0)**	**$ (497.9)**	**$ 90.9**	**18.3%**

STATE OF NEW YORK
ENTERPRISE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT J

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 23.6	$ 25.3	$ 24.2	$ 25.1	$ 25.3	$ 24.9	$ 25.4	$ 23.9					$ 23.6	$ 66.1	$ (42.5)	-64.3%
RECEIPTS:																
Miscellaneous Receipts	4.5	4.8	4.7	4.1	7.1	5.9	6.3	4.3					41.7	41.4	0.3	0.7%
Federal Receipts	1.2	1.3	1.1	2.1	1.3	1.1	1.5	1.7					11.3	12.2	(0.9)	-7.4%
Unemployment Taxes	180.2	180.1	156.5	188.1	186.0	150.0	164.8	156.2					1,361.9	1,322.0	39.9	3.0%
Total Receipts	185.9	186.2	162.3	194.3	194.4	157.0	172.6	162.2	-	-	-	-	1,414.9	1,375.6	39.3	2.9%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	0.3	0.7	0.3	0.4	0.4	0.6	2.2	(0.4)					4.5	3.9	0.6	15.4%
Non-Personal Service	2.4	4.5	3.8	3.7	6.6	4.9	5.5	3.8					35.2	34.7	0.5	1.4%
General State Charges	-	0.3	0.2	-	0.1	-	0.2	-					0.8	0.6	0.2	33.3%
Unemployment Benefits	181.5	181.8	157.1	190.0	187.7	151.0	166.2	158.3					1,373.6	1,378.1	(4.5)	-0.3%
Total Disbursements	184.2	187.3	161.4	194.1	194.8	156.5	174.1	161.7	-	-	-	-	1,414.1	1,417.3	(3.2)	-0.2%
Excess (Deficiency) of Receipts over Disbursements	1.7	(1.1)	0.9	0.2	(0.4)	0.5	(1.5)	0.5	-	-	-	-	0.8	(41.7)	42.5	101.9%
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	1.7	(1.1)	0.9	0.2	(0.4)	0.5	(1.5)	0.5	-	-	-	-	0.8	(41.7)	42.5	101.9%
Ending Fund Balance	$ 25.3	$ 24.2	$ 25.1	$ 25.3	$ 24.9	$ 25.4	$ 23.9	$ 24.4	$ -	$ -	$ -	$ -	$ 24.4	$ 24.4	$ -	0.0%

STATE OF NEW YORK
INTERNAL SERVICE FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT K

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (200.4)	$ (261.3)	$ (254.6)	$ (247.9)	$ (250.8)	$ (262.8)	$ (273.6)	$ (274.3)					$ (200.4)	$ (127.2)	$ (73.2)	-57.5%
RECEIPTS:																
Miscellaneous Receipts	28.1	51.7	59.0	31.8	49.1	38.4	36.8	42.6					337.5	244.7	92.8	37.9%
Total Receipts	28.1	51.7	59.0	31.8	49.1	38.4	36.8	42.6	-	-	-	-	337.5	244.7	92.8	37.9%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	7.6	11.9	9.0	7.4	8.1	7.6	8.7	12.6					72.9	65.6	7.3	11.1%
Non-Personal Service	83.2	27.5	39.0	27.5	46.2	34.6	30.2	48.5					336.7	262.5	74.2	28.3%
General State Charges	-	7.8	5.6	2.2	9.3	4.9	5.2	2.7					37.7	32.9	4.8	14.6%
Total Disbursements	90.8	47.2	53.6	37.1	63.6	47.1	44.1	63.8	-	-	-	-	447.3	361.0	86.3	23.9%
Excess (Deficiency) of Receipts over Disbursements	(62.7)	4.5	5.4	(5.3)	(14.5)	(8.7)	(7.3)	(21.2)	-	-	-	-	(109.8)	(116.3)	6.5	5.6%
OTHER FINANCING SOURCES (USES):																
Transfers from Other Funds	1.8	2.2	1.3	2.4	2.7	5.0	6.6	13.7					35.7	28.0	7.7	27.5%
Transfers to Other Funds	-	-	-	-	(0.2)	(7.1)	-	(0.1)					(7.4)	(7.8)	0.4	5.1%
Total Other Financing Sources (Uses)	1.8	2.2	1.3	2.4	2.5	(2.1)	6.6	13.6	-	-	-	-	28.3	20.2	8.1	40.1%
Excess (Deficiency) of Receipts and Other Financing Sources Over Disbursements and Other Financing Uses	(60.9)	6.7	6.7	(2.9)	(12.0)	(10.8)	(0.7)	(7.6)	-	-	-	-	(81.5)	(96.1)	14.6	15.2%
Ending Fund Balance	$ (261.3)	$ (254.6)	$ (247.9)	$ (250.8)	$ (262.8)	$ (273.6)	$ (274.3)	$ (281.9)	$ -	$ -	$ -	$ -	$ (281.9)	$ (223.3)	$ (58.6)	-26.2%

STATE OF NEW YORK
PENSION TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT L

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ (1.9)	$ (0.3)	$ (2.2)	$ (7.9)	$ (19.6)	$ (20.5)	$ (21.4)	$ (22.7)					$ (1.9)	$ 0.1	$ (2.0)	-2,000.0%
RECEIPTS:																
Miscellaneous Receipts	5.6	7.7	5.0	4.9	5.0	5.0	5.8	28.6					67.6	45.1	22.5	49.9%
Total Receipts	**5.6**	**7.7**	**5.0**	**4.9**	**5.0**	**5.0**	**5.8**	**28.6**	**-**	**-**	**-**	**-**	**67.6**	**45.1**	**22.5**	**49.9%**
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	3.6	7.7	5.1	4.9	5.0	5.0	5.8	3.2					40.3	42.5	(2.2)	-5.2%
Non-Personal Service	0.4	1.3	1.3	1.7	0.9	0.9	1.3	2.3					10.1	8.1	2.0	24.7%
General State Charges	-	0.6	4.3	10.0	-	-	-	-					14.9	11.5	3.4	29.6%
Total Disbursements	**4.0**	**9.6**	**10.7**	**16.6**	**5.9**	**5.9**	**7.1**	**5.5**	**-**	**-**	**-**	**-**	**65.3**	**62.1**	**3.2**	**5.2%**
Excess (Deficiency) of Receipts over Disbursements	**1.6**	**(1.9)**	**(5.7)**	**(11.7)**	**(0.9)**	**(0.9)**	**(1.3)**	**23.1**	**-**	**-**	**-**	**-**	**2.3**	**(17.0)**	**19.3**	**113.5%**
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	**1.6**	**(1.9)**	**(5.7)**	**(11.7)**	**(0.9)**	**(0.9)**	**(1.3)**	**23.1**	**-**	**-**	**-**	**-**	**2.3**	**(17.0)**	**19.3**	**113.5%**
Ending Fund Balance	$ (0.3)	$ (2.2)	$ (7.9)	$ (19.6)	$ (20.5)	$ (21.4)	$ (22.7)	$ 0.4	$ -	$ -	$ -	$ -	$ 0.4	$ (16.9)	$ 17.3	102.4%

STATE OF NEW YORK
PRIVATE PURPOSE TRUST FUNDS
STATEMENT OF CASH FLOW
FISCAL YEAR 2017-2018
(Amounts in millions)

EXHIBIT M

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30 2017	2016	$ Increase/ (Decrease)	% Increase/ Decrease
Beginning Fund Balance	$ 10.7	$ 11.0	$ 11.0	$ 11.1	$ 11.2	$ 11.3	$ 11.3	$ 11.4					$ 10.7	$ 11.6	$ (0.9)	-7.8%
RECEIPTS:																
Miscellaneous Receipts	0.3	0.1	0.1	0.1	0.1	0.1	0.2	0.1					1.1	(1.1)	2.2	200.0%
Total Receipts	0.3	0.1	0.1	0.1	0.1	0.1	0.2	0.1	-	-	-	-	1.1	(1.1)	2.2	200.0%
DISBURSEMENTS:																
Departmental Operations:																
Personal Service	-	0.1	-	-	-	-	0.1	-					0.2	0.1	0.1	100.0%
Non-Personal Service	-	-	-	-	-	-	-	-					-	-	-	0.0%
General State Charges	-	-	-	-	-	0.1	-	-					0.1	0.1	-	0.0%
Total Disbursements	-	0.1	-	-	-	0.1	0.1	-	-	-	-	-	0.3	0.2	0.1	50.0%
Excess (Deficiency) of Receipts over Disbursements	0.3	-	0.1	0.1	0.1	-	0.1	0.1	-	-	-	-	0.8	(1.3)	2.1	161.5%
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	0.3	-	0.1	0.1	0.1	-	0.1	0.1	-	-	-	-	0.8	(1.3)	2.1	161.5%
Ending Fund Balance	$ 11.0	$ 11.0	$ 11.1	$ 11.2	$ 11.3	$ 11.3	$ 11.4	$ 11.5	$ -	$ -	$ -	$ -	$ 11.5	$ 10.3	$ 1.2	11.7%

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2017-2018
FOR THE MONTH OF NOVEMBER 2017
(Amounts in millions)

SCHEDULE 1

	BALANCE NOVEMBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2017
GENERAL FUND					
10000-10049-Local Assistance Account	$ -	$ 0.043	$ 3,680.847	$ 3,680.804	$ -
10050-10099-State Operations Account	6,312.724	2,440.457	423.541	(3,870.724)	4,458.916
10100-10149-Tax Stabilization Reserve	-	-	-	-	-
10150-10199-Contingency Reserve	-	-	-	-	-
10200-10249-Universal Pre-K Reserve	-	-	-	-	-
10250-10299-Community Projects	50.312	-	0.783	-	49.529
10300-10349-Rainy Day Reserve Fund	-	-	-	-	-
10400-10449-Refund Reserve Account	-	-	-	-	-
10500-10549-Fringe Benefits Escrow	-	466.384	466.384	-	-
10550-10599-Tobacco Revenue Guarantee	-	-	-	-	-
TOTAL GENERAL FUND	**6,363.036**	**2,906.884**	**4,571.555**	**(189.920)**	**4,508.445**
SPECIAL REVENUE FUNDS-STATE					
20000-20099-Mental Health Gifts and Donations	2.333	0.004	0.004	-	2.333
20100-20299-Combined Expendable Trust	61.444	0.618	0.987	-	61.075
20300-20349-New York Interest on Lawyer Account	36.148	1.965	0.659	-	37.454
20350-20399-NYS Archives Partnership Trust	0.100	-	0.066	-	0.034
20400-20449-Child Performer's Protection	0.258	0.013	0.061	(0.080)	0.130
20450-20499-Tuition Reimbursement	7.155	0.159	0.527	-	6.787
20500-20549-New York State Local Government Records Management Improvement	4.442	0.906	0.544	-	4.804
20550-20599-School Tax Relief	4.256	11.600	10.883	-	4.973
20600-20649-Charter Schools Stimulus	5.636	0.003	-	-	5.639
20650-20699-Not-For-Profit Short Term Revolving Loan	-	-	-	-	-
20800-20849-HCRA Resources	188.813	469.499	535.259	(0.237)	122.816
20850-20899-Dedicated Mass Transportation Trust	71.523	51.116	58.652	-	63.987
20900-20949-State Lottery	(551.933)	314.591	158.137	-	(395.479)
20950-20999-Combined Student Loan	9.358	1.256	0.023	-	10.591
21000-21049-Sewage Treatment Program Mgmt. & Administration	(3.938)	-	0.048	-	(3.986)
21050-21149-Encon Special Revenue	(6.747)	4.944	6.730	-	(8.533)
21150-21199-Conservation	80.338	5.032	3.772	-	81.598
21200-21249-Environmental Protection and Oil Spill Compensation	41.602	3.941	1.410	(1.682)	42.451
21250-21299-Training and Education Program on OSHA	17.560	0.018	5.650	(0.922)	11.006
21300-21349-Lawyers' Fund for Client Protection	8.313	0.889	2.969	-	6.233
21350-21399-Equipment Loan for the Disabled	0.528	0.002	-	-	0.530
21400-21449-Mass Transportation Operating Assistance	0.922	129.123	326.954	(1.055)	(197.964)
21450-21499-Clean Air	(20.071)	3.039	2.563	-	(19.595)
21500-21549-New York State Infrastructure Trust	0.068	-	-	-	0.068
21550-21599-Legislative Computer Services	10.769	0.124	0.050	-	10.843
21600-21649-Biodiversity Stewardship and Research	-	-	-	-	-
21650-21699-Combined Non-Expendable Trust	0.459	0.001	-	-	0.460
21700-21749-Winter Sports Education Trust	-	-	-	-	-
21750-21799-Musical Instrument Revolving	0.001	-	-	-	0.001
21850-21899-Arts Capital Revolving	0.906	0.002	-	-	0.908
21900-22499-Miscellaneous State Special Revenue	1,949.556	181.803	962.828	628.968	1,797.499

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2017-2018
FOR THE MONTH OF NOVEMBER 2017
(Amounts in millions)

SCHEDULE 1

	BALANCE NOVEMBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2017
SPECIAL REVENUE FUNDS-STATE (CONTINUED)					
22500-22549-Court Facilities Incentive Aid	13.011	0.014	4.964	-	8.061
22550-22599-Employment Training	0.050	-	-	-	0.050
22650-22699-State University Income	1,575.057	339.621	657.920	219.990	1,476.748
22700-22749-Chemical Dependence Service	42.726	2.894	1.053	-	44.567
22750-22799-Lake George Park Trust	0.213	-	0.116	-	0.097
22800-22849-State Police Motor Vehicle Law Enforcement and Motor Vehicle Theft and Insurance Fraud Prevention	91.694	15.235	0.309	-	106.620
22850-22899-New York Great Lakes Protection	0.580	0.001	0.011	-	0.570
22900-22949-Federal Revenue Maximization	0.023	-	-	-	0.023
22950-22999-Housing Development	9.079	0.012	-	-	9.091
23000-23049-NYS/DOT Highway Safety Program	(10.022)	0.005	0.388	-	(10.405)
23050-23099-Vocational Rehabilitation	0.024	0.002	0.003	-	0.023
23100-23149-Drinking Water Program Management and Administration	(5.351)	-	-	-	(5.351)
23150-23199-NYC County Clerks' Operations Offset	(42.642)	-	3.079	-	(45.721)
23200-23249-Judiciary Data Processing Offset	18.370	4.740	3.341	-	19.769
23250-23449-IFR/CUTRA	170.215	6.344	6.211	-	170.348
23500-23549-USOC Lake Placid Training	0.167	0.002	-	-	0.169
23550-23599-Indigent Legal Services	254.942	12.091	2.448	-	264.585
23600-23649-Unemployment Insurance Interest and Penalty	30.202	1.273	0.625	(0.071)	30.779
23650-23699-MTA Financial Assistance Fund	183.959	110.527	175.000	51.050	170.536
23700-23749-New York State Commercial Gaming Fund	34.574	10.030	0.253	-	44.351
23750-23799-Medical Marihuana Trust Fund	8.315	0.178	0.932	-	7.561
23800-23899-Dedicated Miscellaneous State Special Revenue	3.505	0.209	0.028	-	3.686
24950-24999-Interactive Fantasy Sports	5.374	0.656	-	-	6.030
40350-40399-State University Dormitory Income	132.775	63.802	-	(29.156)	167.421
TOTAL SPECIAL REVENUE FUNDS-STATE	**4,436.639**	**1,748.284**	**2,935.457**	**866.805**	**4,116.271**
SPECIAL REVENUE FUNDS-FEDERAL					
25000-25099-Federal USDA/Food and Consumer Services	17.982	131.617	144.829	(0.083)	4.687
25100-25199-Federal Health and Human Services	(153.323)	4,323.279	4,108.586	(167.873)	(106.503)
25200-25249-Federal Education	(27.941)	245.624	234.586	(0.002)	(16.905)
25300-25899-Federal Miscellaneous Operating Grants	(351.911)	323.519	205.747	(0.001)	(234.140)
25900-25949-Unemployment Insurance Administration	131.945	53.647	44.069	(16.375)	125.148
25950-25999-Unemployment Insurance Occupational Training	(0.366)	0.513	0.682	-	(0.535)
26000-26049-Federal Employment and Training Grants	(4.248)	17.136	12.943	(0.907)	(0.962)
TOTAL SPECIAL REVENUE FUNDS-FEDERAL	**(387.862)**	**5,095.335**	**4,751.442**	**(185.241)**	**(229.210)**
TOTAL SPECIAL REVENUE FUNDS	**4,048.777**	**6,843.619**	**7,686.899**	**681.564**	**3,887.061**
DEBT SERVICE FUNDS					
40000-40049-Debt Reduction Reserve	-	-	-	-	-
40100-40149-Mental Health Services	119.481	19.819	0.024	96.262	235.538
40150-40199-General Debt Service	609.408	873.183	68.449	(589.194)	824.948
40250-40299-State Housing Debt Service	-	0.056	-	(0.056)	-
40300-40349-Department of Health Income	43.169	13.727	14.203	(5.606)	37.087
40400-40449-Clean Water/Clean Air	13.311	85.022	-	(79.974)	18.359
40450-40499-Local Government Assistance Tax	2.044	275.318	0.321	(274.352)	2.689
TOTAL DEBT SERVICE FUNDS	**787.413**	**1,267.125**	**82.997**	**(852.920)**	**1,118.621**

STATE OF NEW YORK
GOVERNMENTAL FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2017-2018
FOR THE MONTH OF NOVEMBER 2017
(Amounts in millions)

SCHEDULE 1

	BALANCE NOVEMBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2017
CAPITAL PROJECTS FUNDS					
30000-30049-State Capital Projects	-	26.206	306.661	280.455	-
30050-30099-Dedicated Highway and Bridge Trust	(209.501)	173.094	169.865	(20.927)	(227.199)
30100-30299-SUNY Residence Halls Rehabilitation and Repair	143.862	0.138	2.117	8.329	150.212
30300-30349-New York State Canal System Development	7.352	0.007	-	-	7.359
30350-30399-Parks Infrastructure	(45.166)	-	10.512	-	(55.678)
30400-30449-Passenger Facility Charge	0.014	-	-	-	0.014
30450-30499-Environmental Protection	166.067	12.801	15.472	-	163.396
30500-30549-Clean Water/Clean Air Implementation	-	-	-	-	-
30600-30609-Energy Conservation Thru Improved Transportation Bonc	0.164	-	-	-	0.164
30610-30619-Park and Recreation Land Acquisition Bond	-	-	-	-	-
30620-30629-Pure Waters Bond	0.668	-	-	-	0.668
30630-30639-Transportation Capital Facilities Bond	3.328	-	-	-	3.328
30640-30649-Environmental Quality Protection Bond	1.451	-	-	-	1.451
30650-30659-Rebuild and Renew New York Transportation Bond	19.938	-	-	-	19.938
30660-30669-Transportation Infrastructure Renewal Bond	4.255	-	-	-	4.255
30670-30679-1986 Environmental Quality Bond Act	5.552	-	-	-	5.552
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 Development Bond	-	-	-	-	-
30900-30949-Rail Preservation and Development Bond	-	-	-	-	-
31350-31449-Federal Capital Projects	(537.394)	270.431	140.036	-	(406.999)
31450-31499-Forest Preserve Expansion	0.912	0.001	-	-	0.913
31500-31549-Hazardous Waste Remedial	(102.854)	1.482	12.665	(0.466)	(114.503)
31650-31699-Suburban Transportation	0.513	-	-	-	0.513
31700-31749-Division for Youth Facilities Improvement	(28.157)	-	1.741	-	(29.898)
31800-31849-Housing Assistance	(13.631)	-	-	-	(13.631)
31850-31899-Housing Program	(171.068)	-	60.830	-	(231.898)
31900-31949-Natural Resource Damage	18.363	0.021	0.036	-	18.348
31950-31999-DOT Engineering Services	(12.479)	-	-	-	(12.479)
32200-32249-Miscellaneous Capital Projects	53.958	0.695	8.888	4.181	49.946
32250-32299-CUNY Capital Projects	(0.025)	-	-	-	(0.025)
32300-32349-Mental Hygiene Facilities Capital Improvement	(550.115)	3.544	15.870	-	(562.441)
32350-32399-Correction Facilities Capital Improvement	(340.647)	-	32.588	-	(373.235)
32400-32999-State University Capital Projects	190.885	0.151	9.636	(17.987)	163.413
33000-33049-NYS Storm Recovery Fund	(62.556)	-	2.530	-	(65.086)
33050-33099 Dedicated Infrastructure Investment Fund	126.491	-	45.155	90.000	171.336
TOTAL CAPITAL PROJECTS FUNDS	**(1,325.614)**	**488.571**	**834.602**	**343.585**	**(1,328.060)**
TOTAL GOVERNMENTAL FUNDS	**$ 9,873.612**	**$ 11,506.199**	**$ 13,176.053**	**$ (17.691)**	**$ 8,186.067**

STATE OF NEW YORK
PROPRIETARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND
CHANGES IN FUND BALANCES
FISCAL YEAR 2017-2018
FOR THE MONTH OF NOVEMBER 2017
(Amounts in millions)

SCHEDULE 2

FUND TYPE	BALANCE NOVEMBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2017
ENTERPRISE FUNDS					
50000-50049-Youth Commissary	$ 0.125	$ 0.002	$ 0.003	$ -	$ 0.124
50050-50099-State Exposition Special	2.036	0.522	(0.034)	-	2.592
50100-50299-Correctional Services Commissary	2.872	2.797	2.879	-	2.790
50300-50399-Agencies Enterprise	2.625	0.811	0.357	-	3.079
50400-50449-Sheltered Workshop	2.191	0.024	0.040	-	2.175
50450-50499-Patient Workshop	1.855	0.001	0.123	-	1.733
50500-50599-Mental Hygiene Community Stores	4.205	0.097	0.102	-	4.200
50650-50699-Unemployment Insurance Benefit	8.002	157.930	158.265	-	7.667
TOTAL ENTERPRISE FUNDS	**23.911**	**162.184**	**161.735**	**-**	**24.360**
INTERNAL SERVICE FUNDS					
55000-55049-Centralized Services	(63.818)	30.018	41.496	1.068	(74.228)
55050-55099-Agency Internal Service	(139.039)	6.203	12.343	12.683	(132.496)
55100-55149-Mental Hygiene Revolving	0.095	0.084	0.134	-	0.045
55150-55199-Youth Vocational Education	0.064	0.002	0.001	-	0.065
55200-55249-Joint Labor and Management Administration	1.074	0.001	0.046	-	1.029
55250-55299-Audit and Control Revolving	(29.358)	-	2.683	-	(32.041)
55300-55349-Health Insurance Revolving	(14.514)	2.221	2.402	(0.122)	(14.817)
55350-55399-Correctional Industries Revolving	(28.756)	4.025	4.669	(0.097)	(29.497)
TOTAL INTERNAL SERVICE FUNDS	**(274.252)**	**42.554**	**63.774**	**13.532**	**(281.940)**
TOTAL PROPRIETARY FUNDS	**$ (250.341)**	**$ 204.738**	**$ 225.509**	**$ 13.532**	**$ (257.580)**

STATE OF NEW YORK
FIDUCIARY FUNDS
SUMMARY OF CASH RECEIPTS, DISBURSEMENTS AND CHANGES IN FUND BALANCES
FISCAL YEAR 2017-2018
FOR THE MONTH OF NOVEMBER 2017
(Amounts in millions)

SCHEDULE 3

FUND TYPE	BALANCE NOVEMBER 1, 2017	RECEIPTS	DISBURSEMENTS	OTHER FINANCING SOURCES (USES)	BALANCE NOVEMBER 30, 2017
PENSION TRUST FUNDS					
65000-65049-Common Retirement Administration	$ (22.712)	$ 28.623	$ 5.528	$ -	$ 0.383
TOTAL PENSION TRUST FUNDS	**(22.712)**	**28.623**	**5.528**	**-**	**0.383**
PRIVATE PURPOSE TRUST FUNDS					
66000-66049-Agriculture Producers' Security	2.606	0.032	0.002	-	2.636
66050-66099-Milk Producers' Security	8.795	0.076	0.027	-	8.844
TOTAL PRIVATE PURPOSE TRUST FUNDS	**11.401**	**0.108**	**0.029**	**-**	**11.480**
AGENCY FUNDS					
60050-60149-School Capital Facilities Financing Reserve	22.157	0.327	3.817	-	18.667
60150-60199-Child Performer's Holding	0.486	0.010	0.004	-	0.492
60200-60249-Employees Health Insurance	702.946	943.764	811.296	-	835.414
60250-60299-Social Security Contribution	14.047	115.694	114.578	-	15.163
60300-60399-Employee Payroll Withholding	7.281	463.458	408.066	-	62.673
60400-60449-Employees Dental Insurance	18.282	5.912	5.449	-	18.745
60450-60499-Management Confidential Group Insurance	0.564	0.817	0.784	-	0.597
60500-60549-Lottery Prize	555.978	124.825	88.020	-	592.783
60550-60599-Health Insurance Reserve Receipts	0.137	-	-	-	0.137
60600-60799-Miscellaneous New York State Agency	1,253.690	125.787	162.048	4.158	1,221.587
60800-60849-Elderly Pharmaceutical Insurance Coverage (EPIC) Escrow	23.757	9.789	4.575	-	28.971
60850-60899-CUNY Senior College Operating	12.437	238.011	231.707	-	18.741
60900-60949-Medicaid Management Information System (MMIS) Escrow	343.649	6,316.232	6,187.959	-	471.922
60950-60999-Special Education	-	-	-	-	-
61000-61099-State University of New York Revenue Collection	137.652	(27.615)	-	-	110.037
61100-61999-State University Federal Direct Lending Program	(1.374)	22.391	22.706	-	(1.689)
62000-62049-SSI SSP Payment Escrow	-	-	-	-	-
TOTAL AGENCY FUNDS	**3,091.689**	**8,339.402**	**8,041.009**	**4.158**	**3,394.240**
TOTAL FIDUCIARY FUNDS	**$ 3,080.378**	**$ 8,368.133**	**$ 8,046.566**	**$ 4.158**	**$ 3,406.103**

STATE OF NEW YORK
SOLE CUSTODY AND INVESTMENT ACCOUNTS
STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS
FISCAL YEAR 2017-2018
FOR THE MONTH OF NOVEMBER 2017
(Amounts in millions)

SCHEDULE 4

FUND TYPE	BALANCE NOVEMBER 1, 2017	RECEIPTS	DISBURSEMENTS	BALANCE NOVEMBER 30, 2017
ACCOUNTS				
70000-70049-Tobacco Settlement	$ 2.746	$ 0.003	$ -	$ 2.749
70050-70149-Sole Custody Investment (*)	2,128.972	7,716.090	7,612.845	2,232.217
70200-Comptroller's Refund	-	188.608	188.608	-
TOTAL ACCOUNTS	**$ 2,131.718**	**$ 7,904.701**	**$ 7,801.453**	**$ 2,234.966**

(*) Includes Public Asset Fund resources

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, 2017, $9,083,378.37 (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).

STATE OF NEW YORK
DEBT SERVICE FUNDS
STATEMENT OF DIRECT STATE DEBT ACTIVITY
FISCAL YEAR 2017-2018

SCHEDULE 5

PURPOSE	DEBT OUTSTANDING APR. 1, 2017	DEBT ISSUED		DEBT MATURED		DEBT OUTSTANDING NOVEMBER 30, 2017	INTEREST DISBURSED	
		MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2017	MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2017		MONTH OF NOVEMBER	8 MONTHS ENDED NOVEMBER 30, 2017
GENERAL OBLIGATION BONDED DEBT:								
Accelerated Capacity and Transportation Improvements	$ 62,739,963.00	$ -	$ -	$ -	$ 25,836,799.53	$ 36,903,163.47	$ -	$ 1,902,141.10
Clean Water/Clean Air:								
Air Quality	1,815,678.01	-	-	-	147,455.24	1,668,222.77	-	45,814.01
Safe Drinking Water	-	-	-	-	-	-	-	-
Clean Water	374,031,345.51	-	-	-	9,587,060.42	364,444,285.09	69,329.48	9,284,260.88
Solid Waste	31,471,106.94	-	-	-	1,629,409.54	29,841,697.40	26,103.59	667,499.05
Environmental Restoration	67,095,926.60	-	-	-	150,000.00	66,945,926.60	3,640.59	1,411,027.00
Energy Conservation Through Improved Transportation:								
Rapid Transit and Rail Freight	1,847,350.21	-	-	-	229,317.70	1,618,032.51	-	72,486.25
Environmental Quality (1972):								
Air	332,071.89	-	-	-	160,000.00	172,071.89	-	12,224.81
Land and Wetlands	3,713,411.44	-	-	-	146,339.85	3,567,071.59	-	102,353.99
Water	21,539,219.61	-	-	-	5,698,859.88	15,840,359.73	-	545,497.87
Environmental Quality (1986):								
Land Acquisition/Development/Restoration/Forests	11,764,623.38	-	-	-	1,733,712.34	10,030,911.04	5,280.71	297,540.26
Solid Waste Management	141,551,354.46	-	-	-	6,337,481.63	135,213,872.83	18,585.45	4,311,224.86
Housing:								
Low Income	13,240,000.00	-	-	-	2,880,000.00	10,360,000.00	-	382,800.00
Middle Income	10,520,000.00	-	-	-	2,110,000.00	8,410,000.00	-	186,238.75
Park and Recreation Land Acquisition	3,238.00	-	-	-	-	3,238.00	-	64.76
Pure Waters	25,549,130.92	-	-	-	4,014,024.54	21,535,106.38	-	719,341.48
Rail Preservation Development	-	-	-	-	-	-	-	-
Rebuild and Renew New York Transportation:								
Highway Facilities	746,780,633.12	-	-	-	-	746,780,633.12	-	16,755,538.01
Canals and Waterways	12,439,751.76	-	-	-	-	12,439,751.76	-	295,577.65
Aviation	45,968,154.45	-	-	-	-	45,968,154.45	-	991,435.12
Rail and Port	76,394,073.31	-	-	-	-	76,394,073.31	-	1,742,970.83
Mass Transit - Dept. of Transportation	4,454,664.26	-	-	-	-	4,454,664.26	-	102,567.66
Mass Transit - Metropolitan Transportation Authority	799,411,214.87	-	-	-	-	799,411,214.87	-	17,671,557.87
Rebuild New York-Transportation Infrastructure Renewal:								
Highways, Parkways, and Bridges	1,089,490.04	-	-	-	-	1,089,490.04	-	26,396.32
Rapid Transit, Rail and Aviation	4,471,947.27	-	-	-	781,006.41	3,690,940.86	-	175,013.83
Smart Schools Bond Act	-	-	-	-	-	-	-	-
Transportation Capital Facilities:								
Aviation	4,390,650.41	-	-	-	628,532.92	3,762,117.49	-	151,430.65
Mass Transportation	-	-	-	-	-	-	-	-
Total General Obligation Bonded Debt	**$ 2,462,614,999.46**	**$ -**	**$ -**	**$ -**	**$ 62,070,000.00**	**$ 2,400,544,999.46**	**$ 122,939.82**	**$ 57,853,003.01**

STATE OF NEW YORK
DEBT SERVICE FUNDS
FINANCING AGREEMENTS
FOR THE EIGHT MONTHS ENDED NOVEMBER 30, 2017

SCHEDULE 5a

Special Contractual Financing Obligations:	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 8 MONTHS ENDED NOVEMBER 30 2017	2016	$ INCREASE/ (DECREASE)
Payments to Public Authorities:										
City University Construction	$ -	$ 154,075,794	$ -	$ -	$ -	$ -	$ -	$ 154,075,794	$ 161,359,567	$ (7,283,773)
Dormitory Authority:										
Consolidated Service Contract Refunding	-	73,976,300	-	-	-	-	-	73,976,300	-	73,976,300
DASNY Revenue Bond	-	-	-	-	-	397,783,572	122,929,197	520,712,769	469,999,923	50,712,846
Department of Health Facilities	-	-	26,545,203	-	-	-	-	26,545,203	25,572,497	972,706
Mental Health Facilities	-	-	-	-	64,039,218	-	-	64,039,218	69,156,250	(5,117,032)
Secured Hospital Program	-	-	-	-	-	-	-	-	1,616,683	(1,616,683)
SUNY Community Colleges	-	2,904,962	-	-	-	-	-	2,904,962	-	2,904,962
SUNY Educational Facilities	-	-	-	-	-	-	-	-	-	-
Environmental Facilities Corporation	-	-	-	-	-	2,303,044	-	2,303,044	7,949,487	(5,646,443)
Housing Finance Agency	-	26,212,325	-	-	-	7,126,211	-	33,338,536	29,301,510	4,037,026
Local Government Assistance Corporation	-	-	-	50,319,233	-	-	-	50,319,233	38,739,853	11,579,380
Metropolitan Transportation Authority:										
Transit and Commuter Rail Projects	-	42,043,163	-	-	-	-	-	42,043,163	42,043,433	(270)
Thruway Authority:										
Dedicated Highway and Bridge	-	199,071,079	-	-	-	-	-	199,071,079	189,499,659	9,571,420
Local Highway and Bridge	-	53,845,175	-	-	-	-	-	53,845,175	64,908,450	(11,063,275)
Transportation	-	-	-	-	-	33,752,675	-	33,752,675	46,208,075	(12,455,400)
Urban Development Corporation:										
Clarkson University	-	-	-	-	-	-	-	-	-	-
Columbia Univer. Telecommunications Center	-	-	-	-	-	-	-	-	-	-
Consolidated Service Contract Refunding	-	1,695,175	-	-	-	-	-	1,695,175	-	1,695,175
Cornell Univer. Supercomputer Center	-	-	-	-	-	-	-	-	-	-
Correctional Facilities	-	1,578,900	-	-	-	-	-	1,578,900	-	1,578,900
Debt Reduction Reserve	-	-	-	-	-	-	-	-	-	-
Syracuse University Science and Technology Center	-	-	-	-	-	-	-	-	-	-
UDC Revenue Bond	-	-	-	-	-	283,606,001	-	283,606,001	271,586,217	12,019,784
University Facilities Grant 95 Refunding	-	-	-	-	-	-	-	-	-	-
Total Disbursements for Special Contractual Financing Obligations	**$ -**	**$ 555,402,873**	**$ 26,545,203**	**$ 50,319,233**	**$ 64,039,218**	**$ 724,571,503**	**$ 122,929,197**	**$ 1,543,807,227**	**$ 1,417,941,604**	**$ 125,865,623**

STATE OF NEW YORK **SCHEDULE 6**
SUMMARY OF THE OPERATING FUND INVESTMENTS
FOR THE MONTH OF NOVEMBER 2017
AS REQUIRED OF THE STATE COMPTROLLER
(Amounts in millions)

	NOVEMBER 2017	FISCAL YEAR TO DATE	PRIOR FISCAL YEAR TO DATE NOVEMBER 2016
SHORT TERM INVESTMENT POOL (*)			
AVERAGE DAILY INVESTMENT BALANCE (**)	$ 12,881.9	$ 11,147.8	$ 13,245.6
AVERAGE YIELD (**)	1.241%	1.146%	0.495%
TOTAL INVESTMENT EARNINGS	$ 11.746	$ 83.509	$ 41.404

Month-End Portfolio Balances

DESCRIPTION	NOVEMBER 2017 PAR AMOUNT	NOVEMBER 2016 PAR AMOUNT
GOVT. AGENCY BILLS/NOTES	$ -	$ -
REPURCHASE AGREEMENTS	21.8	32.3
COMMERCIAL PAPER	9,135.4	10,065.3
CERTIFICATES OF DEPOSIT/SAVINGS	3,154.4	1,837.6
0% COMPENSATING BALANCE CDs	1,480.0	5,090.0
	$ 13,791.6	**$ 17,025.2**

(*) 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 2017-2018

APPENDIX A

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30, 2017
OPENING CASH BALANCE	$ 11,905,507	$ 111,014,558	$ 57,395,772	$ 157,404,396	$ 190,349,200	$ 139,926,319	$ 124,005,879	$ 188,812,552					$ 11,905,507
RECEIPTS:													
Cigarette Tax	64,087,125	76,504,194	74,773,288	71,476,601	83,555,794	70,127,435	74,924,658	68,201,419					583,650,514
State Share of NYC Cigarette Tax	2,421,000	2,432,000	3,097,000	2,871,000	3,288,000	2,592,000	2,263,000	3,300,000					22,264,000
STIP Interest	141,791	156,153	241,049	269,270	279,692	421,154	257,781	293,416					2,060,306
Public Asset Transfers	-	-	-	-	-	-	-	-					-
Assessments	389,230,236	389,467,699	384,757,532	462,750,154	431,211,662	402,896,272	422,921,389	392,765,123					3,276,000,067
Fees	684,635	866,000	2,382,000	415,000	111,499	890,001	410,999	53,240					5,813,374
Rebates	4,162,737	1,621,391	7,601,278	7,136,552	5,367,985	160,687	9,993,452	4,881,807					40,925,889
Restitution and Settlements	-	16,777	-	(2,150)	-	-	-	-					14,627
Miscellaneous	-	55	-	30	-	(83,668)	-	4,417					(79,166)
Total Receipts	**460,727,524**	**471,064,269**	**472,852,147**	**544,916,457**	**523,814,632**	**477,003,881**	**510,771,279**	**469,499,422**	**-**	**-**	**-**	**-**	**3,930,649,611**
DISBURSEMENTS:													
Grants	360,903,249	505,202,281	369,248,231	510,303,626	564,835,841	481,412,502	441,195,241	531,729,522					3,764,830,493
Interest - Late Payments	359	534	15	40	458	4	136	43					1,589
Personal Service	(203,232)	946,322	925,549	1,009,655	276,616	541,042	1,149,161	684,244					5,329,357
Non-Personal Service	625,977	1,992,212	1,230,145	45,004	3,891,340	461,636	2,705,643	2,571,981					13,523,938
Employee Benefits/Indirect Costs	-	756,263	786,414	98,408	529,181	308,570	493,779	273,280					3,245,895
Total Disbursements	**361,326,353**	**508,897,612**	**372,190,354**	**511,456,733**	**569,533,436**	**482,723,754**	**445,543,960**	**535,259,070**	**-**	**-**	**-**	**-**	**3,786,931,272**
OPERATING TRANSFERS:													
Transfers to Capital Projects Fund	-	-	-	-	-	-	-	-					-
Transfers to General Fund	-	-	21,041	-	-	-	-	1,247					22,288
Transfers to Revenue Bond Tax Fund	-	-	-	-	3,582,200	5,830,080	-	-					9,412,280
Transfers to Miscellaneous Special Revenue Fund:													
Administration Program Account	-	-	140,000	-	-	-	121,600	-					261,600
Empire State Stem Cell Trust Account	-	15,148,000	-	-	-	3,750,000	-	-					18,898,000
Transfers to SUNY Income Fund	292,120	637,443	492,128	514,920	1,121,877	620,487	299,046	235,217					4,213,238
Total Operating Transfers	**292,120**	**15,785,443**	**653,169**	**514,920**	**4,704,077**	**10,200,567**	**420,646**	**236,464**	**-**	**-**	**-**	**-**	**32,807,406**
Total Disbursements and Transfers	**361,618,473**	**524,683,055**	**372,843,523**	**511,971,653**	**574,237,513**	**492,924,321**	**445,964,606**	**535,495,534**	**-**	**-**	**-**	**-**	**3,819,738,678**
CLOSING CASH BALANCE	**$ 111,014,558**	**$ 57,395,772**	**$ 157,404,396**	**$ 190,349,200**	**$ 139,926,319**	**$ 124,005,879**	**$ 188,812,552**	**$ 122,816,440**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 122,816,440**

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2017-18

Program/Purpose	Appropriation Amount (*)	April - June	July - September	October	November
CENTER FOR COMMUNITY HEALTH PROGRAM	**$ 8,053,000**				
ADEPHI UNIVRST CANC SPRT PRG		$ -	$ -	$ -	$ -
BRST CANCER HOTLINE - ADELPHI		-	-	-	-
CENTER FOR COMMUNITY HLTH		810,378	725,553	189,943	451,438
EVIDENCE BASED CANCER SVC		-	-	-	-
FAMILY PLANNING		-	-	-	-
HYPERTENSION PREVENTION TREATMENT		-	-	-	-
INDIAN HEALTH PROGRAM		-	-	-	-
LEAD POISONING PREVENTION		-	-	-	-
MATERNITY AND EARLY CHHOOD FOUNDATION		-	-	-	-
NUTRITION SERVICES/EDUC - PREG WOMEN, CHILDREN		-	-	-	-
PRENATAL CARE ASSISTANCE PROGRAM		-	-	-	-
PUBLIC HEALTH CAMPAIGN		-	-	-	-
RAPE CRISIS		-	-	-	-
SCHOOL BASED HEALTH PROGRAM		-	-	-	-
STATE AID PHYSICALLY HANICAPPED CHILDREN REHAB		-	-	-	-
TOBACCO ENFORCEMENT		-	-	-	-
TUBERCULOSIS		-	-	-	-
CHILD HEALTH INSURANCE PROGRAM	**983,547,000**				
CHILD HEALTH INSURANCE		59,307,785	60,600,642	19,137,512	19,288,701
COMMUNITY SUPPORT PROGRAM	**120,000**				
COMMUNITY SUPPORT		-	30,000	-	-
ELDERLY PHARMACEUTICAL INS COVERAGE PRG	**290,310,000**				
ELDERLY PHARMACEUTICAL INSURANCE COVERAGE		26,479,923	39,647,117	12,065,351	14,251,212
HEALTH CARE REFORM ACT PROGRAM	**1,976,482,814**				
AIDS DRUG ASSISTANCE		-	20,000,000	-	-
AMBULATORY CARE TRAINING		2,555	212,100	-	-
AREA HEALTH EDUCATION CENTER		631,028	989,373	-	-
COMMISSIONER EMERGENCY DISTRIBUTIONS		-	-	-	-
DIAGNOSTIC AND TREATMENT CTR UNCOMPENSATED CARE		-	-	-	27,200,000
DIVERSITY IN MEDICINE		276,449	218,094	-	503,135
EMPIRE CLINIC RESEARCH INVESTMENT (ECRIP)		-	-	-	6,090,000
HCRA PAYOR/PROVIDER AUDITS		205,100	-	195,122	-
HEALTH FACILITY RESTRUCTURING DASNY		19,600,000	-	-	-
HEALTH WORKFORCE RETRAINING		482,070	702,624	159,659	1,598,682
INFERTILITY SERVICES GRANTS		397,218	102,854	181,090	304,028
MEDICAL INDEMNITY FUND		52,000,000	-	-	-
PART 405.4 HOSPITAL AUDITS		-	-	-	-
PART 405.4 HOSPITAL AUDITS NYCRR		251,903	62,976	157,440	283,391
PAY FOR PERFORMANCE		-	-	-	-
PHYSICIAN EXCESS MEDICAL MALPRACTICE		-	122,400,000	-	-
PHYSICIAN LOAN REPAYMENT		426,586	1,947,697	484,952	126,027
PHYSICIAN LOAN REPAYMENT AND PRACTICE SUPPORT		-	373,961	46,216	-
PHYSICIAN PRACTICE SUPPORT		527,726	2,700,836	250,000	50,000
PHYSICIAN WORKFORCE STUDIES		3,119	371,676	-	35,594
POISON CONTROL CENTERS		(1,088,626)	-	-	-
POOL ADMINISTRATION		-	-	1,797,852	195,625
ROSWELL PARK CANCER INSTITUTE		16,646,500	16,646,500	16,646,500	-

STATE OF NEW YORK
HCRA RESOURCES FUND
STATEMENT OF PROGRAM DISBURSEMENTS
FISCAL YEAR 2017-18

Program/Purpose	Appropriation Amount (*)	April - June	July - September	October	November
RPCI CANC RSRCH OPERATING COSTS		-	-	-	-
RURAL HEALTH CARE ACCESS		831,837	2,078,062	458,265	688,570
RURAL HEALTH NETWORK		1,465,076	1,197,017	309,088	716,365
SCHOOL BASED HEALTH CENTERS		-	-	-	-
SCHOOL BASED HEALTH CLINICS-POOL ADMN		-	-	-	-
TOBACCO USE PREVENTION/CONTROL		-	-	-	-
TRANSITION ACCT - PRIOR YEAR ALLOCATION		-	-	-	-
MEDICAL ASSISTANCE PROGRAM	**27,802,837,000**				
BREAST AND CERVICAL CANCER		-	-	-	-
DISABLED PERSONS		-	-	-	-
FAMILY HEALTH PLUS		-	-	-	-
FINANCIAL ASSISTANCE		-	-	-	-
HOME HEALTH RATE INCREASE		-	-	-	-
INPATIENT NURSING HOME PHARMACIES		-	-	-	-
MEDICAID INDIGENT CARE		184,685,496	296,292,019	37,826,545	89,787,553
MEDICAL ASSISTANCE		875,081,000	993,241,000	353,394,000	372,642,000
NYC MEDICAID		-	-	-	-
PHYSICIAN SERVICES		-	-	-	-
PRIMARY CARE CASE MANAGEMENT		-	-	-	-
PSNL CRE WRKR RECR & RETEN NYC (***)		-	-	-	-
PSNL CRE WRKR RECR & RETEN ROS (****)		-	-	-	-
SUPPLEMENTAL MEDICAL INSURANCE		-	-	-	-
OFFICE OF HEALTH INSURANCE PROGRAM	**3,834,000**				
OFFICE OF HEALTH INSURANCE		73,103	-	-	-
OFFICE OF HEALTH SYSTEMS MANAGEMENT	**58,343,000**				
OFFICE HEALTH SYSTEMS MANAGEMENT		4,368,816	4,931,892	1,948,507	1,281,248
OFFICE OF LONG TERM CARE	**2,477,800**				
ADULT HOME INITIATIVE		-	-	-	-
ENABLE AIR CONDITIONING		-	-	-	-
ENABLE QUALITY OF LIFE		-	-	-	-
QUALITY PROG ADULT CARE FACILITIES		-	-	-	-
REVENUE, PROCESSING & RECONCILIATION	**8,190,000**				
REVENUE, PROCESSING & RECONCILIATION		370,824	499,444	596,780	-
TOTAL	**31,134,194,614**	**1,243,835,866**	**1,565,971,437**	**445,844,822**	**535,493,569**
Reclass of SUNY Hospital Disprop Share to Transfer		(1,421,691)	(2,257,283)	(299,047)	(235,217)
Reconciling Adjustment (P-Card and T-Card)		144	(231)	(1,815)	718
TOTAL APPROPRIATED AMOUNT	**$ 31,134,194,614**	**$ 1,242,414,319**	**$ 1,563,713,923**	**$ 445,543,960**	**$ 535,259,070**

(*) Includes amounts appropriated in SFY 2017-18, 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.

APPENDIX C

STATE OF NEW YORK
STATEMENT OF CASH FLOW - PUBLIC GOODS POOL
FISCAL YEAR 2017-2018

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2017 OCTOBER	2017 NOVEMBER	2017-18
OPENING CASH BALANCE	**$ 321,003,359.63**	**$ 367,449,263.28**	**$ 190,810,610.76**	**$ 339,214,434.83**	**$ 321,003,359.63**
RECEIPTS:					
Patient Services	795,262,236.80	727,022,409.07	409,047,147.46	272,256,519.68	2,203,588,313.01
Covered Lives	276,359,323.53	228,410,765.93	139,769,760.54	83,436,072.66	727,975,922.66
Provider Assessments	30,238,811.64	23,167,304.51	13,550,672.37	9,256,589.56	76,213,378.08
1% Assessments	96,575,074.00	99,951,629.15	35,368,802.00	30,752,577.00	262,648,082.15
DASNY- MOE/Recast Receivables	-	-	-	-	-
Interest Income	85,204.82	106,043.51	46,006.48	29,265.96	266,520.77
Unassigned	3,954.00	30,113,997.24	(30,113,419.74)	24,250,378.13	24,254,909.63
Total Receipts	**1,198,524,604.79**	**1,108,772,149.41**	**567,668,969.11**	**419,981,402.99**	**3,294,947,126.30**
PROGRAM DISBURSEMENTS:					
Poison Control Centers	-	-	-	-	-
School Based Health Center Grants	-	-	-	-	-
ECRIP Distributions	-	-	-	-	-
Total Program Disbursements	**-**	**-**	**-**	**-**	**-**
Excess (Deficiency) of Receipts over Disbursements	**1,198,524,604.79**	**1,108,772,149.41**	**567,668,969.11**	**419,981,402.99**	**3,294,947,126.30**
OTHER FINANCING SOURCES (USES):					
Transfers From Other Pools:					
Medicaid Disproportionate Share	-	-	-	-	-
Health Facility Assessment Fund - Hospital Quality Contribution	11,370,463.00	11,445,834.74	3,654,022.00	4,088,582.00	30,558,901.74
Transfers From State Funds:					
HCRA Resources Fund	-	-	-	-	-
Total Other Financing Sources	**11,370,463.00**	**11,445,834.74**	**3,654,022.00**	**4,088,582.00**	**30,558,901.74**
Transfers To Other Pools:					
Medicaid Disproportionate Share	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers To State Funds:					
HCRA Resources Fund	(946,150,807.97)	(1,033,272,598.66)	(356,444,060.64)	(326,289,441.16)	(2,662,156,908.43)
Indigent Care Fund - Matched	(214,702,909.84)	(268,206,462.01)	(67,375,106.40)	(67,375,106.40)	(617,659,584.65)
Indigent Care Fund - Unmatched	(2,595,446.33)	4,622,424.00	900,000.00	900,000.00	3,826,977.67
Total Other Financing Uses	**(1,163,449,164.14)**	**(1,296,856,636.67)**	**(422,919,167.04)**	**(392,764,547.56)**	**(3,275,989,515.41)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**46,445,903.65**	**(176,638,652.52)**	**148,403,824.07**	**31,305,437.43**	**49,516,512.63**
CLOSING CASH BALANCE	**$ 367,449,263.28**	**$ 190,810,610.76**	**$ 339,214,434.83**	**$ 370,519,872.26**	**$ 370,519,872.26**

Source: HCRA - Office of Pool Administration

APPENDIX D

STATE OF NEW YORK
STATEMENT OF CASH FLOW - MEDICAID DISPROPORTIONATE SHARE
FISCAL YEAR 2017-2018

	1st Quarter APRIL - JUNE	2nd Quarter JULY - SEPTEMBER	2017 OCTOBER	2017 NOVEMBER	2017-18
OPENING CASH BALANCE	**$ 12,872,408.47**	**$ 426.75**	**$ 2,221.29**	**$ 66,653,666.53**	**$ 12,872,408.47**
RECEIPTS:					
Interest Income	4,703.90	3,245.73	575.98	3,254.61	11,780.22
Total Receipts	**4,703.90**	**3,245.73**	**575.98**	**3,254.61**	**11,780.22**
PROGRAM DISBURSEMENTS:					
Indigent Care	(218,578,479.58)	(253,513,970.51)	(4,500,000.00)	(133,128,196.95)	(609,720,647.04)
High Need Indigent Care	-	-	-	-	-
Other	1,253,689.14	-	-	688,520.97	1,942,210.11
Total Program Disbursements	**(217,324,790.44)**	**(253,513,970.51)**	**(4,500,000.00)**	**(132,439,675.98)**	**(607,778,436.93)**
Excess (Deficiency) of Receipts over Disbursements	**(217,320,086.54)**	**(253,510,724.78)**	**(4,499,424.02)**	**(132,436,421.37)**	**(607,766,656.71)**
OTHER FINANCING SOURCES (USES):					
Transfers From Other Pools:					
Public Goods Pool	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers From State Funds:					
HCRA Resources Indigent Care - Matched	107,351,454.93	134,103,231.01	33,326,545.28	33,687,553.20	308,468,784.42
HCRA Resources Indigent Care - Unmatched	3,875,569.74	(2,311,212.00)	4,500,000.00	(900,000.00)	5,164,357.74
HCRA Resources Indigent Care - ATB	-	-	-	-	-
Federal DHHS Fund	107,351,454.91	134,103,231.00	33,326,545.27	33,687,553.20	308,468,784.38
Other	-	-	-	-	-
Total Other Financing Sources	**218,578,479.58**	**265,895,250.01**	**71,153,090.55**	**66,475,106.40**	**622,101,926.54**
Transfers To Other Pools:					
Public Goods Pool	-	-	-	-	-
Health Facility Assessment Fund	-	-	-	-	-
Transfers To State Funds:					
HCRA Resources Fund Indigent Care Acct	(14,130,374.76)	(12,382,730.69)	(2,221.29)	(575.98)	(26,515,902.72)
Total Other Financing Uses	**(14,130,374.76)**	**(12,382,730.69)**	**(2,221.29)**	**(575.98)**	**(26,515,902.72)**
Excess (Deficiency) of Receipts and Other Financing Sources over Disbursements and Other Financing Uses	**(12,871,981.72)**	**1,794.54**	**66,651,445.24**	**(65,961,890.95)**	**(12,180,632.89)**
CLOSING CASH BALANCE	**$ 426.75**	**$ 2,221.29**	**$ 66,653,666.53**	**$ 691,775.58**	**$ 691,775.58**

Source: HCRA - Office of Pool Administration

STATE OF NEW YORK
SUMMARY OF OFF-BUDGET SPENDING REPORT
FISCAL YEAR 2017-2018
(Amounts in thousands)

APPENDIX E

	2017 APRIL	2017 MAY	2017 JUNE	2017 JULY	2017 AUGUST	2017 SEPTEMBER	2017 OCTOBER	2017 NOVEMBER	2017 DECEMBER	2018 JANUARY	2018 FEBRUARY	2018 MARCH	2017-2018 TOTAL
DORMITORY AUTHORITY:													
Education - All Other	$ -	$ -	$ -	$ -	$ -	$ -	$ 1						$ 1
Education - EXCEL	1,891	3,913	53	197	-	-	120						6,174
Department of Health - All Other	(1)	-	-	1	4	-	-						4
Community Enhancement Facilities Assistance Program (CEFAP)	-	-	-	-	-	388	30						418
Regional Development:													
Community Capital Assistance Program (CCAP)/RESTORE	61	470	949	340	700	468	2,539						5,527
Multi-modal	-	-	-	-	-	-	-						-
GenNYsis	-	-	-	-	-	-	-						-
CUNY Senior Colleges	16,538	30,372	25,883	13,661	35,743	11,261	51,316						184,774
CUNY Community Colleges	4,984	8,266	6,734	5,738	4,474	3,259	6,369						39,824
SUNY Dormitories	-	-	-	-	-	442	-						442
Upstate Community Colleges	526	11,310	6,108	3,342	7,448	2,923	7,340						38,997
Mental Health	3,862	18,208	10,662	9,111	17,678	2,156	15,604						77,281
Developmental Disabilities	1,063	1,187	1,251	759	1,042	421	755						6,478
Alcoholism and Substance Abuse	35	384	130	229	275	258	577						1,888
Brooklyn Court Officer Training Academy	161	2,554	659	1,323	1,036	-	1,945						7,678
TOTAL DORMITORY AUTHORITY	**29,120**	**76,664**	**52,429**	**34,701**	**68,400**	**21,576**	**86,596**	**-**	**-**	**-**	**-**	**-**	**369,486**
EMPIRE STATE DEVELOPMENT CORP:													
Regional Development:													
Centers of Excellence	-	-	-	-	-	-	-						-
Community Capital Assistance Program (CCAP)	-	150	1	-	-	-	-						151
Empire Opportunity	-	-	-	-	-	-	-						-
Community Enhancement Facilities Assistance Program (CEFAP)	500	-	-	-	-	-	-						500
State Facilities and Equipment	-	-	-	-	-	-	-						-
TOTAL EMPIRE STATE DEVELOPMENT CORP	**500**	**150**	**1**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**651**
TOTAL OFF-BUDGET	**$ 29,620**	**$ 76,814**	**$ 52,430**	**$ 34,701**	**$ 68,400**	**$ 21,576**	**$ 86,596**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 370,137**

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(*)

SFS Fund	ACCOUNT TITLE	August 31, 2017	September 30, 2017	October 31, 2017	Change	November 30, 2017	
	GENERAL FUND						
10050	STATE OPERATIONS AND LOCAL ASSISTANCE	$ -	$ -	$ -	$ -	-	(***)
	TOTAL GENERAL FUND	-	-	-	-	-	
	CAPITAL PROJECT AND BOND REIMBURSABLE FUNDS						
30051	HIGHWAY AND BRIDGE CAPITAL	90,971,313.47	346,497,257.37	250,965,598.15	14,697,525.57	265,663,123.72	
30053	AVIATION PURPOSE ACCOUNT	1,643,897.61	2,185,801.59	2,449,602.58	154,847.77	2,604,450.35	
30101	REHAB/REPAIR MARITIME	-	-	-	-	-	
30102	D21RVE- MARITIME	-	-	-	-	-	
30103	D36RVE- CENTRAL ADMIN	-	-	-	-	-	
30104	RESIDENCE HALL CAMPUS LET BOND PROCEEDS	-	-	-	-	-	
30105	REHAB/REPAIR ALBANY	-	-	-	-	-	
30106	D01RVE- ALBANY	-	-	-	-	-	
30107	REHAB/REPAIR BINGHAMTON	-	-	-	-	-	
30108	D07RVE- BINGHAMTON	-	-	-	-	-	
30109	REHAB/REPAIR BUFFALO UNIVERSITY	-	-	-	-	-	
30110	D28RVE- SUNY BUFFALO	-	-	-	-	-	
30111	REHAB/REPAIR STONYBROOK	-	-	-	-	-	
30112	D13RVE- STONYBROOK	-	-	-	-	-	
30113	REHAB/REPAIR BROOKLYN	-	-	-	-	-	
30114	D14RVE - HSC BROOKLYN	-	-	-	-	-	
30115	REHAB/REPAIR SYRACUSE	-	-	-	-	-	
30116	D15RVE- HSC SYRACUSE	-	-	-	-	-	
30117	REHAB/REPAIR BROCKPORT	-	-	-	-	-	
30118	D02RVE- BROCKPORT	-	-	-	-	-	
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	D29RVE- PURCHASE	-	-	-	-	-	
30141	REHAB/REPAIR FOR UTICA/ROME	722,161.85	722,676.17	-	-	-	
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	44,741,458.17	33,203,486.91	45,166,388.87	10,511,797.98	55,678,186.85	
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	110,139,265.92	117,175,022.40	130,196,785.87	11,480,549.93	141,677,335.80	
31701	YOUTH FACILITIES IMPROVEMENT	22,924,747.26	24,829,823.04	28,157,320.09	1,740,764.79	29,898,084.88	
31801	HOUSING ASSISTANCE	13,630,607.54	13,630,607.54	13,630,607.54	-	13,630,607.54	
31851	HOUSING PROG FD-HSG TR FD CORP	-	-	-	51,356,581.83	51,356,581.83	
31852	HOUSING PROG FD AFFORD HSG CORP	38,407,043.54	46,996,088.54	47,746,088.54	9,276,771.23	57,022,859.77	
31853	HOUSING PROG FD-DEPT OF SOCIAL SERVICES	123,810,546.17	123,810,546.17	123,810,546.17	-	123,810,546.17	

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	August 31, 2017	September 30, 2017	October 31, 2017	Change	November 30, 2017
31854	HOUSING PROG FD-HFA	-	-	-	-	-
31951	HIGHWAY FAC PURPOSE	12,533,355.11	12,533,355.11	12,479,389.37	-	12,479,389.37
32213	NY RACING ACCOUNT	153,750.00	153,750.00	153,750.00	-	153,750.00
32214	CAPITAL PROJECTS MISC GIFTS	-	-	-	-	-
32215	IT CAPITAL FINANCING ACCT	3,625,355.27	4,688,005.62	4,692,163.29	239,199.95	4,931,363.24
32301	OPWDD-STATE FACILITIES PRE 12/99	-	-	-	-	-
32302	DSAS-COMMUINTY FACILITIES	-	-	-	-	-
32303	OMH-COMMUNITY FACILITIES	175,983,594.59	181,682,298.86	180,956,459.16	(711,122.61)	180,245,336.55
32304	OPWDD-COMMUNITY FACILITIES	-	-	-	-	-
32305	OASAS-COMMUNITY FACILITIES	255,742,119.36	257,991,336.09	258,641,336.09	(4,561,631.67)	254,079,704.42
32306	DASNY - OMH ADMIN	19,122,565.71	19,122,565.71	19,122,565.71	-	19,122,565.71
32307	DASNY - OPWDD ADMIN	6,260,978.11	6,260,978.11	6,260,978.11	1,400,000.00	7,660,978.11
32308	DASNY - OASAS ADMIN	1,026,583.90	1,026,583.90	1,431,583.90	-	1,431,583.90
32309	OMH -STATE FACILITIES	81,297,610.03	93,586,135.14	100,752,020.10	16,130,877.73	116,882,897.83
32310	OPWDD -STATE FACILITIES	-	-	-	-	-
32311	OASAS -STATE FACILITIES	2,288,375.78	854,937.15	854,937.15	(371,074.86)	483,862.29
32351	CORR. FACILITIES CAPITAL IMPROVEMENT	-	-	-	-	-
32352	DOCS-REHABILITATION PROJECTS	293,648,953.19	326,774,400.64	348,444,654.55	32,588,733.00	381,033,387.55
33001	STORM RECOVERY ACCOUNT	65,001,667.46	67,139,598.18	62,835,709.50	2,250,013.56	65,085,723.06
	TOTAL CAPITAL AND BOND REIMBURSABLE FUNDS	**1,363,675,950.04**	**1,680,865,254.24**	**1,638,748,484.74**	**146,183,834.20**	**1,784,932,318.94**
	STATE SPECIAL REVENUE FUNDS					
20452	VOCATIONAL SCHOOL SUPERVISION	-	-	-	-	-
20501	LOCAL GOVERNMENT RECORDS MGMT	-	-	-	-	-
20810	CHILD HEALTH INSURANCE	-	19,563,783.08	38,701,295.02	(38,701,295.02)	-
20818	EPIC PREMIUM ACCOUNT	-	9,930,113.53	11,591,012.62	(11,591,012.62)	-
20901	LOTTERY-EDUCATION	-	1,345,977,086.17	1,206,586,358.19	(171,074,102.06)	1,035,512,256.13
20904	VLT EDUCATION	-	-	-	-	-
21001	ENVIR FAC CORP ADM ACCT	-	-	-	-	-
21002	ENCON ADMIN ACCT	3,817,731.39	3,849,649.33	3,938,392.41	47,167.71	3,985,560.12
21061	HAZARDOUS BULK STORAGE	-	-	-	-	-
21065	FEDERAL GRANTS INDIRECT COST RECOVERY ACCOUNT	264,982.92	931,283.40	1,663,431.27	1,012,464.60	2,675,895.87
21066	ENCON-LOW LEVEL RADIOACTIVE WASTE SITING	4,303,467.85	3,867,743.44	4,102,280.55	145,833.93	4,248,114.48
21067	ENCON-RECREATION	5,486,057.61	4,950,806.80	3,669,415.26	(894,846.24)	2,774,569.02
21077	PUBLIC SAFETY RECOVERY ACCOUNT	-	-	-	-	-
21081	ENVIRONMENTAL REGULATORY	42,117,161.24	41,771,870.67	35,068,552.14	(926,229.20)	34,142,322.94
21082	NATURAL RESOURCES ACCOUNT	16,366,902.80	15,691,382.47	15,755,559.17	(281,710.92)	15,473,848.25
21084	MINED LAND RECLAMATION ACCT	-	-	-	-	-
21087	GREAT LAKES RESTORATION INITIATIVE	-	-	-	-	-
21201	AUDIT AND CONTROL OIL SPILL	412,273.60	454,346.37	500,892.09	69,840.87	570,732.96
21202	HEALTH DEPT OIL SPILL	143,869.59	160,197.85	201,955.35	22,385.91	224,341.26
21203	DEPT OF ENVIRONMENTAL CONSERVATION OIL SPILL	8,550,674.39	9,495,950.04	12,128,249.58	1,328,302.25	13,456,551.83
21204	OIL SPILL COMPENSATION	-	-	-	-	-
21205	LICENSE FEE SURCHARGES	-	-	-	-	-
21401	PUBLIC TRANSPORTATION SYSTEMS	-	-	-	-	-
21402	METROPOLITAN MASS TRANSPORTATION	164,616,765.87	94,620,193.71	106,262,076.30	210,827,070.23	317,089,146.53
21451	OPERATING PERMIT PROGRAM	23,959,146.03	24,129,597.53	20,268,041.03	174,700.37	20,442,741.40
21452	MOBILE SOURCE	714,112.12	-	-	-	-
21902	HEALTH-SPARC'S	-	-	-	-	-
21905	THRUWAY AUTHORITY ACCT	789,201.78	736,630.87	-	-	-
21907	MENTAL HYGIENE PROGRAM	43,082,837.98	145,197,698.39	235,093,045.15	(235,093,045.15)	-
21909	MENTAL HYGIENE PATIENT INCOME ACCOUNT	-	-	-	-	-
21911	FINANCIAL CONTROL BOARD	588,064.20	742,949.88	336,209.88	205,538.80	541,748.68
21912	RACING REGULATION ACCOUNT	4,775,637.69	4,119,361.39	3,987,482.14	309,772.82	4,297,254.96
21913	NY METROPOLITAN TRANSPORTATION COUNCIL	23,405,275.60	18,292,577.21	18,292,577.21	-	18,292,577.21
21937	SU DORM INCOME REIMBURSE	1,160,626.22	941,174.83	-	687,315.62	687,315.62
21945	CRIMINAL JUSTICE IMPROVEMENT	-	-	-	-	-
21959	ENV LAB REF FEE	-	-	-	-	-
21962	CLINICAL LAB FEE	11,545,977.09	11,882,753.87	10,299,417.43	850,261.45	11,149,678.88
21978	INDIRECT COST RECOVERY	470,112.08	-	-	-	-
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	-	-	-	-	-
22009	ASBESTOS SAFETY TRAINING	235,314.51	232,586.92	260,529.20	(11,651.58)	248,877.62
22032	BATAVIA SCHOOL FOR THE BLIND	7,371,712.05	8,927,265.65	9,474,153.22	461,110.31	9,935,263.53
22034	INVESTMENT SERVICES	-	-	-	-	-
22036	SURPLUS PROPERTY ACCOUNT	-	-	-	-	-
22039	FINANCIAL OVERSIGHT	713,802.89	882,485.62	175,622.62	247,976.23	423,598.85
22046	REGULATION INDIAN GAMING	68,106,397.47	68,049,488.74	69,006,847.40	1,019,167.60	70,026,015.00

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	August 31, 2017	September 30, 2017	October 31, 2017	Change	November 30, 2017	
22053	ROME SCHOOL FOR THE DEAF	1,276,940.33	2,417,931.34	2,880,389.45	437,474.79	3,317,864.24	
22054	DSP-SEIZED ASSETS	6,221,898.70	6,201,400.36	5,988,619.87	(110,192.48)	5,878,427.39	
22055	ADMINISTRATIVE ADJUDICATION	9,949,044.93	8,359,760.18	7,595,440.44	(672,649.09)	6,922,791.35	
22056	FEDERAL SALARY SHARING	1,009,880.04	1,102,377.59	1,481,319.79	139,636.89	1,620,956.68	
22062	NYC ASSESSMENT ACCT	-	-	-	-	-	
22063	CULTURAL EDUCATION ACCOUNT	2,782,551.35	2,108,136.99	1,058,925.83	559,258.73	1,618,184.56	
22078	LOCAL SERVICE ACCOUNT	-	-	-	-	-	
22085	DHCR MORTGAGE SERVICES	7,659,859.62	7,870,309.26	8,202,739.44	310,861.80	8,513,601.24	
22087	DMV-COMPULSORY INS PRGM	646,762.72	646,762.72	646,762.72	-	646,762.72	
22090	HOUSING INDIRECT COST RECOVERY	2,161,718.85	2,002,314.36	2,285,003.38	462,378.14	2,747,381.52	
22100	DHCR-HOUSING CREDIT AGENCY APPLY FEE	2,622,164.37	2,594,132.04	2,948,095.37	1,152,877.04	4,100,972.41	
22130	LOW INCOME HOUSING CREDIT MONITORING	-	-	-	-	-	
22135	EFC-CORPORATION ADMINISTRATION	-	-	-	-	-	
22144	MONTROSE VETERAN'S HOME	-	-	-	-	-	
22151	DEFERRED COMPENSATION ADMIN	79,134.13	108,103.20	196,534.49	(112,946.05)	83,588.44	
22156	RENT REVENUE OTHER - NYC	-	-	-	-	-	
22158	RENT REVENUE	177,314.38	173,654.00	198,492.52	(17,102.13)	181,390.39	
22168	TAX REVENUE ARREARAGE ACCOUNT	-	-	-	-	-	
22654	S.U. NON-RESIDENT REV. OFFSET	19,619,119.84	19,639,112.11	19,657,013.60	18,755.34	19,675,768.94	
22751	LAKE GEORGE PARK TRUST FUND	-	-	-	-	-	
22802	STATE POLICE MV ENFORCE	-	-	-	-	-	
23001	DOT - HIGHWAY SAFETY PRGM	9,932,876.60	9,883,339.44	10,021,525.36	383,398.55	10,404,923.91	
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	37,534,105.37	40,086,063.01	42,641,814.94	3,079,386.24	45,721,201.18	
23701	COMMERCIAL GAMING REVENUE	-	-	-	-	-	
23702	COMMERCIAL GAMING REGULATION	6,208,813.77	6,371,201.31	6,843,483.24	253,494.58	7,096,977.82	
23800	INTERSTATE RECIPROCITY FOR POST SEC DIST ED	-	-	-	-	-	
23801	HIGHWAY USE TAX ADMIN	-	-	-	-	-	
	TOTAL STATE SPECIAL REVENUE FUNDS	**546,231,239.67**	**1,950,314,525.37**	**1,925,360,505.37**	**(235,280,351.74)**	**1,690,080,153.63**	
	FEDERAL FUNDS						
25000-25099	FEDERAL USDA/FOOD AND NUTRITION SERVICES FUND	2,833,524.14	2,900,831.39	3,489,219.39	10,810,627.00	14,299,846.39	
25100-25199	FEDERAL HEALTH AND HUMAN SERVICES FUND	178,860,224.10	426,175,424.89	954,604,945.59	(708,538,286.80)	246,066,658.79	
25200-25249	FEDERAL EDUCATION GRANTS FUND	9,285,433.96	35,858,745.47	29,291,975.66	(11,056,454.19)	18,235,521.47	
25250-25299	FEDERAL DHHS BLOCK GRANTS	-	-	-	-	-	
25300-25899	FEDERAL OPERATING GRANTS FUND	485,231,026.99	500,431,172.66	507,455,560.86	(117,754,583.68)	389,700,977.18	
31351	MILITARY AND NAVAL AFFAIRS	8,526,004.29	8,813,057.21	9,030,540.64	(324,819.28)	8,705,721.36	
31354	DEPARTMENT OF TRANSPORTATION	360,263,298.14	360,892,666.64	420,189,822.75	(96,022,199.34)	324,167,623.41	
31350-31449	FEDERAL CAPITAL PROJECTS FUND (ALL OTHER)	94,621,699.58	111,322,211.51	122,171,316.65	(35,302,787.04)	86,868,529.61	
25900-25949	UNEMPLOYMENT INSURANCE ADMINISTRATION	5,650,765.66	3,798,779.81	7,876,626.64	6,066,425.76	13,943,052.40	
25950	FEDERAL UNEMPLOYMENT INS OCCUPATIONAL TRAINING	404,071.85	547,553.85	438,067.60	(61,429.00)	376,638.60	
26001-26049	DOL EMPLOYMENT AND TRAINING GRANTS	1,906,945.80	975,987.46	4,247,798.18	(3,286,278.05)	961,520.13	
	TOTAL FEDERAL FUNDS	**1,147,582,994.51**	**1,451,716,430.89**	**2,058,795,873.96**	**(955,469,784.62)**	**1,103,326,089.34**	(**)
	AGENCY FUNDS						
60201	EMPLOYEES HEALTH INSURANCE ACCT	-	-	-	-	-	
60901	MMIS - STATE AND FEDERAL	-	-	-	-	-	
	TOTAL AGENCY FUNDS	**-**	**-**	**-**	**-**	**-**	
	ENTERPRISE FUND						
50318	OGS CONVENTION CENTER ACCOUNT	261,498.42	254,274.34	305,683.96	(256,567.55)	49,116.41	
50327	EMPIRE PLAZA GIFT SHOP	192,362.18	199,868.24	98,096.59	15,478.69	113,575.28	
	TOTAL ENTERPRISE FUND	**453,860.60**	**454,142.58**	**403,780.55**	**(241,088.86)**	**162,691.69**	
	INTERNAL SERVICE FUNDS						
55001	CENTRALIZED SERVICES-FLEET MGMT	1,123,320.38	1,157,603.25	1,287,937.56	(260,013.08)	1,027,924.48	
55002	CENTRALIZED SERVICES-DATA PROCESSING	-	-	-	-	-	
55003	CENTRALIZED SERVICES-PRINTING	1,940,710.53	1,795,214.55	1,753,810.50	(239,548.83)	1,514,261.67	
55004	CENTRALIZED SERVICES-REAL PROPERTY-LABOR	-	-	-	-	-	
55005	CENTRALIZED SERVICES-DONATED FOODS	-	-	-	-	-	
55006	CENTRALIZED SERVICES-PERSONAL PROPERTY	-	-	-	-	-	
55007	CENTRALIZED SERVICES-CONSTRUCTION SERVICES	1,777,036.38	751,594.29	408,656.44	1,103,618.54	1,512,274.98	
55008	CENTRALIZED SERVICES-PASNY	14,548,114.62	5,274,680.77	9,163,389.99	3,542,534.58	12,705,924.57	
55009	CENTRALIZED SERVICES-ADMIN SUPPORT	-	-	-	-	-	
55010	CENTRALIZED SERVICES-DESIGN AND CONSTR	7,621,700.94	7,430,318.61	8,561,201.80	1,402,509.16	9,963,710.96	
55011	CENTRALIZED SERVICES-INSURANCE	879,694.32	737,494.52	-	-	-	
55012	CENTRALIZED SERVICES-SECURITY CARD ACCESS	193,813.37	149,026.13	210,224.29	(21,498.00)	188,726.29	
55013	CENTRALIZED SERVICES-COP'S	-	-	-	-	-	
55014	CENTRALIZED SERVICES-FOOD SERVICES	-	-	-	-	-	
55015	CENTRALIZED SERVICES-HOMER FOLKS	-	-	-	-	-	
55016	CENTRALIZED SERVICES-IMMICS	26,961.54	26,961.54	26,961.54	-	26,961.54	
55017	DOWNSTATE WAREHOUSE	-	-	107,510.93	(103,242.16)	4,268.77	

APPENDIX F

STATE OF NEW YORK
SCHEDULE OF MONTH-END TEMPORARY LOANS OUTSTANDING(*)

SFS Fund	ACCOUNT TITLE	August 31, 2017	September 30, 2017	October 31, 2017	Change	November 30, 2017
55018	BUILDING ADMINISTRATION	3,209,504.22	4,070,066.85	5,553,193.82	(450,802.46)	5,102,391.36
55019	LEASE SPACE INITIATIVE	-	-	-	-	-
55020	OGS ENTERPRISE CONTRACTING ACCT	48,956,531.92	57,085,675.07	49,146,261.74	4,403,573.90	53,549,835.64
55021	NYS MEDIA CENTER	4,282,460.02	4,215,269.41	3,635,767.15	204,811.75	3,840,578.90
55022	BUSINESS SERVICES CENTER	-	193,768.78	1,102,775.62	(200,597.37)	902,178.25
55052	ARCHIVES RECORD MGMT I.S.	-	-	-	-	-
55053	FEDERAL SINGLE AUDIT	-	-	-	-	-
55056	CIVIL SERVICE EHS OCCUP HEALTH PROG	-	-	-	-	-
55057	BANKING SERVICES ACCOUNT	16,646.99	179,502.58	71,749.84	110,076.02	181,825.86
55058	CULTURAL RESOURCE SURVEY	4,245,555.51	3,924,927.18	3,979,883.69	(518,884.07)	3,460,999.62
55059	NEIGHBOR WORK PROJECT	12,426,097.28	13,130,446.52	13,885,038.95	(1,407,430.84)	12,477,608.11
55060	AUTOMATIC/PRINT CHARGBACKS	1,881,228.31	-	-	-	-
55061	OFT NYT ACCT	2,489,693.36	2,162,478.84	2,404,195.23	(150.97)	2,404,044.26
55062	DATA CENTER ACCOUNT	55,274,037.87	55,338,719.27	55,274,037.87	(0.02)	55,274,037.85
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	248,083.17	284,132.38	221,926.09	67,463.04	289,389.13
55069	CENTRALIZED TECHNOLOGY SERVICES	73,660,831.01	75,049,865.67	76,054,842.44	(9,136,466.77)	66,918,375.67
55071	LABOR CONTACT CENTER ACCT	345,239.84	-	65,484.27	363,991.79	429,476.06
55072	HUMAN SERVICES CONTACT CNTR ACCT	3,509,908.03	1,719,556.60	-	695,318.77	695,318.77
55073	TAX CONTACT CENTER ACCT	-	-	-	-	-
55251	EXECUTIVE DIRECTION INTERNAL AUDIT	6,850,521.78	7,034,936.44	7,219,218.40	278,585.84	7,497,804.24
55252	CIO INFORMATION TECHNOLOGY CENTRALIZED SERVICES	18,449,021.84	20,776,800.51	22,138,636.90	2,403,939.09	24,542,575.99
55300	HEALTH INSURANCE INTERNAL SERVICE	2,686,661.66	4,123,175.71	4,835,383.22	1,973,795.86	6,809,179.08
55301	CIVIL SERVICE EMPLOYEE BENEFITS DIV ADM	10,361,644.92	9,900,952.71	9,678,558.99	(1,670,680.91)	8,007,878.08
55350	CORR INDUSTRIES INTERNAL SERVICE	23,950,874.60	28,019,305.45	28,756,211.20	741,133.48	29,497,344.68
	TOTAL INTERNAL SERVICE FUNDS	**302,217,478.68**	**305,794,057.90**	**306,804,442.74**	**3,282,036.34**	**310,086,479.08**
	GRAND TOTAL - TEMPORARY LOANS OUTSTANDING	**$ 3,360,161,523.50**	**$ 5,389,144,410.98**	**$ 5,930,113,087.36**	**$ (1,041,525,354.68)**	**$ 4,888,587,732.68**

(*) Temporary Loans are authorized pursuant to Subdivision 5 of Section 4 of the State Finance Law and Chapter 59, Part XXX, Section 1, of the Laws of 2017-18. 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 2017-2018

APPENDIX G

	2017 APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	DECEMBER	2018 JANUARY	FEBRUARY	MARCH	8 Months Ended November 30, 2017
OPENING CASH BALANCE	**$ 82,648,114**	**$ 78,337,543**	**$ 156,014,946**	**$ 207,558,719**	**$ 216,339,642**	**$ 178,926,646**	**$ 143,041,643**	**$ 126,490,903**					**$ 82,648,114**
RECEIPTS:													
Transfers from General Fund (**)	50,000,000	100,000,000	155,000,000	75,000,000	75,000,000	150,000,000	81,700,000	90,000,000					776,700,000
Total Receipts	**50,000,000**	**100,000,000**	**155,000,000**	**75,000,000**	**75,000,000**	**150,000,000**	**81,700,000**	**90,000,000**	**-**	**-**	**-**	**-**	**776,700,000**
DISBURSEMENTS:													
Affordable and Homeless Housing	42,537,265	6,383,689	8,705,572	-	-	18,741,165	22,550,000	4,450,000					103,367,691
Broadband Initiative	-	1,224,698	1,018,330	146,236	1,435,029	114,644	-	2,687,664					6,626,601
Health Care / Hospital Initiatives	512,404	1,573,783	4,019,227	18,496,263	12,958,853	11,364,866	22,159,253	1,267,775					72,352,424
Empire State Poverty Reduction Initiatives	388,601	51,781	182,502	71,027	639,043	277,521	288,970	499,880					2,399,325
Information Technology/Infrastructure for Behavioral Sciences	-	-	89,258	85,607	96,470	64,187	50,628	63,766					449,916
Infrastructure Improvements	2,051,211	2,824,038	1,290,646	790,983	1,792,565	1,786,987	376,038	281,058					11,193,526
Jacob Javits Center Expansion	-	-	48,520,000	-	-	90,647,288	-	-					139,167,288
Municipal Restructuring / Consolidation Competition	673,068	769,684	268,094	117,667	123,702	900,000	20,960,000	6,472					23,818,687
Penn Station Access	-	-	-	-	-	-	-	-					-
Resiliency, Mitigation, Security and Emergency Response	501,707	4,682,318	3,374,872	10,725,455	3,954,132	3,515,891	6,335,363	6,829,218					39,918,956
Southern Tier / Hudson Valley Farm Initiative	305,295	1,101,761	-	1,673,958	97,294	7,178,905	117,310	391,630					10,866,153
Thruway Stabilization Program	7,341,020	3,710,845	15,439,557	7,781,708	38,815,908	16,316,586	23,743,351	27,837,427					140,986,402
Transformative Economic Development Projects	-	-	-	-	1,500,000	-	-	-					1,500,000
Transportation Capital Plan	-	-	1,498,169	-	-	14,976,963	-	-					16,475,132
Upstate Revitalization Program	-	-	19,050,000	26,330,173	51,000,000	20,000,000	1,669,827	840,000					118,890,000
Total Disbursements	**54,310,571**	**22,322,597**	**103,456,227**	**66,219,077**	**112,412,996**	**185,885,003**	**98,250,740**	**45,154,890**	**-**	**-**	**-**	**-**	**688,012,101**
OPERATING TRANSFERS:													
Transfers to General Fund	-	-	-	-	-	-	-	-					-
Total Operating Transfers	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
Total Disbursements and Transfers	**54,310,571**	**22,322,597**	**103,456,227**	**66,219,077**	**112,412,996**	**185,885,003**	**98,250,740**	**45,154,890**	**-**	**-**	**-**	**-**	**688,012,101**
CLOSING CASH BALANCE	**$ 78,337,543**	**$ 156,014,946**	**$ 207,558,719**	**$ 216,339,642**	**$ 178,926,646**	**$ 143,041,643**	**$ 126,490,903**	**$ 171,336,013**	**$ -**	**$ -**	**$ -**	**$ -**	**$ 171,336,013**

(*) 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